

HK Securities

Item	Charges	Minimum Charges	Remarks
Stocks - Related Services			
Stock - Trading Commission	0.25% of transaction amount	HKD100	
Stamp Duty	0.1% of transaction amount	HKD1	rounded up to the nearest HKD1 and payable by both Buyer and Seller
Transaction Levy	0.0027% of transaction amount		charged by SFC
FRC Transaction Levy	0.00015% of transaction amount		charged by Financial Reporting Council
Trading Fee	0.00565% of transaction amount		charged by HKEX
Stock Settlement Fee	0.0042% of transaction amount		
Compulsory Stock Buy- Back	0.5% of securities value (closing price on settlement day)		HKD100,000 at maximum
EIPO	HKD50 per application	HKD50	
SI Delivery Fee	HKD10 per lot	HKD100	
ISI Delivery Fee	HKD10 per lot	HKD100	
Funds Settlement Instruction	0.25% of total value	HKD5,000	
Funds - Related Services			
Funds - Trading Commission	Subscription: up to 5% of transaction amount Redemption: free		

Fund Custodian Fee	0.5% of face value per annum	
Bond Custodian Fee	0.05% of face value per annum	charged monthly on pro rata basis (less than one month is charged as one month) (HKG bonds are charged at 0.08%)

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Pre-matured Redemption	0.5% of face value		
Maturity Redemption	0.5% of face value		
Bond Coupon Collection	0.25% of bond coupon	HKD20	
Bond Withdrawal	1% of face value	HKD5,000	
Bond Deposit	2% of face value	HKD10,000	
Default Bond Management Fee	up to 8% of total amount recovered		
Nominee Services and	Corporate Actions		
PremInvest Account	HKD3800		p.a. on a day-pro-rata basis
Scrip Fee	HKD1.5 per lot		odd lots also charged at HKD1.50 each
Cash Dividend Collection	0.25% of total cash dividend	HKD20	HKD10,000 at maximum
Scrip Dividend Collection	HKD20 each		
Rights Collection / Warrants Collection / Open Offer Collection	HKD20 each		
Rights Subscription / Additional Rights Application	HKD0.8 per lot and HKD20 per stock		
Warrants Exercising	HKD0.8 per lot and HKD30 per stock		

Taking-up Open Offer / Cash Offer	HKD0.8 per lot and HKD20 per stock
Dividend Claiming (during Dividend period of each stock)	HKD300 handling charge and HKD200 HKEX handling charge

Financing and Other Services

Securities based Loans (Margin Trading) / Late Settlement (including Cash Accounts & Margin Accounts)	HSBC Prime Rate + 6% per annum	Interest calculated from settlement day, including Saturday, Sunday and public Holidays.
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Item	Charges	Minimum Charges	Remarks
Real-Time Price Quote	Based on Suppliers' quote		
Cheque Return Charge	HKD100 per cheque	HKD100	
Statement by Mail	HKD30 per statement	HKD30	
Statement Reprinting	HKD50 per statement		up to seven years
CIES Annual Reporting	HKD8,000 per report		
CIES Other Reportings	HKD5,000 per report		
Audit/Account Balance Confirmation	HKD800 each		
Deposit / Withdrawal Special Arrangement	HKD1,000 each		
Request Document Administrative Fee	HKD1,000 per document		
Other Special Administrative Fee	According to quotation of each case		

Important Notes

1. If there is any third-party charge, the company would charge the actual expenses incurred on a reimbursement basis.

2. If there is any adjustment on third-party fee, the company does not guarantee any notification.
3. Third-party may pay the company various fees in response to transactions.
4. For all RMB products, fees would be charged in terms of CNY.
5. The fee items in this section are applicable to all transactions, services and products of CIS Securities Asset Management Limited.
6. Any changes on above information would be updated on our company website (<https://cisgroup.hk>).

Latest Update: 21 Aug 2025