

# EAST ASIA SECURITIES COMPANY LIMITED

## 東亞證券有限公司

### Fees and Charges Disclosure Sheet for Hong Kong Stock Options Transactions

#### 香港股票期權交易費用及收費披露一覽表

(Effective 17<sup>th</sup> November, 2023)

(由 2023 年 11 月 17 日開始生效)

Broad Categories of Fees and Charges 費用及收費廣泛類別	Payable to 須支付予	Basis 收費細則
<b>(A) Trade-related 證券交易</b>		
Brokerage 佣金	East Asia Securities 東亞證券	0.25% on option premium (Min. \$100) 期權金 0.25% [ 最低收費\$100 ]
Tariff 交易費用	HKEX 香港交易所	\$3 per contract for Tier 1 Option Class \$1 per contract for Tier 2 Option Class \$0.5 per contract for Tier 3 Option Class 1 級期權類別每合約\$3 2 級期權類別每合約\$1 3 級期權類別每合約\$0.5
<b>(B) Exercise/Assignment-related 行使/分配</b>		
Handling Charges 手續費	East Asia Securities 東亞證券	0.25% on gross consideration of exercise / assignment (Min. \$100) 行使 / 分配金額 0.25% [ 最低收費\$100 ]
Exercise Fee 行使費	HKEX 香港交易所	\$2 per contract 每合約\$2
Stamp Duty 印花稅	HKSAR Government 香港特區政府	0.1% on gross consideration of exercise / assignment and be rounded upward to the nearest \$1 行使 / 分配金額 0.1%及調高至最接近\$1 的整數
Transaction Levy 交易徵費	The Securities and Futures Commission 證券及期貨事務監察委員會	0.0027% on gross consideration of exercise / assignment 行使 / 分配金額 0.0027%
AFRC Transaction Levy 會財局交易徵費	AFRC 會計及財務匯報局	0.00015% on gross consideration of exercise / assignment 行使 / 分配金額 0.00015%
Trading Fee 交易費	HKEX 香港交易所	0.00565% on gross consideration of exercise / assignment 行使 / 分配金額 0.00565%
<b>(C) Scrip Handling and Settlement-related 處理實物股票及交收</b>		
Stock Settlement Fee 股份交收費	CCASS 中央結算系統	0.002% on gross consideration of exercise / assignment (Min. \$2 and Max. \$100) 行使 / 分配金額 0.002% [ 最低收費 \$2 及最高收費 \$100 ]
Position Transfer from/to other Brokers 與其他證券行辦理股票期權系列存入或提取	East Asia Securities 東亞證券	\$30 per transaction 每項\$30
<b>(D) Nominee Services and Corporate Actions 代理人服務及公司行動</b>		
Nominee Services and Corporate Actions on Stock Collateral held by SEOCH 記存於香港交易所期權結算所股票抵押品之代理人服務及公司行動	CCASS and East Asia Securities 中央結算系統及東亞證券	Please refer to Fees and Charges Disclosure Sheet for Hong Kong Securities Transactions 請參閱香港證券交易費用及收費披露一覽表
<b>(E) DCASS Individual Client Account (for separate position keeping) 衍生產品結算系統獨立客戶賬戶 (分立持倉用途)</b>		
Account Opening Fee 開戶費	East Asia Securities 東亞證券	\$100 per account 每賬戶\$100
Monthly Account Maintenance Fee 賬戶服務月費	East Asia Securities 東亞證券	\$20 per month 每月\$20
<b>(F) Financing Charges and Others 借貸收費及其他</b>		
Overdue Interest 逾期付款利息	East Asia Securities 東亞證券	Calculation based on the BEA HKD Prime Rate + 3%, Min. \$200 以東亞銀行港元最優惠利率加 3 厘計算，最低收費\$200
Stock Options Balance Confirmation 簽發股票期權結存證明書	East Asia Securities 東亞證券	\$250 per letter 每張\$250
Photo Copy Charges 影印單據	East Asia Securities 東亞證券	\$20 per page 每張\$20

**Sample Illustrative Example of Standard Fees and Charges payable for Prescribed Scenarios of Stock Options Related Services**  
 在指定情況之下與股票期權服務有關的費用及收費的例子說明範例

<b>Broad Categories of Fees and Charges</b> 費用及收費的廣泛類別	<b>Basis</b> 收費細則	<b>Amount (\$)</b> 金額(\$)
<b>Example 1: Stock Option Purchase 例子 1: 期權買入</b>		
Client longs 25 contracts (1,000 shares per contract) of call option C AAA SEP 13000(Tier 1 Option Class) at \$0.700. Total value of transaction is \$17,500. 客戶以\$0.700 買入 25 張 (每張合約 1,000 股) C AAA SEP 13000 之認購期權合約 (1 級期權類別) · 總交易額為\$17,500。		
<b>Trade-related 證券交易:</b>		
Brokerage 佣金	0.25% on option premium (Min. \$100) 期權金 0.25% (最低收費\$100)	\$17,500X0.25% = \$100 (Min.\$100 最低收費\$100)
Tariff 交易費用	\$3 per contract for Tier 1 Option Class 1 級期權類別每合約\$3	\$3X25=\$75
<b>Total Fee Payable 客戶支付: \$175</b>		
<b>Example 2: Option Exercise 例子 2: 行使期權</b>		
Client exercises 10 contracts (1,000 shares per contract) of call option C BBB AUG 5500. Total value of exercise transaction is \$550,000. 客戶行使 10 張 (每張合約 1,000 股) C BBB AUG 5500 之認購期權合約 · 總行使金額為\$550,000。		
<b>Exercise/Assignment-related 行使/分配:</b>		
Handling Charges 手續費	0.25% on gross consideration of exercise / assignment (Min. \$100) 行使 / 分配金額 0.25% (最低收費\$100)	\$550,000X0.25% =\$1,375
Exercise Fee 行使費	\$2 per contract 每合約\$2	\$2X10=\$20
Stamp Duty 印花稅	0.1% on gross consideration of exercise / assignment and be rounded upward to the nearest \$1 行使 / 分配金額 0.1%及調高至最接近\$1 的整數	\$550,000X0.1% =\$550
Transaction Levy 交易徵費	0.0027% on gross consideration of exercise / assignment 行使 / 分配金額 0.0027%	\$550,000X0.0027%=\$14.85
AFRC Transaction Levy 會財局交易徵費	0.00015% on gross consideration of exercise / assignment 行使 / 分配金額 0.00015%	\$550,000X0.00015%=\$0.83
Trading Fee 交易費	0.00565% on gross consideration of exercise / assignment 行使 / 分配金額 0.00565%	\$550,000X0.00565% =\$31.08
<b>Scrip Handling and Settlement-related 處理實物股票及交收:</b>		
Stock Settlement Fee 股份交收費	0.002% on gross consideration of exercise / assignment (Min. \$2.00 and Max. \$100) 行使 / 分配金額 0.002% (最低收費 \$2 及最高收費 \$100)	\$550,000X0.002%=\$11
<b>Total Fee Payable 客戶支付: \$2,002.76</b>		
<b>Example 3: Option Assignment 例子 3: 分配期權</b>		
Client is assigned 2 contracts (400 shares per contract) of put option P AAA AUG 12500. Total value of assignment transaction is \$100,000. 客戶獲分配 2 張 (每張合約 400 股) P AAA AUG 12500 之認沽期權合約 · 總分配金額為\$100,000。		
<b>Exercise/Assignment-related 行使/分配:</b>		
Handling Charges 手續費	0.25% on gross consideration of exercise / assignment (Min. \$100) 行使 / 分配金額 0.25% (最低收費\$100)	\$100,000X0.25% =\$250
Stamp Duty 印花稅	0.13% on gross consideration of exercise / assignment and be rounded upward to the nearest \$1 行使 / 分配金額 0.1%及調高至最接近\$1 的整數	\$100,000X0.1% =\$100
Transaction Levy 交易徵費	0.0027% on gross consideration of exercise / assignment 行使 / 分配金額 0.0027%	\$100,000X0.0027% =\$2.7
AFRC Transaction Levy 會財局交易徵費	0.00015% on gross consideration of exercise / assignment 行使 / 分配金額 0.00015%	\$100,000X0.00015%=\$0.15
Trading Fee 交易費	0.00565% on gross consideration of exercise / assignment 行使 / 分配金額 0.00565%	\$100,000X0.00565%=\$5.65
<b>Scrip Handling and Settlement-related 處理實物股票及交收:</b>		
Stock Settlement Fee 股份交收費	0.002% on gross consideration of exercise / assignment (Min. \$2 and Max. \$100) 行使 / 分配金額 0.002% (最低收費 \$2 及最高收費 \$100)	\$100,000X0.002%=\$2
<b>Total Fee Payable 客戶支付: \$360.50</b>		
<b>Example 4: Collateral Movement 例子 4: 抵押品調撥</b>		
Client requests to assign 100 board lots or 20,000 shares (200 shares per board lot) of Company A as collateral in SEOCH. 客戶要求調撥 100 手或 20,000 股 (每手 200 股) 之 A 公司股票至期權結算所作為抵押品之用。		
<b>Scrip Handling and Settlement-related 處理實物股票及交收:</b>		
Collateral Movement 抵押品調撥	\$30 per transaction 每項\$30	\$30
<b>Total Fee Payable 客戶支付: \$30</b>		
<b>Example 5: Position Transfer from / to other Brokers 例子 5: 與其他證券行辦理股票期權系列存入或提取</b>		
Client requests to transfer 10 contracts of call option (C AAA DEC 2800) to account in ABC Securities Co. Ltd. 客戶要求將 10 張(C AAA DEC 2800) 之認購期權合約存入 ABC 證券公司之賬戶。		
<b>Scrip Handling and Settlement-related 處理實物股票及交收:</b>		
Position Transfer from / to other Brokers 與其他證券行辦理股票期權系列存入或提取	\$30 per transaction 每項\$30	\$30
<b>Total Fee Payable 客戶支付: \$30</b>		