

股票服務收費表 Service Charges

證券交易服務 Trade-related Services	
港股 (HK Market)	
經紀佣金 Brokerage Commission	成交金額之 0.1% (最低收費港幣 80 元) 0.1% on Transaction Amount (Min Charge HK\$80)
從價印花稅 Stamp Duty	每港幣 1,000 元成交金額收費港幣 1.00 元 (不足港幣 1,000 元亦作 1,000 元計) HK\$1.00 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 0.0027% SFC Transaction Levy of Transaction Amount 0.0027%
交易費 Trading Fee	聯交所交易費 成交金額之 0.005% SEHK Trading Fee of Transaction Amount 0.005%
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 0.0042% 0.0042% on Transaction Amount
平台使用費 Platform Fee	每筆訂單港幣 15 元 HK\$15 per order for the minimum charges

實物股票處理及交收服務 Scrip handling and settlement-related services	
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) Free of charges (exempted by ZYSL)
結算所入倉費 Stock Deposit Fee	免收 (已獲本公司豁免) Free of charges (exempted by ZYSL)
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 3.5 元及手續費 50 元 (不足一手亦當一手計) HK\$ 3.50 per Board Lot (Odd Lots also charge HK\$ 3.50 each) & HK\$ 50.00 Handling Charge
代收股息 / 紅股 / 認股證 Dividend / Bonus / Warrants Collection Fee	現金股息之 0.50% (最低收費港幣 30 元)及過戶費每手港幣 1.5 元 0.50% on Dividend Amount (Min HK\$ 30.00) & Script Fee HK\$ 1.50 per lot 股權分發：登記及過戶費每手 1.5 元及手續費港幣 30 元 Entitled Bonus: Script Fee HK\$ 1.50 per lot & HK\$ 30.00 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 50 元 HK\$ 50.00 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 0.25% (最低港幣 80 元) 0.25% on gross offer amount (Minimum: HK\$ 80)
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 200 元 Cost of claim plus HK\$ 200.00 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 2.5 元及手續費港幣 300 元 Scrip Fee by Registration HK\$ 2.50 per lot & HK\$ 300.00 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 50 元融資申請：手續費港幣 100 元 信託費：按成功申請獲分配股票每買賣單位收取港幣 10 元 利息按個別股票及市場利率變化而定 Non-Financing: HK\$ 50.00 per application (manual) Financing: HK\$ 100.00 per application HK\$ 10.00 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 100 元 Handling charges:HK\$ 100.00

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 100 元 Nil if the confirmation is issued from auditors, others HK\$ 100
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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 + 5% Prime rate (quoted by CCB(Asia)) plus 5%
電匯費用 Telegraph Transfer (T/T)	每單交易收費港幣 150 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 200 元 HK\$200 per case
銀行本票收費 Bank draft	每次港幣 50 元 + 實質銀行收費 HK\$50 plus bank charge
退票 Returned Cheque	每一退票收費港幣 200 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 100 元，超過一年則收取港幣 200 元；取回三個月內成交單免費，三個月以上收港幣 100 元，超過一年則收取港幣 200 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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滬/深港通 A 股（北向交易） China Connect(Northbound Trading)	
交易佣金 Brokerage	成交金額之 0.1% (最低收費人民幣 100 元) 0.1% on Transaction Amount (Min Charge RMB \$100)
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)
平台使用費 Platform Fee	每筆訂單人民幣 15 元 RMB 15 per order for the minimum charges

美股（ U.S. Market ）	
經紀佣金 Brokerage Commission	每股 0.05 美元 (每筆交易最低收費 1.99 美元) US\$0.05 per share (US\$1.99 for the minimum charges)
平台使用費 Platform Fee	每筆訂單 2 美元 US\$2 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%，最低\$0 0%, US\$0 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\$0.000166/股, (最低 US\$0.01,最高 US\$8.30) US\$0.000166 for per share, minimum US\$0.01, maximum US\$8.30
美股交收費 Settlement fee	美國結算公司交收費 Clearing fee US\$0.003/股, (最低 US\$0.01) US\$0.003 for per share, minimum US\$0.01. US\$1%, (最低 US\$0.2) (碎股) US\$1%,minimum US\$0.2(Odd lot) 綜合會計追蹤資金費用 FINRA Audit Trail Fee US\$1%, minimum US\$0.2 (Odd lot) US\$0.000035/股, (最低 US\$0.01) US\$0.000035 for per share, minimum US\$0.01 合計收費為 US\$0.003035/股,(最低 US\$0.02) Combine charge US\$0.003035 for per share(minimum US\$0.02)
其他徵費 (Other Charges)	
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\$0.01 – 0.05/股 US\$0.01-0.05 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\$300/隻，另加上 USD0.05 每股 Basic charge US\$300 per stock plus US\$0.05 per share.
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%