

# HK Securities

Item	Charges	Minimum Charges	Remarks
<b>Stocks - Related Services</b>			
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	0.002% of transaction amount	HKD2	HKD100 at maximum
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	
<b>Funds - Related Services</b>			
Funds - Trading Commission	Subscription: up to 5% of transaction amount Redemption: free		
Fund Custodian Fee	0.5% of face value per annum		
<b>Bonds - Related Services</b>			
Bonds - Trading Commission	1% of transaction amount		
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

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	HSBC Prime Rate + 6% per annum		Interest calculated from settlement day, including Saturday, Sunday and public
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Cash Accounts & Margin  
Accounts) holidays.

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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	HKD5,000 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 each		
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 for 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: 22 Nov 2023