

Effective Date : Jan 1, 2021

Fees for Hong Kong Market

Hong Kong Stocks

Trade-Related Services

Services	Fees/Charges
Brokerage Commission	Negotiable
Transaction Levy	0.0027% of transaction amount
Trading Fee	0.005% of transaction amount
Stamp Duty	HKD 1 each HKD 1,000 of transaction amount (Amount less than HKD 1,000 is treated as HKD 1,000)
CCASS Stock Settlement Fee	0.002% of transaction amount (subject to a minimum cap of HKD 2, and a maximum cap of HKD 100)

- Settlement Period: T+2

Scrip Handling and Settlement Related Services

Services	Fees/Charges
Compulsory Share Buy-back Fee	0.5% of stock value based on the previous closing price, plus a handling fee of HKD 200 per transaction
Deposit Fee for Physical Share Certificate	Free of charge
Additional Rush service Fee for Deposit Physical Share Certificate	HKD 3 per certificate (Collected by share registrar) , plus Handling Fee of HKD 100
Withdrawal Fee for Physical Share Certificate	HKD 5 per board lot (odd lots are charged as board lots) (subject to a minimum cap of HKD 50)
Settlement Instruction Fee (Stock Transfer In)	Free of charge
Settlement Instruction Fee (Stock Transfer Out)	0.05% of stock value based on the previous closing price (subject to a minimum cap of HKD 50, and a maximum cap of HKD 250)
Investor Settlement Instruction Fee (Receipt)	Free of charge
Investor Settlement Instruction Fee (Stock Transfer Out)	0.05% of stock value based on the previous closing price (subject to a minimum cap of HKD 30, and a maximum cap of HKD 100)
Transfer Deed Stamp Duty	HKD 5 for each transfer deed (Collected by HK Inland Revenue Department)

Account Maintenance

Services	Fees/Charges
Audit Confirmation Fee	HKD 50 per confirmation request
Custodian Fee	Free of charge
Physical Statement	HKD 100 per year

Nominee Services and Corporate Actions

Services	Fees/Charges
Change of Registration at Share Registrar	Share Registrar Fee plus Handling Fee of HKD 200
Collection Fee for Cash Dividend / Coupon Interest/ Scrip Dividend	0.5% of dividend payment amount (subject to a minimum cap of HKD25, and a maximum cap of HKD10,000) plus clearing fee and Withholding Tax
Collection Fee for Bonus Issue	HKD 1 per lot (odd lots are also charged at HKD 1 each) (subject to a minimum cap of HKD 25)
Scrip Fee	HKD 1.5 per lot (odd lots are also charged at HKD 1.5 each)
Fee for Cash Offer / Privatization	HKD 0.8 per lot (odd lots are also charged at HKD 0.8 each), plus Handling Fee of HKD 100
Fee for Exercise Rights / Warrants	HKD 0.8 per lot (odd lots are also charged at HKD 0.8 each), plus Handling Fee of HKD 100
Fee for Excess Rights / Excess Open Offer Application	Free of charge
Fee for Voting Instruction	HKD 100 per application

Financing and Other Services

Services	Fees/Charges
IPO Application Fee	HKD 100 per application
Overdue Interest Rate for Cash Account	HKD: SCB HK Dollar Prime Rate + 6% USD: United States Prime Rate + 2 % CNY: People's Bank of China - RMB Benchmark Loan Interest Rates + 5% Other Currency: United States Prime Rate + 5.2%
Margin Account Financing Interest Rate	HKD: SCB HK Dollar Prime Rate + 2% USD: United States Prime Rate + 2 % CNY: People's Bank of China - RMB Benchmark Loan Interest Rates + 5% Other Currency: United States Prime Rate + 5.2%
Reprint Daily / Monthly statement	Within 3 months : Free Over 3 months : HKD 50 each (Extra HKD 50 if the Certified True Copy is needed)
Stock Segregated Account with Statement Service (SSA)	HKD 10 per month
Remittance Charge (Local)	HKD CHATS – HKD 50 USD CHATS – USD 6.5 (or the cost of bank charges (varies between different banks), whichever is higher, will be charged)



Telegraphic Transfer (Overseas)	HKD 200 / USD 25 for HKD/USD remittance USD 35 for foreign currencies other than HKD and USD (or the cost of bank charges (varies between different banks), whichever is higher, will be charged)
Issue Cheque Charge	Amount below HKD 50, HKD 10 per cheque
Returned Cheque Fee	HKD 150 + Bank penalty charges
Stop Payment Charge	HKD 150
Confirmation for unknown deposit item (After one month)	HKD 50 per transaction (Charged by receiving bank)
Handling Charge for Unclaimed Entitlement	0.5% of dividend amount (subject to a minimum cap of HKD 25 and a maximum cap of HKD 20,000), plus Handling Fee of HKD 500 per stock

Hong Kong Stock Options

Trade-Related Services

Services	Fees/Charges
Brokerage Commission	Negotiable
Trading Fee	Tier 1 stock options: HKD 3 per contract Tier 2 stock options: HKD 1 per contract Tier 3 stock options: HKD 0.5 per contract

- Physical delivery of underlying shares on exercise and settlement period:
 - T + 1 (options premium, payable in full) or
 - T + 2 (stock transfer following exercise)

Exercise / Assignment Services

Services	Fees/Charges
Exercise / Assignment Commission	Strike price of the option x Number of shares x rate of manual trade order (subject to a minimum cap of HKD 100)
Stamp Duty	HKD 1 each HKD 1,000 of transaction amount (Amount less than HKD 1,000 is treated as HKD 1,000)
SFC Transaction Levy	0.0027% of transaction amount
Trading Fee	0.005% of transaction amount
CCASS Fee	0.002% of transaction amount (subject to a minimum cap of HKD 2 and a maximum cap of HKD 100)
Exercise Fee	HKD 2 per contract

- Trading Tariff for Options Contracts with Contract Premium equal to or less than HKD 0.01 will be waived.

Fees for Overseas Markets

Shanghai - Hong Kong Stock Connect

Trade-Related Services

Services	Fees/Charges
Commission	Negotiable
Handling Fee	0.00487% of the consideration of a transaction
Securities Management Fee	0.002% of the consideration of a transaction
Transfer Fee	0.00400% of the consideration of a transaction (0.002% charged by ChinaClear and 0.002% charged by HKSCC)
Stamp Duty	0.1% of the consideration of a transaction (For sell order only)

- Settlement period: T+1

Nominee Services, Corporate Actions & Others

Services	Fees/Charges
Collection Fee for Cash Dividend/ Coupon Interest / Scrip Dividend	0.5% of dividend amount (subject to a minimum cap of CNY 20 and a maximum cap of CNY 10,000) plus clearing fee and Withholding Tax
Collection Fee for Bonus Issue	CNY 1 per lot (odd lots are charged as board lots) (subject to a minimum cap of CNY 20)
Fee for Cash Offer / Privatization	CNY 100 per transaction plus clearing fee and Withholding Tax
Fee for Exercise Rights / Warrants / Open Offer /Cash Offer / Bonds Redemption on Maturity	CNY 100 per transaction
Fee for Excess Rights / Open Offer Application (if applicable)	Free of charge
Settlement Instruction Fee (Stock Transfer In)	Free of charge
Settlement Instruction Fee (Stock Transfer Out)	0.05% stock value based on the previous closing price (subject to a minimum charge of CNY 50 and a maximum charge of CNY 250 per transaction)

Shenzhen - Hong Kong Stock Connect

Trade-Related Services

Services	Fees/Charges
Commission	Negotiable
Handling Fee	0.00487% of the consideration of a transaction
Securities Management Fee	0.002% of the consideration of a transaction
Transfer Fee	0.00400% of the consideration of a transaction (0.002% charged by ChinaClear and 0.002% charged by HKSCC)
Stamp Duty	0.1% of the consideration of a transaction (For sell order only)

- Settlement period: T+1



Nominee Services, Corporate Actions & Others

Services	Fees/Charges
Collection Fee for Cash Dividend/ Coupon Interest / Scrip Dividend	0.5% of dividend amount (subject to a minimum cap of CNY 20 and a maximum cap of CNY 10,000) plus clearing fee and Withholding Tax
Collection Fee for Bonus Issue	CNY 1 per lot (odd lots are charged as board lots) (subject to a minimum cap of CNY 20)
Fee for Cash Offer / Privatization	CNY 100 per transaction plus clearing fee and Withholding Tax
Fee for Exercise Rights / Warrants / Open Offer /Cash Offer / Bonds Redemption on Maturity	CNY 100 per transaction
Fee for Excess Rights / Open Offer Application (if applicable)	Free of charge
Settlement Instruction Fee (Stock Transfer In)	Free of charge
Settlement Instruction Fee (Stock Transfer Out)	0.05% stock value based on the previous closing price (subject to a minimum charge of CNY 50 and a maximum charge of CNY 250 per transaction)

China B Shares Market

Shanghai Market

Trade-Related Services

Services	Fees/Charges
Commission	Negotiable
Stamp duty	0.1% Stamp Duty (for selling transaction)
Clearing fee	0.05% of transaction amount
Transaction Levy	0.00487% of transaction amount
Administration Fee	0.002% of transaction amount

- Settlement period: T+3

Nominee Services, Corporate Actions & Others

Services	Fees/Charges
Collection Fee on Cash /Scrip Dividend	Waived (Not including other charges, Withholding Tax , and bank remittance fee of USD 25 per transaction)
Exercise Rights Issue / Warrants, Bonus, Offers, Conversions and Capital Reconstruction	Handling Fees: USD 20 per counter
Settlement Instruction Fee (Stock Transfer In)	Free of charge
Settlement Instruction Fee (Stock Transfer Out)	USD 35 per transaction

Shenzhen Market

Trade-Related Services

Services	Fees/Charges
Commission	Negotiable
Stamp duty	0.1% of transaction amount (for selling transaction)
Clearing fee	0.05% of transaction amount (Maximum fee HKD500)
Transaction Levy	0.00487% of transaction amount
Administration Fee	0.002% of transaction amount

- Settlement period: T+3

Nominee Services, Corporate Actions & Others

Services	Fees/Charges
Collection Fee on Cash /Scrip Dividend	HKD150 (Not including other charges and Withholding Tax)
Exercise Rights Issue / Warrants, Bonus, Offers, Conversions and Capital Reconstruction	Handling Fees: HKD150 per counter
Settlement Instruction Fee (Stock Transfer In)	Free of charge
Settlement Instruction Fee (Stock Transfer Out)	USD 35 per transaction

Singapore Market

Trade-Related Services

Services	Fees/Charges
Commission	Negotiable
Clearing fee	0.0325% of transaction amount (Min SGD10)
Trading fee	0.0075% of transaction amount
Remittance Fee	Each transaction charges of USD 50 or SGD 100 (according to trading currency)

- Settlement period: T+2

Nominee Services, Corporate Actions

■ **Non-Jardine Group**

Services	Fees/Charges
Dividend Collection	1.10% on net dividend (subject to a minimum cap of SGD 25 and a maximum cap of SGD 150) and subject to Withholding Tax
Exercise Rights Issue / Warrant, Bonus, Offers, Conversions and Capital Reconstruction	Handling Fees: SGD 25 per counter

■ **Jardine Group**

Services	Fees/Charges
Dividend Collection	Collection Fees: 1.1% on dividend (subject to a minimum cap of USD 15, and a maximum cap of USD 100) and subject to Withholding Tax
Exercise Rights Issue / Warrants	0.25% on total amount subscribed (subject to a minimum cap of USD 15, and a maximum cap of USD 100)
Bonus, Offers, Conversions and Capital Reconstruction	USD 15 per issuance

Others

Services	Fees/Charges
Settlement Instruction Fee (Stock Transfer In)	Free of charge
Settlement Instruction Fee (Stock Transfer Out)	USD 35 per transaction

US Market

Trade-Related Services

Services	Fees/Charges
Commission	Negotiable
Trading Fee	According to SEC announcement: https://www.sec.gov/
Envelope Settlement Service (ESS) fee	USD 300 or USD 600 (Depend on the transfer agent) per stock per trade side per trade date (Applicable securities reference list in http://www.viewtrade.com/ess/)

- Settlement period: T+2

Nominee Services, Corporate Actions & Others

Services	Fees/Charges
American Depository Receipts (ADRs) Depository Service Fees	Up to USD 0.05 per share(charged to clients with holding on record date, collected by ADRs agent)
Collection Fee on Cash / Scrip Dividend	Waived (Not including other charges, Withholding Tax, and bank remittance fee USD 7 per transaction)
Corporate Action Service Charge/Handling Fee for Voting Instruction	USD 20 per transaction
Settlement Instruction Fee (Stock Transfer In)	Free of charge
Settlement Instruction Fee (Stock Transfer Out)	USD 35 per transaction

Australia Market

Trade-Related Services

Services	Fees/Charges
Commission	Negotiable
Remittance Fee	AUD 100 per transaction

- Settlement period: T+2



Nominee Services, Corporate Actions & Others

Services	Fees/Charges
Dividend Collection	Handling Fees: AUD 30 per counter (subject to Withholding Tax)
Exercise Rights Issue / Warrants, Bonus, Offers, Conversions and Capital Reconstruction	AUD 30 per transaction
Settlement Instruction Fee (Stock Transfer In)	Free of charge
Settlement Instruction Fee (Stock Transfer Out)	USD 35 per transaction

Taiwan Market

Trade-Related Services

Services	Fees/Charges
Commission	Negotiable
Transaction Tax	0.3% of transaction amount for sell transaction
Transaction Fee	NTD 1,500 per transaction
Remittance Fee	Bank Charges of NTD 1,000 for selling NTD and buying other currency

- Settlement period: T+2

Nominee Services, Corporate Actions & Others

Services	Fees/Charges
Collection Fee of Cash Dividend	NTD 100 per transaction (Not including other charges and Withholding Tax)
Collection Fee of Scrip Dividend	NTD 1,500 per transaction (Clients may be deducted tax firstly before receive Scrip Dividend)
Corporate Action Service Charge	NTD 200 per transaction
Handling Fee for Electronic Voting Instruction	NTD 100 per transaction
Handling Fee for Voting In Person by clients or authorized person	NTD 200 per transaction
Attend Shareholder meeting on behalf of clients	NTD 2,000 per transaction
AGM Fee	Handling Fees of NTD 2,000 when exercising the right in shareholders meeting
Withholding Tax on Dividend	21% of the dividend income and interest payment
Custody Fee (Monthly)	Calculated at 0.1% (per annum) of Daily Taiwan Market Total Portfolio Value, including Cash, and Securities, etc.
Handling Fee for Special Instruction from Clients	NTD 1,500 per transaction

Canada Market

Trade-Related Services

Services	Fees/Charges
Commission	Negotiable

- Settlement period: T+2

Nominee Services, Corporate Actions & Others

Services	Fees/Charges
Dividend Collection	Collection Fees : 0.1% on net dividend (subject to a minimum cap of CAD 20 and subject to Withholding Tax)
Exercise Rights Issue / Warrants, Bonus, Offers, Conversions and Capital Reconstruction	CAD 15 per counter
Settlement Instruction Fee (Stock Transfer In)	Free of charge
Settlement Instruction Fee (Stock Transfer Out)	USD 35 per transaction

Japan Market

Trade-Related Services

Services	Fees/Charges
Commission	Negotiable
Remittance fee	JPY 5,500 each buy transaction; JPY 2,500 each sell transaction

- Settlement period: T+2

Nominee Services, Corporate Actions & Others

Services	Fees/Charges
Dividend Collection	1% on net dividend (subject to a minimum cap of JPY 1,700 and subject to Withholding Tax)
Exercise Rights Issue / Warrants	0.25% on total amount subscribed (subject to a minimum cap of JPY1,700)
Bonus, Offers, Conversions and Capital Reconstruction	JPY 1,700 per counter
Settlement Instruction Fee (Stock Transfer In)	Free of charge
Settlement Instruction Fee (Stock Transfer Out)	USD 35 per transaction

Korea Market

Trade-Related Services

Services	Fees/Charges
Commission	Negotiable
Sales Tax	0.3% each sell transaction, odd lot 0.5%
Remittance Fee	KRW 57,000 per transaction

- Settlement period: T+2

Nominee Services, Corporate Actions & Others

Services	Fees/Charges
Dividend Collection	KRW 3,800 per counter (subject to Withholding Tax)
Settlement Instruction Fee (Stock Transfer In)	Free of charge
Settlement Instruction Fee (Stock Transfer Out)	USD 35 per transaction



Thailand Market

Trade-Related Services

Services	Fees/Charges
Commission	Negotiable
Value Added Tax	0.0196%
Set Fee- Stock Exchange of Thailand Fee	0.0078% of Gross Amount
Set Vat- Stock Exchange of Thailand Fee	7% of Set Fee
Remittance Fee	THB 1,750 per transaction

- Settlement period: T+2

Nominee Services, Corporate Actions & Others

Services	Fees/Charges
Dividend Collection	Handling Fees: THB 500 per counter (subject to Withholding Tax)
Exercise Rights Issue / Warrants, Bonus, Offers, Conversions and Capital Reconstruction	THB 500 per counter
Settlement Instruction Fee (Stock Transfer In)	Free of charge
Settlement Instruction Fee (Stock Transfer Out)	USD 35 per transaction

OTC Market

Nominee Services, Corporate Actions & Others

Services	Fees/Charges
Corporate Action Service Charge/Handling Fee for Voting Instruction	USD 20 per transaction
Conversion of Warrants, Convertible bond(etc.) into Shares	USD 100 per Transaction plus Transfer Fee charged by Custodian
Settlement Instruction Fee (Stock Transfer In)	Free of charge
Settlement Instruction Fee (Stock Transfer Out)	USD 35 per transaction

- If there is any adjustment to the above fees and charges, the latest fees and charges shall prevail. Unless required by rules and regulations or under the client agreement, our company reserves the right to revise its fee schedules from time to time without any further notice.
- All out of pocket expenses (if any) which are not stated in the above list should be charged at cost and the cost should be borne by the customer.