

# 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<br>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 |
|--|--------------------------------|--|--|

Cash Accounts & Margin  
Accounts) holidays.

| 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                    | 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 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 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: 29 Jul 2024