

**股票服務收費表 Service Charges**

<b>證券交易服務 Trade-related Services</b>	
<b>港股 (HK Market)</b>	
經紀佣金 Brokerage Commission	成交金額之 <b>0.1%</b> (最低收費港幣 80 元) <b>0.1% on Transaction Amount (Min Charge HK\$80)</b>
從價印花稅 Stamp Duty	每港幣 1,000 元成交金額收費港幣 1.30 元 (不足港幣 1,000 元亦作 1,000 元計) HK\$1.30 for every HK\$1,000.00 of Transaction Amount (or part thereof) - paid by both buyer & seller 買賣雙方均需繳付
交易徵費 Transaction Levy	證監會交易徵費 成交金額之 <b>0.0027%</b> SFC Transaction Levy of Transaction Amount <b>0.0027%</b>
交易費 Trading Fee	聯交所交易費 成交金額之 <b>0.005%</b> SEHK Trading Fee of Transaction Amount <b>0.005%</b>
交易費 (包括市場及中央結算有關徵費) Settlement Fee / CCASS Fee	成交金額之 <b>0.002%</b> (最低收費港幣 2 元 / 最高收費港幣 100 元) <b>0.002% on Transaction Amount (Min HK\$2.00 / Max HK\$100.00)</b>
財務匯報局交易徵費 Financial Reporting Council Transaction Levy	每宗交易金額之 <b>0.00015%</b> - 買賣雙方均需繳付 A levy of <b>0.00015%</b> of each transaction amount - paid by both buyer & seller

<b>實物股票處理及交收服務 Scrip handling and settlement-related services</b>	
交收指示 (即 SI) Settlement Instruction	每一提貨交收指示收取手續費港幣 50 元 HK\$50.00 per Transaction (For Delivery Instructions)
投資者交收指示 (即 ISI) Investor Settlement Instruction	每一提貨交收指示收取手續費港幣 30 元 HK\$30.00 per Transaction (For Delivery Instructions)
代客將交收指示轉遞予對手行家 Delivery of Settlement Instruction	每一交收指示收費港幣 150 元 HK\$150.00 of each Settlement Instruction
結算所存倉保管費 Custody Fee	免收 (已獲本公司豁免) <b>Free of charges (exempted by ZYSL)</b>
結算所入倉費 Stock Deposit Fee	免收 (已獲本公司豁免) <b>Free of charges (exempted by ZYSL)</b>
轉手紙厘印費 Transfer Stamp Duty Deed	每張轉手紙港幣 5 元 HK\$5.00 for each transfer deed
強制性補購股份費 Compulsory share buy-back fee	每次港幣 300 元 HK\$300 per transaction

## 代理人及企業行動 Nominee services and corporate activities

實物股份提取費 Stock Withdrawal Fee	每一買賣單位收取港幣 <b>3.5</b> 元及手續費 <b>50</b> 元 (不足一手亦當一手計) HK\$ <b>3.50</b> per Board Lot (Odd Lots also charge HK\$ <b>3.50</b> each) & HK\$ <b>50.00</b> Handling Charge
代收股息 / 紅股 / 認股證 Dividend / Bonus / Warrants Collection Fee	現金股息之 <b>0.50%</b> (最低收費港幣 <b>25</b> 元)及過戶費每手港幣 <b>1.5</b> 元 <b>0.50%</b> on Dividend Amount (Min HK\$ <b>25.00</b> ) & Scrip Fee HK\$ <b>1.50</b> per lot 股權分發：登記及過戶費每手 <b>1.5</b> 元及手續費港幣 <b>25</b> 元 Entitled Bonus: Scrip Fee HK\$ <b>1.50</b> per lot & HK\$ <b>25.00</b> Handling Charge
行使換股證 / 供股權 Exercise Warrant / Right Issue / Open Offer	供股價、過戶處費用、中央結算所費用及手續費港幣 <b>50</b> 元 HK\$ <b>50.00</b> for cost of exercise, Scrip Fee, ad valorem stamp duty, CCASS fee & Handling Charges

## 代理人及企業行動 Nominee services and corporate activities

在收購要約下提交股份費 Cash/Open Offer/Special/Conditional Offer	收購金額 <b>0.25%</b> (最低港幣 <b>80</b> 元) <b>0.25%</b> on gross offer amount (Minimum: HK\$ <b>80</b> )
申請發還利息、紅股及股權等 Claims of Entitlement	追討成本及每次每種股票手續費港幣 <b>200</b> 元 Cost of claim plus HK\$ <b>200.00</b> per stock per claim
代客辦理過戶 (實貨) Registration and Transfer Fee of Physical Stock in Client's Name	每一買賣單位收取港幣 <b>2.5</b> 元及手續費港幣 <b>300</b> 元 Scrip Fee by Registration HK\$ <b>2.50</b> per lot & HK\$ <b>300.00</b> Handling Charge

## 借貸及其他服務 Financing and other services

認購新股 Application of IPO	現金申請：經人手處理申請收費港幣 <b>50</b> 元融資申請：手續費港幣 <b>100</b> 元 信託費：按成功申請獲分配股票每買賣單位收取港幣 <b>10</b> 元 利息按個別股票及市場利率變化而定 Non-Financing: HK\$ <b>50.00</b> per application (manual) Financing: HK\$ <b>100.00</b> per application HK\$ <b>10.00</b> Custody fee per successful board lot Interest subject to case by case
股份合併/分拆 Consolidation / Subdivision	免費 Nil
配股 Placement	手續費港幣 <b>100</b> 元 Handling charges:HK\$ <b>100.00</b>

## 帳戶服務 ACCOUNT MAINTENANCE

證券結餘或帳戶證明書收費 Confirmation of stock/cash balance	如果是由核數師要求查帳免收費用，其他每次港幣 <b>100</b> 元 Nil if the confirmation is issued from auditors, others HK\$ <b>100</b>
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現金帳戶過期利息 Cash account overdue interest	建設銀行（亞洲）最優惠利率 + <b>5%</b> Prime rate (quoted by CCB(Asia)) plus <b>5%</b>
電匯費用 Telegraph Transfer (T/T)	每單交易收費港幣 <b>150</b> 元 + 實質銀行收費 HK\$150 + Actual bank charge
終止支票付款費 Stop Payment Charge	每次港幣 <b>200</b> 元 HK\$200 per case
銀行本票收費 Bank draft	每次港幣 <b>50</b> 元 + 實質銀行收費 HK\$50 plus bank charge
退票 Returned Cheque	每一退票收費港幣 <b>200</b> 元 HK\$200.00 per each Returned Cheque

取回成交單或月結單收費 Photocopy of account statement/contract note	取回當月月結單免費，一年內收港幣 <b>100</b> 元，超過一年則收取港幣 <b>200</b> 元；取回三個月內成交單免費，三個月以上收港幣 <b>100</b> 元，超過一年則收取港幣 <b>200</b> 元 For duplicate copy of statement: free for the current month, HK\$100 for the previous months, HK\$200 for the required month beyond a period of 12 months For copy of contract note: free for the latest three months, HK\$100 if greater than three months, HK\$200 if greater than twelve months and thereafter
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<b>滬/深港通 A 股（北向交易） China Connect( Northbound Trading)</b>	
交易佣金 Brokerage	成交金額之 <b>0.1%</b> (最低收費人民幣 <b>100</b> 元) <b>0.1% on Transaction Amount (Min Charge RMB \$100)</b>
經手費（上交所/深交所收取） Handing Fee(Charged by SSE/SZSE)	雙邊成交金額 0.00487% 0.00487% of the consideration of a transaction per side
證管費（中國證監會收取） Management Fee(Charged by CSRC)	雙邊成交金額 0.002% 0.002% of the consideration of a transaction per side
過戶費（中國結算上海/深圳收取） Transfer Fee(Charged by ChinaClear-Shanghai / ChinaClear-Shenzhen)	雙邊成交金額 0.002% 0.002% of the consideration of a transaction per side
過戶費（香港結算收取） Transfer Fee(Charged by HKSCC)	雙邊成交金額 0.002% 0.002% of the consideration of a transaction per side
交易印花稅（國家稅務局） Stamp Duty(Charged by SAT)	只收取賣方成交金額 0.1% 0.1% of the consideration of transaction on the seller
證券組合費（香港結算收取） Portfolio Fee(Charged by CCASS)	持有股值*0.008% / 365 日（每日計算，按月收取） Daily stock portfolio value X 0.008% / 365(Accrued daily and collected on a monthly basis )

<b>美股（U.S. Market）</b>	
經紀佣金 Brokerage Commission	每股 <b>0.05</b> 美元 (每筆交易最低收費 <b>1.99</b> 美元) <b>US\$0.05 per share (US\$1.99 for the minimum charges)</b>
平台使用費 Platform Fee	US\$1/筆 US\$1 per order for the minimum charges

美國證監會 (SEC) 徵費 (賣單收取) SEC membership fee (only charged upon issuance of sales voucher)	0.00229% , 最低\$0.01 0.00229%, US\$0.01 per order for the minimum charges
美國金融業監管局 (FINRA) 交易活動費 (賣單收取) FINRA Trading activity fee (only charged upon issuance of sales voucher)	US\$0.00013/股, (最低 US\$0.01,最高 US\$6.49) US\$0.00013 for per share, minimum US\$0.01, maximum US\$6.49
美國結算公司交收費 Clearing fee	US\$0.003/股, (最低 US\$0.1) US\$0.003 for per share, minimum US\$0.1.
<b>其他徵費 (Other Charges)</b>	
美國國家稅務局 (IRS) 代收股息/紅股 Dividend tax collection	30%
代收股息服務費 Dividend collection service fee	0.2% (最低\$0.01) 0.2%, minimum US\$0.01
美股預托證券 (ADR) 託管費 ADR Depository Fee	US\$0.03/股 US\$0.03 for per share
美股股票轉入 Stock Deposit fee	0
實物股票轉電子存入 (經美國存管信託公司) Physical scrip deposit (through DTC)	按股票市值 0.05%收取, 最低 US\$100
美股股票轉出 Stock Withdrawal fee	US\$200/隻 US\$200 for per stock
每股孖展利率 Margin Interest rate for per share	孖展年化利率 8% Margin annualized interest rate 8%

★ 2005 年 12 月 19 日 起暫停 投資者賠償徵費 0.002% SFC Investor Compensation Levy 0.002%