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## HK Stocks / Shanghai-HK / Shenzhen-HK Stock Connect - Service Fees & Charges

### HK Stocks Trading Services

Items		Charges (%)	HK\$ & US\$ Denominated Products Minimum Charges	RMB¥ Denominated Products Minimum Charges (including Shanghai-HK / Shenzhen-HK Stock Connect)
Commission for Internet Trade*	Normal Trading Plan	0.0675	HK\$40	RMB¥40
	Frequent Trade Scheme**	0.1	No minimum charges, commission calculates separately for every partial or fully executed trade on the same stock	
Commission for Phone Trade*		0.125	HK\$60	RMB¥60
Commission for Day Trade (By Phone)*		0.0875	HK\$60	RMB¥60
Commission for Prelisting trade*		0.125	HK\$55	RMB¥55
Monthly Investment Plan <sup>^</sup>		HK\$0 commission fee during promotion period		
Stamp Duty#		0.13	-	-
Investor Compensation Levy#		0	-	-
SFC Transaction Levy#		0.0027	-	-
HKEX Trading Fee#		0.005	-	-
CCASS Stock Settlement Fee#		0.005	HK\$5	HK\$5

\* Commission is calculated separately for each side and trading channels and is charged once for each 4 or less different transaction prices.

\*\* Frequent Trade Scheme is only applicable to selected customers or accounts opened by E-Account opening, the charging scheme calculates commission separately for every partial or fully executed trade on the same stock.

<sup>^</sup> Brokerage fee waiver for the first HK\$10,000 of each stock contribution amount for online application before 31 December 2023, followed by 0.0675% (no minimum charges). Customers are required to pay stamp duty, HKEX trading fee, SFC transaction levy, and CCASS stock settlement fee.

# The other fees of trading in listed RMB¥ denominated securities would be calculated in HK\$ and cleared in RMB¥ through CCASS.

· Above commission rate is applicable to our company's direct clients only. For AE clients, commission rate is negotiable with their AE. Commission is negotiable for bulk transaction.

· If the clients are involved in buying and selling RMB¥ settlement securities, they should have sufficient amount of RMB¥ available in their accounts. If the clients do not have sufficient RMB¥, they can have order placement through phone call.

· Effective from 1 March 2018, if an internet trading order of HK Global stock has been amended by our staff and executed, the Trade Type of this order will be deemed as Normal Trade and the Commission will be charged on Normal Trade basis.

## Monthly Investment Plan

Charges
<p><b>Commission: Free*</b></p> <p>^Brokerage fee waiver for the first HK\$10,000 of each stock monthly contribution, followed by 0.0675% (no minimum charges)</p> <p>Customers are required to pay stamp duty, HKEX trading fee, SFC transaction levy and CCASS stock settlement fee</p>

\* For Online application only, promotion period until 31 December,2023.

# "Happy Kids" customers can online apply Monthly Investment Plan without commission. For more details, please visit "Happy Kids" page.

## Happy Kid Securities Sub-account Trading Services

Items	Charges (%)	Minimum Charges
Commission for Internet Trade	0.1	No minimum charges, commission calculates separately for every partial or fully executed trade on the same stock
Commission for Phone Trade*	0.125	HK\$60 / RMB¥60
Commission for Day Trade* (By Phone)	0.0875	HK\$60 / RMB¥60
Monthly Investment Plan	<p>Commission: Free**</p> <p>Brokerage fee waiver for the first HK\$10,000 of each stock monthly contribution, followed by 0.0675% (no minimum charges)</p>	

\* Commission is calculated separately for each side and trading channels and is charged once for each 4 or less different transaction prices.

\*\* For Online application only, promotion period until 31 December,2022.

# Other charges refer to HK Stocks Charges.

## HK Stocks Scrip Handling and Settlement-related Services

Items	Charges	Minimum Charges	Maximum Charges
Physical Scrip Deposit	HK\$5 for each transfer deed	-	-
Administration Fee - Physical Scrip Deposit in Bulk Quantity #	HK\$10 per deed for the 11th deed or more	-	-
Physical Scrip Withdrawal	HK\$5 per board lot	HK\$50 per stock	-
CCASS Settlement Instruction (SI)	HK\$5 per board lot	HK\$200 per stock	No upper limit
	(Above charge is applicable to withdrawal instruction only. There is free of charge for deposit instruction.)		
CCASS Investor Settlement Instructions (ISI)	Free		
CCASS Settlement (Applicable to depositing stock with temporary code and suspended for trading)	HK\$200 per stock	-	-
Stock Conversion Fee	HK\$50 per stock	-	-
Physical Stock Custodian Fee ##	HK\$50 per stock per 6 months		

# Administration fee will be charged on client who deposits more than 10 physical deeds of the same stock in a single day. The Administration fee, \$10 per deed, will be applied to the 11<sup>th</sup> deed or more.

## This fee will be charged on the client who cannot pick up the applied or returned physical stock before the specified date.

### Shanghai-HK / Shenzhen-HK Stock Connect Trading Services

Items	Charges (%)	Minimum Charges
Commission for Internet Trade*	0.0675	RMB¥40
Commission for Phone Trade*	0.125	RMB¥60
Commission for Day Trade (By Phone)	0.0875	RMB¥60
Handling Fee	0.00487	-
Securities Management Fee	0.002	-
Transfer Fee	0.004	-
Stamp Fee	0.1% of Consideration (for sell trade only)	-

\*Commission is calculated separately for each side and trading channels and is charged once for each 4 or less different transaction prices.

· Above commission rate is applicable to our company's direct clients only. For AE clients, commission rate is negotiable with their AE.

Commission is negotiable for bulk transaction.

· If the clients are involved in buying and selling RMB¥ settlement securities, they should have sufficient amount of RMB¥ available in their accounts. If the clients do not have sufficient RMB¥, they can have order placement through phone call.

· Effective from 1 March 2018, if an internet trading order of HK Global stock has been amended by our staff and executed, the Trade Type of this order will be deemed as Normal Trade and the Commission will be charged on Normal Trade basis.

### Shanghai-HK / Shenzhen-HK Stock Connect Scrip Handling and Settlement-related Services

Items	Charges	Minimum Charges	Maximum Charges
CCASS Settlement Instruction (SI)	RMB¥5 per board lot	RMB¥200 per stock	No upper limit
	(Above charge is applicable to withdrawal instruction only. There is free of charge for deposit instruction)		
CCASS Investor Settlement Instructions (ISI)	No service provided		
Physical Scrip	No service provided		

## Account Maintenance

Items	Charges
Custody Fee	Free
Dormant Account Fee	Free
Trading Platform Fee	Free

## Nominee Services and Corporate Actions

Items	HK\$ & US\$ Denominated Products Charges / RMB¥ Denominated Products Charges	Minimum Charges	Maximum Charges
Scrip Fee	HK\$1.5 per board lot or its equivalent in foreign currency	-	-
Cash Dividend Collection Fee	0.3% of dividend collected	HK\$15 / RMB¥15	-
Scrip Dividend Collection Fee	0.3% of dividend collected	HK\$15 / RMB¥15	-
Collection Fee of Bonus Issues	HK\$15/RMB¥15	-	-
Corporate Action Fee	HK\$2 / RMB¥2 per board lot	HK\$50 / RMB¥50	-
Share Consolidation/ Subdivision	Free		
Excess Rights Shares	HK\$10 / RMB¥10 per transaction	-	-
Administration fee on authorization of representative attending Annual General Meeting	HK\$50/ RMB¥50 per authorized representative (No applicable to Shanghai/ Shenzhen stock trading)	-	-
General Meeting Enrollment, Voting or Registry Application	HK Stock trading: HK\$50 per instruction Shanghai/ Shenzhen stock trading: RMB¥20, Only voting service in General Meeting is provided	-	-

**Margin Financing Service** (Applicable to HK Stocks Margin Account open or apply for the change of interest rate on or after Jan 18, 2021.)

Account	Tiers of Margin Loan Amount (within accepted margin value) ^	Interest Rate of Margin Financing (in annual interest rate)
Margin Account +	HK\$0 – HK\$100,000	3.88% (Interest-free in First Two Months #)
	HK\$100,001 – HK\$3,000,000	Chong Hing Bank Prime Rate +1%
	HK\$3,000,001 – HK\$10,000,000	Chong Hing Bank Prime Rate +0.5%
	HK\$10,000,001 or above	Chong Hing Bank Prime Rate
	Call for deposit	Chong Hing Bank Prime Rate +5%

+The financial charge is only applicable to HK Stocks Margin Account open or apply for the change of interest rate on or after Jan 18, 2021. For client who is already a HK Stocks Margin Account holder before Jan 18, 2021, please see below for financial charges details.

^Negotiable rates for large amount financing.

#Terms and Conditions apply.

**Margin Financing Service** (Applicable for HK stocks Margin Account opens before Jan 18, 2021)

Items	Financial Charges** (in annual interest rate)	Remarks
Margin Account Lending Rate	Chong Hing Bank Prime Rate +2.5%	Overdue amount within the marginable value
	Chong Hing Bank Prime Rate +3.5%	Overdue amount beyond the marginable value
Cash Account and Custodian Account Overdue Interest	Chong Hing Bank Prime Rate +5%	-

\*\* Negotiable rates for large amount financing

## Other Services

Items	Charges	
Handling Charge for IPO Application	<b>Financing Application:</b>	HKD denominated products: HK\$100
		RMB denominated products: RMB¥100
	<b>Cash Application:</b>	(i) Via Internet: Free
		(ii) Extended application period: HK\$50 / RMB¥50
		(iii) By Telephone: HKD denominated products: HK\$50 RMB denominated products: RMB¥50
Handling Charge for Unclaimed Benefits Entitlement	HK\$100 per stock per announcement (Minimum charge HK\$1,000 per stock)	
Request for Dormant Account Confirmation	HK\$100 per certificate	
Replacement of Lost Delivery Order	Within past 6 months: Free of Charge Beyond past 6 months up to 7 <sup>th</sup> year: HK\$50 per stock	
Audit Confirmation (Applicable to Corporate Account)	HK\$200 for each account	
Confirmation of unknown deposit / Confirmation of depositor	HK\$200 per transaction*	
Express Bank Transfer	HK\$100 per transaction	
Telegraphic Transfer	Subject to bank charges, minimum HK\$400 per transaction	

\* If no deposit confirmation is received after transaction, CHIEF will contact the correspondent banks to obtain depositor information, and the additional costs incurred will be borne by the clients.



**Information Services** (Real-time Price Quote Service\*)

Vendor	Version	Monthly Charges **
TOP Trader Latest Quote	-	Free
AAStocks	QuoteWinner (Web version) 2007 Professional (Download version) 2007 Professional China version	HK\$368 HK\$638 HK\$538
ETNET	Web version China version	HK\$368 HK\$238
Megahub - PowerTicker	Basic Web version Basic Download version Professional Download version China version	HK\$338 HK\$488 / HK\$5288 (Annual package) # HK\$988 / HK\$9488 (Annual package) # HK\$218
AFE (No new application allowed)	Web version	HK\$368
Qian Long Hong Kong Stocks (Applicable to China users Only)	Standard Professional	HK\$218 HK\$428

**Term of Monthly Fee Rebate**

Client's monthly Commission for HK Stocks Internet Trade exceeds or reaches HK\$1,388 or total monthly trading amount reaches HK\$3,000,000.

\* Request for subscription or termination of Online Real-time Price Quote Service should be made on or before 25th of each month.

\*\* Full month rate will be charged regardless of commencement date of service and will be debited from client's account at the beginning of each month. Some suppliers will provide China Version. For details of the charges, please visit our branches or call the hotline at (852) 2500 9199. If client fulfills the monthly fee rebate terms, monthly fee charged will be credited to client's account at the beginning of next month (refund maximum is HK\$368).

# The annual payment will be deducted from the client's account. After the year plan is expired, it will be automatically converted to monthly payment plan until further notice from customer.

**Real-time Price Quote Service's Deposit Arrangement:**

Clients who apply for real-time quote will pay HK\$500 (clients need to pay HK\$1,000 for PowerTicker Professional download version) as deposit. It will be refunded to your account when you cancel your subscription. Please be aware that your account should have adequate deposit for your subscription on 25th of each month. The Company has the right to cancel your subscription if there is no sufficient fund on that day. The discrepancy will be deducted from your deposit. The amount remained will be deposited to your trading account. Please be aware that we may not notify you prior to any changes in service. For enquiries, please contact our Customer Support Center at (852) 2500 9199. All information is subject to change without prior notice.

## Futures / Options / Stock Options / Global Futures – Service Fees & Charges

### Futures Charges (Each Contract)

Product	Commission (Phone in)		Commission (Internet)		Trading Fee	Transaction Levy
	Day Trade	Overnight	Day Trade	Overnight		
HSI Futures#	HK\$50	HK\$90	HK\$30	HK\$50	HK\$10	HK\$0.54
MHI Futures#	HK\$16.5	HK\$26.5	HK\$12	HK\$20	HK\$3.5	HK\$0.1
HHI Futures#	HK\$30	HK\$50	HK\$20	HK\$30	HK\$3.5	HK\$0.54
MCH Futures#	HK\$16.5	HK\$26.5	HK\$12	HK\$20	HK\$2	HK\$0.1
Hang Seng TECH Index Futures#	HK\$16.5	HK\$26.5	HK\$12	HK\$20	HK\$5	HK\$0.54
HSI Dividend Futures	HK\$20	HK\$30	HK\$10	HK\$20	HK\$3	HK\$0.54
HSCEI Dividend Futures	HK\$20	HK\$30	HK\$10	HK\$20	HK\$3	HK\$0.54
HSI Volatility Index Futures	HK\$150	HK\$150	HK\$100	HK\$100	HK\$10	HK\$0.54
BRICS Futures	HK\$30	HK\$50	HK\$20	HK\$30	HK\$10 (Brazil) HK\$5 (Russia, South Africa)	HK\$0.54
Stock Futures	HK\$8.5	HK\$16.5	HK\$5	HK\$8	Tier 1: HK\$3.0 Tier 2: HK\$1.0 Tier 3: HK\$0.5 Auto Settlement: HK \$2	HK\$0.1
Mini Futures: London Aluminum Mini Futures London Zinc Mini Futures London Nickel Mini Futures London Tin Mini Futures London Lead Mini Futures	RMB¥16.5		RMB¥12		RMB¥ 3	RMB¥0.44
London Copper Mini Futures	RMB¥16.5		RMB¥12		RMB¥5	RMB¥0.44
CES 120 Futures	HK\$30	HK\$50	HK\$20	HK\$30	HK\$10	HK\$0.54
EUR/CNH Futures	RMB¥30		RMB¥8		RMB¥5	-
JPY/CNH Futures	RMB¥30		RMB¥8		RMB¥5	-
AUD/CNH Futures	RMB¥30		RMB¥8		RMB¥5	-
CNH/USD Futures	US\$4		US\$1		US\$0.6	-

USD/CNH Futures*	RMB¥30		RMB¥15		RMB¥8	-
Mini USD/CNH Futures	RMB¥15		RMB¥1.8		RMB¥1.6	-
5-Year China MOF T-Bond Futures	RMB¥30		RMB¥15		RMB¥5	RMB¥0.5
Sector Index Futures	HK\$16.5	HK\$26.5	HK\$12	HK\$20	HK\$2	HK\$0.54
MSCI Taiwan (USD) Index Futures	US\$4		US\$1		US\$1	US\$0.07
MSCI Taiwan Net Total Return (USD) Index Futures	US\$4		US\$1		US\$0.6	US\$0.07
MSCI Japan Net Total Return (USD) Index Futures	US\$4		US\$1		US\$0.6	US\$0.07
MSCI India Net Total Return (USD) Index Futures	US\$4		US\$1		US\$0.6	US\$0.07
MSCI China Free Net Total Return (USD) Index Futures	US\$4		US\$1		US\$0.6	US\$0.07
MSCI Indonesia Net Total Return (USD) Index Futures	US\$4		US\$1		US\$0.6	US\$0.07
MSCI Australia Net Total Return (USD) Index Futures	US\$4		US\$1		US\$0.6	US\$0.07
MSCI Thailand Net Total Return (USD) Index Futures	US\$4		US\$1		US\$0.6	US\$0.07
MSCI Malaysia Net Total Return (USD) Index Futures	US\$4		US\$1		US\$0.6	US\$0.07
MSCI EM Asia Net Total Return (USD) Index Futures	US\$4		US\$1		US\$0.6	US\$0.07
MSCI Singapore Net Total Return (USD) Index Futures	US\$4		US\$1		US\$0.6	US\$0.07
MSCI Vietnam Net Total Return (USD) Index Futures	US\$4		US\$1		US\$0.6	US\$0.07
MSCI Hong Kong Net Total Return (USD) Index Futures	US\$4		US\$1		US\$0.6	US\$0.07

MSCI Philippines Net Total Return (USD) Index Futures	US\$4	US\$1	US\$0.6	US\$0.07
MSCI Indonesia (USD) Index Futures	US\$4	US\$1	US\$1	US\$0.07
MSCI Emerging Markets Net Total Return (USD) Index Futures	US\$4	US\$1	US\$0.6	US\$0.07
MSCI Emerging Markets (USD) Index Futures	US\$4	US\$1	US\$0.6	US\$0.07
MSCI EM ex China Net Total Return (USD) Index Futures	US\$4	US\$1	US\$0.6	US\$0.07
MSCI EM ex Korea Net Total Return (USD) Index Futures	US\$4	US\$1	US\$0.6	US\$0.07
MSCI EM Asia ex China Net Total Return (USD) Index Futures	US\$4	US\$1	US\$0.6	US\$0.07
MSCI EM Asia ex Korea Net Total Return (USD) Index Futures	US\$4	US\$1	US\$0.6	US\$0.07
MSCI EM EMEA Net Total Return (USD) Index Futures	US\$4	US\$1	US\$0.6	US\$0.07
MSCI EM LatAm Net Total Return (USD) Index Futures	US\$4	US\$1	US\$0.6	US\$0.07
MSCI Pacific Net Total Return (USD) Index Futures	US\$4	US\$1	US\$0.6	US\$0.07
MSCI Pacific ex Japan Net Total Return (USD) Index Futures	US\$4	US\$1	US\$0.6	US\$0.07
MSCI Taiwan 25/50 (USD) Index Futures	US\$4	US\$1	US\$1	US\$0.07
MSCI Taiwan 25/50 Net Total Return (USD) Index Futures	US\$4	US\$1	US\$0.6	US\$0.07
TSI Iron Ore Fines 62% Fe CFR China Futures Monthly Contracts	US\$8	US\$2	US\$1	US\$0.07
TSI Iron Ore Fines 62% Fe CFR China Futures Quarterly Contracts	US\$8	US\$2	US\$1	US\$0.07
USD Gold Futures **	US\$8	US\$2	US\$1	US\$0.07

USD Silver Futures **	US\$8	US\$2	US\$1	US\$0.07
CNH Gold Futures **	RMB\$50	RMB\$15	RMB\$6	RMB\$0.5
CNH Silver Futures **	RMB\$50	RMB\$15	RMB\$6	RMB\$0.5

\*\* No physical delivery for Gold & Silver Futures, positions need to be closed before expiry date.

### Options Charges (Each Contract)

Product	Commission (Phone In)		Commission (Internet)		HKEX Trading Fee	SFC Transaction Fee
	Min	Max	Min	Max		
HSI Options (Monthly & Weekly) (Physically Settled Options) ***	1% of contract value		1% of contract value		HK\$10	HK\$0.54
	HK\$20	HK\$90	HK\$20	HK\$40		
MHI Options	1% of contract value		1% of contract value		HK\$2	HK\$0.1
	HK\$18	HK\$28	HK\$10	HK\$18		
HHI Options (Monthly & Weekly) (Physically Settled Options) ***	1% of contract value		1% of contract value		HK\$3.5	HK\$0.54
	HK\$30	HK\$50	HK\$20	HK\$30		
MCH Options	1% of contract value %		1% of contract value		HK\$1	HK\$0.54
	HK\$18	HK\$28	HK\$10	HK\$18		
Hang Seng TECH Index Options	1% of contract value %		1% of contract value		HK\$5	HK\$0.54
	HK\$30	HK\$50	HK\$20	HK\$30		

Product	Commission (Phone In)		Commission (Internet)		Trading Fee	Transaction Levy
	Day Trade	Overnight	Day Trade	Overnight		
USD / CNH Options*	RMB¥30	RMB¥40	RMB¥10	RMB¥20	RMB¥8	-
MSCI China Free (USD) Index Options	US\$4	US\$4	US\$2	US\$2	US\$1	US\$0.07
MSCI Taiwan (USD) Index Options	US\$4	US\$4	US\$2	US\$2	US\$1	US\$0.07

The commission rate is negotiable for large trading volume. Please call 2500 9128 for more information.

\* USD / CNH Futures / Options will be settled at expiration by exchanging principal. The charge is RMB¥150 for each contract.

\*\*\* If Physically Settled Options on Futures Contract is exercised on its expiry day, the new trade of the underlying futures will be charged by overnight phone in commission.

#### # Commission rate for After-Hours Futures Trading (T+1 Session):

- Establishment and closure of a futures position within the same T+1 session would be classified as a day trade. Commission rate for day trade would be charged accordingly. Establishment of a futures position in the T+1 session which is closed during the next normal trading session would be charged with the commission rate for day trade as well.
  - All commission collection would be shown on the daily statement of the next normal trading session and would be subjected to the statement. (Transactions during the T+1 session would be shown on the daily statement of the next trading day.)
- Commission is subject to overnight charges of phone orders if expiring futures contract is closed out by "auto cash settlement" on the last trading day.

- Commission is subject to phone orders charges if expiring index options contract (in-the-money options) is closed out by "auto cash settlement" on the last trading day.
- Commission of index options rounded up to the nearest dollar.

### Stock Options Services Fees & Charges

Items	Charges	Minimum charges
Commission for Phone Trade	0.50% of Contract Value	HK\$100
Commission for Internet Trade	0.25% of Contract Value	HK\$50
Trading Tariff	Tier 1: HK \$3 for each contract Tier 2: HK\$1 for each contract Tier 3: HK\$0.5 for each contract	-
Exercise Fee #	HK\$2 for each contract	-

# Exercise and assignment of stock options involve settlement of the underlying stock. Normal commission rate of phone orders and other related charges (including stamp duty, HKEX trading fee, SFC transaction levy and CCASS stock settlement fee) will be charged.

- Commission is calculated separately for each side (buy / sell), different trading channels (telephone and internet) and different position (open new position and close position) and is charged once for the same contract for each 4 different transaction prices.
- In the event of any late settlement of stock options assignment, interest on the late settlement amount and a penalty equivalent to 0.05% of the assigned value (subject to a min. amount of HK\$200) would be charged. Moreover, our company reserves the rights of restricting stock options assignment and exercise of such client in the future.
- In case of selling call options, if the client cannot settle the assignment on time which is assigned on the day before the ex-dividend date, mandatory buy-back must be done on the ex-dividend day and an amount equal to the dividend of the buy-back stocks would be debited.

### Global Futures Services fees & Charges (Each Contract)

Product	Commission (Phone in)	Commission (Internet)
Global Futures (Except below Products)	US\$12.5	US\$12.5
Global Options	US\$12.5	US\$12.5
Micro E-mini Equity Futures	US\$12.5	US\$0.88
Micro FX Futures	US\$12.5	US\$0.88
Micro Gold Futures	US\$12.5	US\$1.38
Micro Sliver Futures	US\$12.5	US\$1.38
Micro WTI Crude Oil Futures	US\$12.5	US\$1.38
Micro Treasury Yield futures	US\$12.5	US\$1.38

Micro Bitcoin Futures	US\$12.5	US\$3.8
Mini Agricultural Product Futures	US\$12.5	US\$3.8
SGX FTSE China A50 Index Futures	US\$12.5	US\$3.8

Note: Global Futures Commission (All trading fees and levy are inclusive)

• The commission rate is negotiable for large trading volume. Please call 2500 9128 for more information.

## Online Trading System\*

Items	Monthly Fee <sup>†</sup>	Conditions to Waive <sup>o</sup>
Hong Kong Futures Real-time Quote Service	Free of Charge	-
Stock Options Real-time Quote Service	Free of Charge	-
Global Futures Real-time Quote Service (Non Professional User)* ◇	US\$3	Client's monthly internet transaction for global futures exceeds or reaches 10 lots
Global Futures Real-time Quote Service (Professional User)	US\$340	-

\* Qualified non-professional users can enjoy free "Global Future Real-time Quote Service" for 1-month. For detail, please contact with our Customer Support Centre at (852) 2500 9199.

† Full month rate will be charged regardless of commencement date of service and will be debited from client's account at the beginning of each month.

o If client fulfills the waiver terms and the monthly fee charged will be credited to client's account at the beginning of next month (refund maximum is US\$3)

◇ Clients need to sign [Non-Professional Self-Certification form](#) for non-professional users.

• Request for termination of Online Real-Time Price Quote Service should be made on or before 25<sup>th</sup> of each month.

• **Global Futures Real-time Price Quote deposit arrangement:**

Clients who apply for real-time quote will pay US\$10 (Non-Professional User) / US\$680 (Professional User) / US\$110 (Each ICE subscriber per sub exchange) as deposit. It will be refunded to your account when you cancel your subscription. Please be aware that your account should have adequate deposit for your subscription on 25<sup>th</sup> of each month. In order to prevent disruption in your subscription, our colleagues will contact you to remind your payment. The Company has the right to cancel your subscription if there is no sufficient fund on that day. The discrepancy will be deducted from your deposit. The amount remained will be deposited to your trading account.

## Contact

Futures & Global Trading 24hours Trading Hotline	(852) 2500 9128
Stock Options Trading Hotline	(852) 2500 9138

## Global Stocks - Service Fees & Charges

### US Stock Trading Services

Items	Charges	Minimum Charges	Transaction Cost** (Seller)
<b>Global Securities Master Account#</b> (Applicable to clients opening account after Jan 11, 2018)			
Commission for Internet Trade*	US\$0.015 per share	US\$10	0.00051% Minimum Charges US\$0.1
Commission for Phone Trade*	US\$0.03 per share	US\$20	0.00051% Minimum Charges US\$0.1
<b>Global Securities Frequent Trade Sub-account#</b>			
Commission for Internet Trade*	US\$0.02 per share	US\$3.88 (Normal Trade) US\$1.88 (Day Trade)	0.00051% Minimum Charges US\$0.1
Commission for Phone Trade*	US\$0.03 per shar	US\$20.00	0.00051% Minimum Charges US\$0.1
<b>SIPC Sub-account#</b>			
Commission for Internet Trade*	0.15%	US\$12	0.00051% Minimum Charges US\$0.1
Commission for Phone Trade*	0.20%	US\$20	0.00051% Minimum Charges US\$0.1

\* Terms and Conditions apply.

\*\* Transaction cost includes transaction levy payable to the US SEC and cost of other transaction activities.

# You must hold a Global Securities Master Account in order to set up a Sub-account. Global Securities Frequent Trade Sub-account and SIPC Sub-account are not applicable for AE clients, please refer to Terms and Conditions for details.



### Margin Financing Service

(Applicable to Global Securities Master Account and/or Global Securities Frequent Trade Sub-account open or apply for the change of interest rate on or after Jan 18, 2021.)

Account	Tiers of Margin Loan Amount (within accepted margin value) ^	Interest Rate of Margin Financing (in annual interest rate)
Margin Account <sup>+</sup>	US\$0 – US\$10,000	3.88 (Interest-Free in First Two Months <sup>#</sup> )
	US\$10,001 – US\$200,000	Chong Hing Bank Prime Rate
	US\$200,001 – US\$500,000	Chong Hing Bank Prime Rate -0.5%
	US\$500,001 or above	Chong Hing Bank Prime Rate -1%
	Call for deposit	Chong Hing Bank Prime Rate + 3.5%

<sup>+</sup>The financial charge is only applicable to Global Securities Master Account and/or Global Securities Frequent Trade Sub-account open or apply for the change of interest rate on or after Jan 18, 2021. For client who opens the above accounts before Jan 18, 2021, please see below for financial charges details.

<sup>^</sup>Negotiable rates for large amount financing.

<sup>#</sup>Terms and Conditions apply.

### Margin Financing Service (Applicable for Global Securities Account opens before Jan 18, 2021)

Items	Financial Charges <sup>^</sup> (in annual interest rate)	Remarks
Margin Account Lending Rate	Chong Hing Bank Prime Rate +2.5%	Overdue amount within the marginable value
	Chong Hing Bank Prime Rate +3.5%	Overdue amount within the marginable value

<sup>^</sup> Negotiable rates for large amount financing

## US Stock Options

Items	Charges	Minimum Charges
Commission for Internet Trade*	US\$3 per contract	US\$10
Commission for Phone Trade*	US\$3 per contract	US\$20

\* Commission is calculated separately for each side and trading channels individually.

\*\* Transaction cost includes transaction levy payable to the US SEC and cost of other transaction activities.

· Please contact the Chief's staff for details of the charges and fees for accounts opened before 31 October 2018.

· All information is subject to change without prior notice.

## Account Services

Items	Charges	References
Custody Fee and Dormant Account Fee	Free	-
Dividend Collection#	0.2% of dividend collected (50% off for US stocks Dividends Collection Fee for Monthly Investment Plan ^^)	Minimum Charges: US\$1 (50% off for US stocks Dividends Collection Fee for Monthly Investment Plan ^^)
Collection Fee of Bonus Issue	US\$1	-
Non-DTC stock charges	Based on different stocks and total shares traded	Trading Non-DTC stock**, clients are responsible to pay all the clearing charges related to the trade and such charges could exceed the total trading amount
DTC Settlement Instruction	Stock Deposit: Free Stock transfer to other brokers: US\$50 per stock	Minimum Charges: US\$150
ADR Pass-through Fees	Minimum US\$0.01 per share	-
Corporate Action Fees	All fees are borne by clients	-

Items	Charges	References
Voting Service	US\$3 per instruction	-
Administration Fee for Internal Stock Transfer	US\$10 per stock per time	-

^^ Only applicable for the purchased US stocks from Monthly US Stocks Investment Plan, the dividend collection service fee for the current month's dividend payment is 0.1% of the dividend collected (minimum charges: US\$0.5). All accounts of Monthly US Stocks Investment Plan shall pay the pre-defined dividend collection service fee first in full. Chief will calculate the total accumulated eligible dividend collection service fee and dividend collection service fee rebate (if any) of the account at the end of each month. The rebate amount will be deposited to the related account in the following month.

\*\* Please refer to our webpage for non-DTC stock information, the accuracy of all information subject to our company's and clearing agent's final announcement

# US stocks are required to pay 30% dividend tax when dividends are paid and dividend tax will be automatically withheld upon dividend payment (Some stocks may be defer and deduct in stages). Some stocks/ ETFs/ ETNs will be automatically refunded by US brokers from time to time to customers who have stocks at the time of netting.

### Singapore Stock Trading Services

Items	Charges (%)	Minimum Charges (Depending on denominated currency)
Commission for Phone Trade	0.20%	SG\$38 / US\$28 / HK\$188
Commission for Internet Trade	0.15%	SG\$18 / US\$13 / HK\$100
Exchange Transaction Fee	0.034775%	-
Exchange Access Fee	0.008025%	-

## Account Services

Items	Charges	
Cash/ Scrip Dividend Collection Fee	1% of dividend collected, minimum charges SG\$5 / US\$4	
Dividend Tax	Depends on the security dealers/ brokers' actual charge under different circumstances	
Bonus Collection	SG\$20 per instruction	
Exercise Warrant / Equity Interest	SG\$25 / US\$20 per instruction	
Corporate Action Fees	SG\$30 / US\$25 per instruction	
Voting Service	SG\$4 per instruction	
Physical Scrip Deposit / Withdrawal	Handle on a case-b-case basis	
SI Deposit / Withdrawal	SG\$10 per share	SG\$60 per share

## Wealth Management - Service Fees & Charges

Items	Structured notes (Including Equity Linked)		Bonds	Funds
	Year	Fee		
Subscription Fee or Commission	Less than 1 month	Not exceed 0.6%	Not exceed 0.6%	<p>Subscription Fee: Starting from 1.2%, depending on Individual Fund or refer to the respective offering documents of relevant funds will prevail.</p> <p>Switching Fee: Applicable to switching between funds provided by the same fund house.</p> <p>Online Fund Subscription Fee: As low as 0.8%, please refer to the respective offering documents of the relevant funds.</p>
	More than 1 month ≤ 3 months	Not exceed 1.5%		
	More than 3 months ≤ 6 months	Not exceed 2%		
	> 6 months	Not exceed 2.5%		
Custody Fee		-	0.05% (Minimum charge HK\$100 per month)	
Dividend Collection Fee		-	0.2% (Minimum charge HK\$50 per transaction)	
Transfer Fee #		-	HK\$400 per transaction	HK\$400 per transaction

# Please note that transfer in/out request of bonds/funds are limited to same name account only.

## Statement Service Charges

Items		Charges
Statement Administrative Fee	Paper Statement: E-statement:	HK\$10 per month* (Each Category**) Free of Charge
Request for Historical Statements	Send by post:	Within past 6 months: Each Category HK\$10 Beyond past 6 months up to 7 <sup>th</sup> year: HK\$20 per page
	Send by email:	Within past 6 months: Free of Charge Beyond 6 months up to 7 <sup>th</sup> year: HK\$20 per page

\* Charges will be waived for existing customers aged 65 or above.

\*\* HK stocks, Global Stocks, Futures Commodity and Stock Options will be each deemed as one category.

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