

Hong Kong Equities - Nominee Services and Charges

香港股票代理人服務收費一覽表

Effective Date : **1 Nov 2018**

生效日期 : **2018年11月1日**

Nominee Services 服務	Charges (HK\$) 收費	Minimum (HK\$) 最低收費(港元)	Maximum (HK\$) 最高收費(港元)
Transfer Deed Stamp Duty 轉手紙厘印費	\$5.00 for each transfer deed 每張轉手紙 \$5.00	N/A 不適用	N/A 不適用
Share Registration 股票過戶			
➤ Scripless 無紙化股票	Scrip fee: \$3.00 per board lot Handling fee: (included in Scrip Fee) 每張轉手紙 \$3.00 (已包手續費)	N/A 不適用	N/A 不適用
➤ Physical Scrip 實物股票	Scrip fee: \$2.50 per certificate plus Handling fee: \$5.00 per certificate 每張股票 \$2.50 另加手續費每張 \$5.00	N/A 不適用 \$140.00	N/A 不適用 \$20,000.00
Dividend Collection (HK\$) 代收股息 (港元)	0.5% of dividend received 股息之 0.5%	\$20.00	\$10,000.00
Dividend Collection (US\$) 代收股息 (美元)	0.5% of dividend received (HK\$ Equivalent) 股息之 0.5% (以港元等值計)	\$20.00 Equivalent 之等值	\$10,000.00 Equivalent 之等值
Bonus Issue 代收紅股	\$1.00 per board lot (based on existing holdings) (Odd lot is charged as a full board lot) 每手 \$1.00 元 (按現有存貨值計) (碎股亦以一手計)	\$5.00	\$200.00
Withdrawal Of Shares 提取股票			
➤ Physical 實物	\$5.00 per board lot (Odd lot is charged as a full board lot) 每手股票 \$5.00 (碎股亦以一手計)	\$60 per stock 每隻股票計\$60.00	N/A 不適用
➤ Settlement Instruction (SI) 轉倉	i) \$60.00 per stock or ii) 0.002% of total consideration per transaction (Based on previous day closing) whichever is higher i) 每隻股票計 \$60.00 或 ii) 以成交金額之 0.002% (以收費用較高者計算)	\$60 per stock 每隻股票計\$60.00	\$150
➤ Investor Settlement Instruction (ISI) 投資者交收指示	\$60.00 per stock 每隻股票計 \$60.00	\$60 per stock 每隻股票計\$60.00	N/A 不適用
Settlement Instruction 交收指示			
➤ Settlement Instruction (SI) 轉倉指示	0.002% of total consideration per transaction (Based on previous day closing) 每項交易總值之 0.002% (以上日收市價計)	\$10.00	\$150.00
➤ Investor Settlement Instruction (ISI) 投資者交收指示	\$10.00 per transaction 每項 \$10.00	\$10.00	N/A 不適用
Corporate Actions 企業行動	\$1.00 per board lot (No charges for stock consolidation and stock split) 每手股票收費 \$1.00 (股票合併或拆細不需收費)	N/A 不適用	\$10,000.00
Privatisation and Take-over 私有化及全面收購	\$50.00 per transaction 每項 \$50.00	N/A 不適用	N/A 不適用
Exercise Warrants & Rights Subscription 行使認股證及認股權	\$50.00 per transaction (If the rights or other derivatives are acquired from the market, a scrip fee of \$3.00 per board lot will be charged at the time of exercise) 每項 \$50.00 (如供股權等衍生產品是於市場購入, 須另收轉名費, 每手股票 \$3.00)	N/A 不適用	N/A 不適用
Dividend Claims 申請發還過期股息	\$500.00 per stock per claims 每隻股票, 每項追收 \$500.00	N/A 不適用	N/A 不適用
Account Service Fee 帳戶服務費	\$20.00 per month (Charged on the last trading day of the month) 每月 \$20.00 (於該月最後交易日支付)	N/A 不適用	N/A 不適用
Duplicate Statement 結單副本	\$100.00 per copy 每份 \$100.00	N/A 不適用	N/A 不適用
Transfer or payment made to a 3 rd party 轉帳或付款予第三者	\$200.00 per transaction 每項 \$200.00	N/A 不適用	N/A 不適用
Bounced cheque 退票	\$150.00 per cheque 每票 \$150.00	N/A 不適用	N/A 不適用
Audit Confirmation 核數證明	\$200.00 per confirmation 每份 \$200.00	N/A 不適用	N/A 不適用
Reference Letter 財務諮詢函件	\$200.00 per letter 每封函件 \$200.00	N/A 不適用	N/A 不適用

Note: 1. All fees and charges are subject to change without prior notice. This charge schedule is for reference only.
2. In the event of any inconsistency between the English and Chinese texts, the English text shall prevail.

附註: 1. 所有收費僅供參考, 如有更改, 可不另行通知。
2. 中英文本如有歧義, 以英文本為準。

Overseas Securities 海外股票

Custodian fees and other charges for Securities

證券託管及其它收費

1) Custodian Fees per Security 託管費 / 股票

a.) Custodian fees will be charged monthly 2 trading days before the month end. 託管費會於每月最後的第二個交易日收取。

b.) The formula for calculating monthly custodian fees is:

託管月費之計算方式:

Custodian Fees = (Ending Quantity x Ending Market Price) x (N x 1 basis point) / 12

託管費 = (股票結餘數量 x 股票結餘市值) X (N x 1基點) / 12

Note: Ending Quantity means the quantity of the Security 2 trading days before month-end 結存股票指當月最後第二個交易日之股票結存股數

Ending Market Price means the market price of the Security 2 trading days before month-end 股票市值指當月最後第二個交易日之股市值

1 basis point = 0.01% and N is a value applicable to the relevant market where the security (either Debt or Equity) is traded as per table below:

附註 1基點 = 0.01% N之價值適用於相關股票交易市場(債券或股票)交易表如下:

Market 市場	Type of Security 股票類別	
	Debt Security 債券	Equity 股票
United Kingdom (in GBP) 英國	N/A 不適用	3
Canada (in CAD) 加拿大	N/A 不適用	3.25
Australia (in AUD) 澳洲	2.5	N/A 不適用
Hong Kong (in HKD) 香港	2.5	N/A 不適用
Japan (in YEN) 日本	2.5	N/A 不適用
USA (in USD) 美國	2.5	N/A 不適用
Euro (in EUR) 歐元區	2.5	3
New Zealand (in NZD) 新西蘭	N/A 不適用	18
Taiwan (in USD) 台灣	N/A 不適用	25
Others 其它	2.5	3

c.) The minimum custodian fee is EUR 5 (or local currency equivalent) per month 每月最低託管費 5歐 元(或當地貨幣等值)

d.) Please refer to the illustrations below 請參閱下列附表

2) Other 其它

Type of event 事項	Per event processed 單一指示 (EUR) (歐元) (Equivalent to Local Currency) (相關交易貨幣)
Compensations and cash payments (per instruction) 倍償及現金付款 (每宗指示計)	5.00
Redemption (all types) (per event execution) 各類贖回 (每宗指示計) (Bonds / ELN Redeem To Cash / Stock) (債券 / ELN現金/股票贖回)	10.00
Default Stock dividend & Bonds Coupon (per event execution) 默認股息及債券票息 (每宗指示計)	10.00
Deliver & Receive Fees for Overseas Stock (Electronic) 海外股票轉出及存入費用 (無紙化) (Buy/Sell Trades Stock Transfer) (股票買/賣交易轉貨)	25.00
Deposit Physical Scrip 存入紙質憑證	EUR 250.00 minimum 最低收費 250歐元
Other mandatory event (per event execution) 其它強制性收購 (每宗指示計) (eg. Stock Split) (股票分拆)	30.00
Voluntary event (per instruction) 自願收購 (每宗指示計) (eg. Non Default Dividend Choice or Put Option Conversion) (非默認股息選擇或認沽期權)	50.00
Sale or purchase of rights 供股權買賣	1.8% or EUR 26.50 minimum 最低收費 5歐元
External delivery of corporate action proceeds 企業行動收益轉出 (eg. ELN Redeem To Stock & Deliver To Other Counterparty) (例子: ELN贖回之股票轉至第三者)	100.00
Proxy voting service 代理投資服務	
AGM or EGM agenda request 索取週年股東大會及臨時股東大會章程	50.00
Proxy voting instruction / attendance (代理投票及出席)	50.00
Remarks: Clients are also liable for other fees to be charged by Clearstream Banking that may not be listed above. 備註: 客戶必需支付以上並未列出Clearstream Banking 徵收之費用	

ILLUSTRATION 1		ILLUSTRATION 2	
Canada		Euro	
Name of Equity	ABC Co	Name of Equity	XYZ Co
Quantity Held:	Ending 100,000	Quantity Held:	Ending 15,000
Market Price	CAD 6.00	Market Price	EUR 5.00
Exc Rate to EUR/CAD	0.65	Exc Rate to EUR	1
Custodian Fee Calculation		Custodian Fee Calculation	
(Ending Quantity x Ending Market Price) X (3.25 x 0.01%) / 12		(Ending Quantity x Ending Market Price) X (3 x 0.01%) / 12	
Minimum EUR 5 per month (or Local Currency Equivalent)		Minimum EUR 5 per month (or Local Currency Equivalent)	
(100,000 x CAD6.00) x (3.25 x 0.01%) / 12 = CAD16.25 or EUR10.56		(15,000 x EUR5.00) x (3 x 0.01%) / 12 = EUR1.87	
Minimum EUR 5 per month (or Local Currency Equivalent)		Minimum EUR 5 per month (or Local Currency Equivalent)	
CAD16.25		EUR5.00	

DIVIDEND COLLECTION FEES FOR OVERSEAS STOCK 海外證券市場股息代收費用

MARKET 市場	DIVIDEND COLLECTION FEE 收取股息手續費			
		MIN 最低	MAX 最高	OTHERS 其它
AUSTRALIA 澳洲	1%	AUD 10 10 澳元	AUD 50 50 澳元	PLUS BANK/CUSTODIAN AND OTHER CHARGES IF ANY 另加銀行/證券托管 及其他收費 (如有)
		SCRIP DIVIDEND: AUD 10 PER STOCK 股票股息: 10 澳元/股票		
CANADA 加拿大	1%	Default option CAD 20 any other choice CAD 65 默認選項 20 加拿大元 其它選項 65 加拿大元	CAD 100 100 加拿大元	
		SCRIP DIVIDEND: SGD 20 PER STOCK 股票股息: 20 新加坡元/股票		
INDONESIA 印尼	1%	SGD 20 20 新加坡元	SGD 150 50 新加坡元	
		SCRIP DIVIDEND: SGD 20 PER STOCK 股票股息: 20 新加坡元/股票		
KOREA 韓國	1%	KRW 20,000 20,000 韓元	KRW 100,000 100,000 韓元	
MALAYSIA 馬來西亞	1%	SGD 10 10 新加坡元	SGD 150 150 新加坡元	
		SCRIP DIVIDEND: SGD 20 PER STOCK 股票股息: 20 新加坡元/股票		
NEW ZEALAND 紐西蘭	1%	AUD 10 10 澳元	AUD 50 50 澳元	
		SCRIP DIVIDEND: AUD 20 PER STOCK 股票股息: 20 澳元/股票		
PHILIPPINES 菲律賓	1%	USD 10 10 美元	USD 50 50 美元	
		SCRIP DIVIDEND: USD 20 PER STOCK 股票股息: 20 美元/股票		
SHENZHEN 深圳	1%	HKD 20 20 港元	HKD 200 200 港元	
SHANGHAI 上海	1%	USD 10 10 美元	USD 50 50 美元	
		SCRIP DIVIDEND: USD 20 PER STOCK 股票股息: 20 美元/股票		
SINGAPORE 新加坡	1%	SGD 10 10 新加坡元	SGD 150 150 新加坡元	
		SCRIP DIVIDEND: SGD 20 PER STOCK 股票股息: 20 新加坡元/股票		
EUROPE 歐洲	1%	Default option EUR 10 any other choice EUR 50 默認選項 10 歐元 其它選項 50 歐元	EUR 75 75 歐元	
UNITED KINGDOM 英國	1%	Default option GBP 8 any other choice GBP 40 默認選項 8 英鎊 其它選項 40 英鎊	GBP 50 50 英鎊	
THAILAND 泰國	1%	THB 750 750 泰珠	THB 15,000 15,000 泰珠	
		SCRIP DIVIDEND: THB1,000 PER STOCK 股票股息: 1,000 泰珠/股票		
TAIWAN 台灣		CASH DIVIDEND: NTD 1,000 PER STOCK 現金股息: 1,000 新台幣/股票		
USD 美元 (NON US LISTED 非美國上市 股票)	1%	USD 5 5 美元	USD 50 50 美元	
		SCRIP DIVIDEND: USD 20 PER STOCK 股票股息: 20 美元/股票		
USD 美元 (US LISTED 美國上市股票)	2.5 %	USD 10 10 美元	USD 100 100 美元	
JAPAN 日本	1%	JPY 1,000 1,000 日元	JPY 10,000 10,000 日元	

Remarks: Dividend Collection Fee is chargeable on net amount received from correspondent overseas brokers.

Notice may not be available in advance for fees charged by overseas stock exchanges, clearing systems, overseas brokers or governments (sales tax).

備註: 股息代收費根據相關海外經紀收取之淨額計算。除上述費用外, 可能還涉及其他海外交易所、結算所或政府稅項收費等。本公司可修改所有佣金及收費, 恕不另行通知。

TRANSACTION FEES ON HONG KONG STOCKS 香港股票買賣收費

ITEMS 項目	DESCRIPTION 詳細	Minimum (HK\$) 最低收費(港元)	Maximum (HK\$) 最高收費(港元)
Commission 佣金	Variable, depending on transaction frequency, volume and level of service. Please ask your Account Executive before placing orders if you have not already been informed. 收費取決於交易次數、交易量及服務等級。如閣下並未收到通知，請在下買賣指示前諮詢閣下之客戶主任。	\$125	N/A 不適用
Stamp Duty 印花稅	HKD1 per HKD1,000 of total consideration. If consideration is less than HKD1,000, the client also needs to pay HKD \$1 (any fraction of HKD1.00 should be rounded upward to HKD1.00) 每 1,000 港元交易總值收費\$1 港元 如交易總值不足 1,000 港元，客戶亦須支付\$1 港元（HKD1.00 的任何部分均須向上舍入為 HKD1.00）	\$1	N/A 不適用
Transaction Fee 手續費	0.0027% of total consideration 每項交易總值之 0.0027%	N/A 不適用	N/A 不適用
Trading Fee 交易費	0.005% of total consideration 每項交易總值之 0.005%	N/A 不適用	N/A 不適用
CCASS 中央結算系統	0.002% of total consideration (Applicable to stocks traded through CCASS only) 每項交易總值之 0.002% (適用於在中央結算系統交易之股票)	\$2	\$100

TRANSACTION FEES ON SHANGHAI-HONG KONG STOCK CONNECT/SHENZHEN-HONG KONG CONNECT

滬港通／深港通股票買賣收費

ITEMS 項目	DESCRIPTION 詳細	Minimum (CNY) 最低收費(人民幣)	Maximum (CNY) 最高收費(人民幣)
Commission 佣金	Variable, depending on transaction frequency, volume and level of service. Please ask your Account Executive before placing orders if you have not already been informed. 收費取決於交易次數、交易量及服務等級。如閣下並未收到通知，請在下買賣指示前諮詢閣下之客戶主任。	CNY150	N/A 不適用
Stamp Duty 印花稅	0.100% of the consideration of a transaction on the seller 每項交易總值之 0.100%，由賣方支付	N/A 不適用	N/A 不適用
Handling Fee 手續費	0.0048% of the consideration of a transaction per side 買賣雙方均須分別支付每項交易總值之 0.0048%	N/A 不適用	N/A 不適用
Management Fee 管理費	0.002% of the consideration of a transaction per side 買賣雙方均須分別支付每項交易總值之 0.002%	N/A 不適用	N/A 不適用
Transfer Fee (ChinaClear) 過戶費用(中國結算)	0.002% of the consideration of a transaction per side 買賣雙方均須分別支付每項交易總值之 0.002%	N/A 不適用	N/A 不適用
Transfer Fee(CCASS) 過戶費用(中央結算系統)	0.002% of the consideration of a transaction per side 買賣雙方均須分別支付每項交易總值之 0.002%	N/A 不適用	N/A 不適用
Portfolio Fee 投資組合費用	Daily stock portfolio value x 0.008% / 365 (Accrued daily and collected on a monthly basis) 每日股票投資組合總值 x 0.008% / 365 (每日累計，每月收取)	N/A 不適用	N/A 不適用
Dividend Collect Fees 代收股息費	1% of dividend collect 股息總值之 1%	CNY 60.00	CNY 5,000.00