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

### HK Stocks Trading Services

Item		Charges (%)	Minimum Charges***
Commission for Internet Trade	Normal Trading Plan*	0.0668	HK\$20/ RMB¥20
Commission for Phone Trade*		0.125	HK\$38/ RMB¥38
Commission for Prelisting Internet Trade*		0.0668	HK\$20 / RMB¥20
Commission for Prelisting Phone Trade*		0.125	HK\$38 / RMB¥38
Commission for Monthly Investment		HK\$0 commission fee during promotion period^#	
Commission for Dividend Reinvestment#		Free	

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.

The above commission rates apply to Hong Kong stock accounts opened on or after April 16, 2025. For accounts opened before April 16, 2025, details of fee adjustments will be notified separately via letter.

\*Commissions for buy/sell and different transaction methods are calculated separately, and no consolidation service is provided.

\*\*\* The other fees of trading in listed RMB¥ or others' non-HK\$ denominated securities would be calculated in HK\$ and cleared in RMB¥ or others' non-HK\$ through CCASS. Equivalent amount of currency or buying power in the accounts will be needed if clients are buying and selling RMB¥ settlement securities. Please contact our Chief Care Department if you need the currency exchange services, exchange rate risk may occur, the exchange rate is subject to the company's announcement; Clients could make the orders through phone call. If an internet trading order of HK/ Global stock has been amended and executed by our staff, the Trade Type of this order will be deemed as Phone Trade and the Commission will be charged on Phone Trade basis.

^ Brokerage fee waiver for the first HK\$10,000 of each stock contribution amount for online application before 31 December 2025, followed by 0.0668% (no minimum charges).

# Clients are required to pay stamp duty, SFC transaction levy, AFRC transaction levy, HKEX trading fee and CCASS stock settlement fee.

## Other Fees

Items	Charges	Charging Party
SFC Transaction Levy#	0.0027%* transaction amount, Minimum HK\$0.01	HKSF
Accounting and Financial Reporting Council Transaction Levy#	0.00015%* transaction amount, Minimum HK\$0.01	AFRC
HKEX Trading Fee #	0.00565%* transaction amount, Minimum HK\$0.01	HKEX
Stamp Duty#	0.1%* transaction amount, Rounded up to the Nearest Dollar	HKSAR Government
CCASS Stock Settlement Fee#	0.005%* transaction amount, Minimum HK\$5	HKSCC

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

## Monthly Investment Plan

Charges
<p>Commission: Free*</p> <p>^Brokerage fee waiver for the first HK\$10,000 of each stock monthly contribution, followed by 0.0668% (no minimum charges)</p> <p>Customers are required to pay stamp duty, SFC transaction levy and other fees</p>

\* For Online application only, promotion period until 31 December, 2025. Offers are subject to relevant terms and conditions. The above commission rates apply to Hong Kong stock accounts opened on or after April 16, 2025. For accounts opened before April 16, 2025, details of fee adjustments will be notified separately via letter.

## Happy Kid Securities Sub-Account Trading Services

Items	Charges (%)	Minimum Charges
Commission for Internet Trade	0.0668	HK\$20/ RMB¥20
Commission for Phone Trade*	0.125	HK\$38 / RMB¥38
Monthly Investment Plan	Commission: Free** Brokerage fee waiver for the first HK\$10,000 of each stock monthly contribution, followed by 0.0668% (no minimum charges)	

\*Commissions for buy/sell and different transaction methods are calculated separately, and no consolidation service is provided.

\*\* Offers are subject to relevant terms and conditions.

# Other charges refer to HK Stocks Charges.

The above commission rates apply to Hong Kong stock accounts opened on or after April 16, 2025. For accounts opened before April 16, 2025, details of fee adjustments will be notified separately via letter.

## HK Stocks Scrip Handling and Settlement-related Services

Items	Charges	Minimum 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\$500 per stock
	(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\$400 per stock*	-
Stock Conversion Fee	HK\$50 per stock	-
Physical Stock Custodian Fee ##	HK\$100 per stock per 6 months	
Compulsory Buy-back Fee	1% of share value	HK\$300 per Stock
Handling Charge for Bought & Sold Note	HK\$100 per stock each time	

\* Fees can be waived for concurrent deposit of shares with market value.

# 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 11th 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*	0.0668	RMB¥20
Commission for Phone Trade*	0.125	RMB¥38
Handling Fee	0.00341	-
Securities Management Fee	0.002	-
Transfer Fee	0.003	-
Stamp Fee	0.05% of Consideration (for sell trade only)	-

\*Commissions for buy/sell and different transaction methods are calculated separately, and no consolidation service is provided.

- 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.
- The above commission rates apply to Hong Kong stock accounts opened on or after April 16, 2025. For accounts opened before April 16, 2025, details of fee adjustments will be notified separately via letter.
- Equivalent amount of currency or buying power in the accounts will be needed if clients are buying and selling RMB¥ settlement securities. Please contact our Chief Care Department if you need the currency exchange services, exchange rate risk may occur, the exchange rate is subject to the company's announcement; Clients could make the orders through phone call.

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

Items	Charges	Minimum Charges
CCASS Settlement Instruction (SI)	RMB¥5 per board lot	RMB¥500 per stock
	(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
Scrip Fee	HK\$1.5 per board lot or its equivalent in foreign currency	-
Cash Dividend Collection Fee	0.3% of dividend collected	HK\$20 / RMB¥20
Scrip Dividend Collection Fee	0.3% of dividend collected	HK\$20 / RMB¥20
Collection Fee of Bonus Issues	HK\$20 / RMB¥20	-
Rights Shares Collection Fee	HK\$20 / RMB¥20	-
Fractional Share Administration Fee	HK\$20 / RMB¥20	-
Corporate Action Fee	HK\$2 / RMB¥2 per board lot	HK\$50 / RMB¥50
Share Consolidation/ Subdivision	Free	-
Excess Rights Shares	HK\$30 / RMB¥30 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¥50, Only voting service in General Meeting is provided	-
Redemption Fee of Silver Bond / AA Retail Bonds	HK\$100 per redemption	

### Margin Financing Service

(Applicable to HK Stocks Margin Account open or apply for the change of interest rate on or after April 1, 2025. The interest rate will be as stated in the customer's statement.)

Account	Tiers of Margin Loan Amount (within accepted margin value) <sup>^</sup>	Interest Rate of Margin Financing (in annual interest rate)
Margin Account	HK\$0 – HK\$100,000	2.88%*
	HK\$100,001 above	6.8%
	Call for Deposit	10.5%

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

\* [Terms and Conditions \(Provide Chinese Version Only\)](#) apply.

### Margin Financing Service

(Applicable to HK Stocks Margin Account opened between January 18, 2021, and March 31, 2025. The interest rate will be as stated in the customer's statement.)

Items	Financial Charges (in annual interest rate) <sup>^</sup>	Interest Rate of Margin Financing (in annual interest rate)
Margin Account	HK\$0 – HK\$100,000	Chong Hing Bank Prime Rate +1%
	HK\$100,001 – HK\$3,000,000	Chong Hing Bank Prime Rate +2%
	HK\$3,000,001 – HK\$10,000,000	Chong Hing Bank Prime Rate +1.5%
	HK\$10,000,001 above	Chong Hing Bank Prime Rate +1%
	Call for Deposit	Chong Hing Bank Prime Rate +5%

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

### Margin Financing Service

(Applicable to HK Stocks Margin Account open or apply for the change of interest rate on or before 18 Jan, 2025. The interest rate will be as stated in the customer's statement.)

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 exceed the marginable value
Cash Account and Custodian Account Overdue Interest	Chong Hing Bank Prime Rate +5%	-

\*\* Negotiable rates for large amount financing

## Other Services

Item		Charges
Handling Charge for IPO Application <sup>^</sup>	Financing Application:	HKD denominated products: HK50-128
		RMB denominated products: RMB¥50-128
	Cash Application:	(i) Via Internet: Free
		(ii) Extended application period (Internet): Free
	(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\$220 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.

<sup>^</sup> IPO duplicate subscription instructions (cash and/or warrant) will be cancelled, and a handling fee of HK\$100 will be charged per cancellation instruction.



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

Vendor	Version	Monthly Charges **
Chief Trader LV1 real-time quotes Service	Chief Trader	Free
AAStocks	QuoteWinner (Web version)	HK\$388
ETNET	Web version	HK\$388
	China version	HK\$268
Megahub	Basic Web version	HK\$368
PowerTicker	Basic Download version	HK\$518 / 5,588 (Annual package) #
	Professional Download version	HK\$1,018 / HK\$9,788 (Annual package) #
	China version	HK\$238
AFE (No new application allowed)	Web version	HK\$388
AA Stocks 2007	China Version	HK\$538

### Term of Monthly Fee Rebate

Client's monthly Commission for HK Stocks Internet Trade exceeds or reaches HK\$1,688 or total monthly trading amount reaches HK\$3,500,000.

\* 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\$388).

# 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: (Except Chief Trader LV1 real-time quotes Services)

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

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

### Futures Charges (Each Contract)

Product	Commission (Phone in) Day Trade Overnight		Commission (Internet) Day Trade Overnight		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
HFI 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
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 London Zinc London Nickel London Tin London Lead London Copper	RMB¥16.5		RMB¥12		RMB¥3	RMB¥0.44
CES 120 Futures	HK\$30	HK\$50	HK\$20	HK\$30	HK\$10	HK\$0.54

**Futures Charges** (Each Contract)

Product	Commission (Phone in) Day Trade Overnight		Commission (Internet) Day Trade Overnight		Trading Fee	Transaction Levy
	Day Trade	Overnight	Day Trade	Overnight		
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	-
Sector Index Futures	HK\$16.5	HK\$26.5	HK\$12	HK\$20	HK\$2	HK\$0.54
MSCI Index Futures	US\$4		US\$1		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.

^ Trading Fees of MSCI Futures are subject to corresponding futures. Details could be found at HKEX's website.

## 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\$2		US\$1	US\$0.07
MSCI Taiwan (USD) Index Options	US\$4		US\$2		US\$1	US\$0.07

The commission rate is negotiable for large trading volume. Please call (852) 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.

\*\*Gold/Silver futures do not support physical delivery. Positions must be closed before the expiration date.

\*\*\* 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.

^ The exchange fees for MSCI index futures will be determined based on individual futures. For details, please refer to the HKEX website.

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

1. 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.
2. 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.)
3. HKEX announced that all MSCI futures and options will be the first suite of products ("H Products") to be cleared on Hong Kong public holidays ("H Days") commencing from Monday, 9 May 2022 (Buddha's Birthday public holiday).
4. "H Days" will be regarded as clearing date. Establishment of any futures position in the T+1 session preceding "H Days" which is closed during the next normal trading session following "H Days" would be charged with the commission rate for overnight trade.

- 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	General Charge	0.25% of Contract Value	HK\$50
	「Long Options \$5 Plan」	HK\$5* per lot	N.A.
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	-
Stock Option Individual Client Account		For more details, please call 2500 9138 for inquiries.	-

# 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, SFC transaction levy, AFRC transaction levy, HKEX trading fee 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.

\* Applicable to online trading of stock options traded on the SEHK to opening a long position(s) (i.e., relevant Long Call or Long Put instructions) and subsequent related closing position(s) (i.e., relevant Short Call or Short Put instructions). Please refer to T&C for details.

### 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
Mini VIX Index	US\$12.5	US\$1.38
Micro Metal Futures	US\$12.5	US\$1.38
Micro Energy Futures	US\$12.5	US\$1.38
Micro Interest Rate Futures	US\$12.5	US\$1.38
Micro Cryptocurrency 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 (852) 2500 9128 for more information.

### Online Trading System\*

Items	Monthly Feet	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)*	Free of Charge	-
Global Futures Real-time Quote Service (Professional User)	US\$500	-

- Clients need to read and confirm CME Subscriber Agreement for non-professional users.
- Request for termination of Online Real-Time Quote Service should be made on or before 25th of each month.

#### Global Futures Real-time Quote service deposit arrangement:

Clients who apply for the real-time quote service will be required to pay a US\$500 deposit (for professional users). This deposit will be refunded to your account when you cancel your subscription. Please note that your account must maintain a sufficient balance to cover the next month's subscription fee, which is due on the 25th of each month. If there are insufficient funds in your account on the due date, our team will contact you to request that you top up the balance. The company reserves the right to cancel your real-time quote service if there is no sufficient fund on that day. Any outstanding fees will be deducted from your deposit, and the remaining balance (if any) will be credited back to your trading account.

#### Contact

HK Futures & Global Futures Trading	(852) 2500 9128
Stock Options Trading	(852) 2500 9138

## Global Securities - Service Fees & Charges

### US Stock Trading Services

Items	Charges#	Minimum Charges
<b>Global Trading Account (MQ AC)</b>		
Commission for Internet Trade*	US\$0.015 per share	US\$0.99
Commission for Phone Trade*	US\$0.03 per share	US\$20
<b>SIPC Global Trading Account (M AC)</b>		
Commission for Internet Trade*	US\$0.01 per share	US\$2.88
Commission for Phone Trade*	US\$0.03 per share	US\$20

\*Commissions for buy/sell and different transaction methods are calculated separately, and no consolidation service is provided.

#The above charges do not include regulatory fees, clearing fees, exchange fees, or transaction fees. These fees will be charged separately. For details, please refer to the official website of Chief Securities.

#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.

### Other Fees

Items	Charges#	Minimum Charges
NCCC (DTC) Clearing Fee	US\$0.0002 per share	US\$0.01
Transaction Fee (Seller)	0	0
FINRA Trading Activity Fee (Seller)	US\$0.000166 per share	US\$0.01 (Max. US\$8.3)

#Fees are subject to periodic updates in compliance with regulations published by U.S. regulatory authorities.



## Monthly Investment Plan

Charges	
Commission: Free*	
Brokerage fee waiver for the first US\$1,000 of each stock monthly contribution, followed by 0.15% (no minimum charges) Customers are required to pay other fees	

\* For Online application only, promotion period until 31 December, 2025. Offers are subject to relevant terms and conditions.

## Margin Financing Service

(Applicable to Global Trading Margin Account open or apply for the change of interest rate on or after April 1, 2025. The interest rate will be as stated in the customer's statement.)

Account	Tiers of Margin Loan Amount (Within accepted margin value) ^	Interest Rate of Margin Financing (In annual interest rate)
Margin Account	US\$0 – US\$10,000	2.88%*
	US\$10,001 or above	6.8%
	Call for Deposit	9%

^ Negotiable rates for large amount financing.

\* [Terms and Conditions \(Provide Chinese Version Only\)](#) apply.

## Margin Financing Service

(Applicable to Global Securities Master Account and/or Global Securities Frequent Trade Sub-account opened or with interest rate changes requested between January 18, 2021, and March 31, 2025. The interest rate will be as stated in the customer's statement.)

Account	Tiers of Margin Loan Amount (Within accepted margin value) ^	Interest Rate of Margin Financing (In annual interest rate)
Margin Account	US\$0 – US\$200,000	Chong Hing Bank Prime Rate +1%
	US\$200,001 以上	Chong Hing Bank Prime Rate +0.5%
	Call for Deposit	Chong Hing Bank Prime Rate +3.5%

^ Negotiable rates for large amount financing.

## Margin Financing Service

(Applicable to HK Stocks Margin Account open or apply for the change of interest rate on or before 18 Jan, 2025. The interest rate will be as stated in the customer's statement.)

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 exceed the marginable value

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

## US Stock Options

Items	Charges	Minimum Charges
Commission for Internet Trade*	US\$0.99 per contract	US\$1.88
Commission for Phone Trade*	US\$0.99 per contract	US\$20
Exercise Fee^	US\$1 per transaction	-
Options Regulatory Fee	US\$ 0.02875 per contract	US\$ 0.01
Transaction Fee (Seller)	0.00278%* Transaction Amount	US\$0.01
FINRA Trading Activity Fee (Seller)	US\$0.00279 per contract	US\$0.01
Exchange Fee (US Stock Options)	Varies by Exchanges and transaction type	

\*Commissions for buy/sell and different transaction methods are calculated separately, and no consolidation service is provided.

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

^ Exercise and assignment of stock options involve settlement of the underlying stock. Normal commission rate of internet orders and other related charges (including but not limit to NSCC (DTC) Clearing Fee , Transaction Fee (Seller), FINRA Trading Activity Fee (Seller) will be charged.

“The Option Regulatory Fees, Trading Activity Fees(Seller) and Transaction fees (for Sellers) related to U.S. stock options will be subject to adjustments based on the fees announced by the relevant U.S. agencies from time to time. ”

## 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	-
Voting Service	US\$3 per instruction	-
Administration Fee for Internal Stock Transfer	US\$10 per stock per time	-
Exchange Fee (US Stock Options)	US\$0.02 per contract	-

^^ 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-by-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 (Including Equity Linked)
	Year	Fee		
Subscription Fee or Commission	Less than 1 month	Not exceed 0.6%	Not exceed 1%	<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\$600 per transaction	HK\$600 per transaction

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

## US Treasury Bond Trading Services

(Trading Time: Summer: HKT 16:00-05:00 , Winter: HKT 17:00-05:00)

Items	Charges	Minimum Charges
Commission for Internet Trade*	Face Value 0.1%	US\$8
Commission for Phone Trade*	Face Value 0.1%	US\$20
Custody Fee	Face Value 0.05% (Annualized , charge per month)	US\$0.01
Dividend Collection Fee	Free of Charge	
Platform Fee	Free of Charge	
Transfer Fee#	Transfer in : Free of Charge Transfer out : US\$100 per transaction	

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

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

## Statement Service Charges

Items		Charges
Statement Administrative Fee	Paper Statement:	HK\$20 per month* (Each Category**)
	E-statement:	Free of Charge
Request for Historical Statements	Send by post:	Within past 3 months: Free of Charge
		Beyond 3 months: HK\$20 per page
	Send by email:	Within past 6 months: Free of Charge
		Beyond 6 months: HK\$20 per page

\* Charges will be waived for existing customers born in or before 1957.

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

All information is subject to change without prior notice.

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