

**EAST ASIA SECURITIES COMPANY LIMITED**

**東亞證券有限公司**

**Fees and Charges for Northbound Trades under  
Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect**

**滬港通及深港通北向交易費用及收費**

(Effective 28<sup>th</sup> August 2023) (由 2023 年 8 月 28 日開始生效)

<b>Broad Categories of Charges 收費類別</b>	<b>Payable to 須支付予</b>	<b>Basis 收費細則</b>
<b>(A) Trade-Related 證券交易</b>		
Brokerage 佣金	East Asia Securities 東亞證券	Automated trading channel: 0.18% of transaction amount (Min. CNY 80) 自動化渠道: 成交金額 0.18% (最低收費人民幣 80元)
		Manned trading channel: 0.25% of transaction amount (Min. CNY 100) 非自動化渠道: 成交金額 0.25% (最低收費人民幣 100元)
Handling Fee 經手費	Shanghai Stock Exchange / Shenzhen Stock Exchange 上海證券交易所及 深圳證券交易所	Stock: 0.00341% of transaction amount (Charged in CNY) 股票: 成交金額 0.00341% (以人民幣收取)
		ETFs: 0.004% of transaction amount (Charged in CNY) 交易所買賣基金: 成交金額的 0.004% (以人民幣收取)
Securities Management Fee 證管費	China Securities Regulatory Commission 中國證監會	Stock: 0.002% of transaction amount (Charged in CNY) 股票: 成交金額 0.002% (以人民幣收取)
		ETFs: Waived 交易所買賣基金: 豁免
Transfer Fee 過戶費	China Securities Depository and Clearing (ChinaClear) & Hong Kong Securities Clearing (HKSCC) 中國證券登記結算及香港中央結算	Stock: 0.003% of transaction amount (Charged in CNY) 股票: 成交金額 0.003% (以人民幣收取) (0.001% and 0.002% charged by ChinaClear and HKSCC respectively) (分別由中國證券登記結算及香港中央結算收取 0.001%及 0.002%)
		ETFs: 0.002% of transaction amount (Charged in CNY) 交易所買賣基金: 成交金額 0.002% (以人民幣收取) (Charged by HKSCC) (由香港中央結算收取)
Stamp Duty 交易印花稅	State Administration of Taxation 國家稅務總局	0.05% of transaction amount (Sell transaction only) (Charged in CNY) 成交金額 0.05% (只限賣出交易) (以人民幣收取)
		ETFs: Waived 交易所買賣基金: 豁免
Capital Gain Tax 資本增值稅	State Administration of Taxation 國家稅務總局	Temporarily Exempted 暫獲豁免
Portfolio Fee 證券組合費	Hong Kong Securities Clearing Limited 香港中央結算有限公司	Market value of portfolio at market close x 0.008% / 365 (Charged in HKD, accrued daily, and collected on monthly basis) 股票: 當天收市持有股值 x 0.008% / 365 (以港元計算, 按日累計及按月收取)
		(Temporarily waived by East Asia Securities) (暫獲東亞證券豁免)

**(B) Real-time Stock Price Quotes Service over Internet 互聯網即時股票報價服務**

Per Quote Access 每項報價	East Asia Securities 東亞證券	HKD 0.1 per quote (Min. HKD 10 per month) 每項港幣 0.1 元 (每月最低收費港幣 10元)
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300 free quotes per month, addition of 200 free quotes per every HKD 50,000 transaction volume of HK stock executed  
每月300 項免費報價，每執行HKD 50,000港股交易可獲額外200 項免費報價

**Remark:**

- to be calculated on the aggregate transaction volume of HK stock as at month end, the transaction volume of A-share will not be counted
- the number of quotes is shared with HK stock
- unused free quotes will not be carried forward to next month

**備註：**

- 以每月底港股累積交易金額計算，A股交易金額不計算在內
- 報價項數與港股共用
- 任何剩餘免費報價於每月底將予取消

**(C) Stock Settlement-Related Services 股票交收服務**

Shares Transfer from / to other Brokers / Nominees / Stock Pledges through Settlement Instruction (S.I.) 與其他證券行 / 託管公司 / 股票承押人辦理交收指示	Hong Kong Securities Clearing Company Limited & East Asia Securities 香港中央結算有限公司及 東亞證券	HKD 30 per transaction plus CCASS charges 每項港幣 30 元，另加中央結算費用
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**(D) Nominee Services and Corporate Actions 代理人服務及公司行動**

Collection of Cash Dividend 代收現金股息	East Asia Securities 東亞證券	0.5% of dividend collected (Min. CNY 25 and Max. CNY 2,000) 股息總額 0.5% (最低收費為人民幣 25 元及 最高收費為人民幣 2,000 元)
Collection of Scrip Dividend 代收以股代息	East Asia Securities 東亞證券	0.5% of dividend collected (Min. CNY 25 and Max. CNY 2,000) 股息總額 0.5% (最低收費為人民幣 25 元及 最高收費為人民幣 2,000 元)
Collection of Bonus Issue 代收紅股	East Asia Securities 東亞證券	CNY 25 per transaction 每項人民幣 25 元
Rights Issue (including excess rights application, preferential offer, and open offer) 代客供股 (包括額外申請供股、優先配售、公 開發售)	East Asia Securities 東亞證券	CNY 80 per transaction 每項人民幣 80 元
Shares Consolidation / Shares Subdivision 股票合併 / 股票拆細	East Asia Securities 東亞證券	CNY 25 per transaction 每項人民幣 25 元
Shares Privatization 股票私有化	East Asia Securities 東亞證券	CNY 80 per transaction 每項人民幣 80 元
Cash/Scrip Offer 現金/股份收購	East Asia Securities 東亞證券	CNY 80 per transaction 每項人民幣 80 元
Warrant Exercise 行使認股權證	East Asia Securities 東亞證券	CNY 80 per transaction 每項人民幣 80 元
Handling fee for other corporate actions 處理其他公司行動手續費	East Asia Securities 東亞證券	CNY 80 per transaction 每項人民幣 80 元

**(E) Others 其他**

Out of Pocket Expenses 其他代客繳付費用	----	All to be borne by clients 客戶自付
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If your CNY settlement account has insufficient balance to be debited for charges, an equivalent amount of HKD will be charged in your HKD settlement account, according to the exchange rate of The Bank of East Asia, Limited.

如客戶之人民幣交收賬戶內沒有足夠結餘扣取有關收費，本公司將於客戶之港幣交收賬戶內以等值港幣扣取該收費，並以東亞銀行有限公司之匯率計算。

**Examples of Standard Charges for Securities Services**  
**證券服務收費的例子說明**

<b>Broad Categories of Charges</b> <b>收費廣泛類別</b>	<b>Basis</b> <b>收費細則</b>	<b>Calculations</b> <b>計算方法</b>	<b>Amount</b> <b>金額</b>
<b>Example 1: Stock Purchase under Shanghai-Hong Kong Stock Connect 例子 1：滬港通股票買入</b>			
Client buys 2,000 A-shares of Company A under Shanghai-Hong Kong Stock Connect and executed at CNY 30 via the Internet. 客戶透過互聯網買入 2,000 股公司 A 的滬港通 A 股股票，成交價為人民幣 30 元。			
Brokerage 佣金	Automated trading channel: 0.18% of transaction amount (Min. CNY 80) 自動化渠道: 成交金額 0.18% (最低收費人民幣 80 元)	$CNY\ 30 \times 2,000 \times 0.18\%$ = CNY 108	CNY 108
Handling Fee 經手費	0.00341% of transaction amount (Charged in CNY) 成交金額 0.00341% (以人民幣收取)	$CNY\ 30 \times 2,000 \times 0.00341\%$ = CNY 2.046	CNY 2.05
Securities Management Fee 證管費	0.002% of transaction amount (Charged in CNY) 成交金額 0.002% (以人民幣收取)	$CNY\ 30 \times 2,000 \times 0.002\%$ = CNY 1.2	CNY 1.2
Transfer Fee 過戶費	0.003% of transaction amount (Charged in CNY) 成交金額 0.003% (以人民幣收取)	$CNY\ 30 \times 2,000 \times 0.003\%$ = CNY 1.8	CNY 1.8
Total Fee Payable 客戶支付：			CNY 113.05

**Example 2: Stock Sale under Shanghai-Hong Kong Stock Connect 例子 2：滬港通股票沽出**

Client sells 2,500 A-shares of Company B under Shanghai-Hong Kong Stock Connect and executed at CNY 25 via the securities dealer.  
客戶透過證券交易員沽出 2,500 股公司 B 的滬港通 A 股股票，成交價為人民幣 25 元。

Brokerage 佣金	Manned trading channel: 0.25% of transaction amount (Min. CNY 100) 非自動化渠道: 成交金額 0.25% (最低收費人民幣 100 元)	$CNY\ 25 \times 2,500 \times 0.25\%$ = CNY 156.25	CNY 156.25
Handling Fee 經手費	0.00341% of transaction amount (Charged in CNY) 成交金額 0.00341% (以人民幣收取)	$CNY\ 25 \times 2,500 \times 0.00341\%$ = CNY 2.13125	CNY 2.13
Securities Management Fee 證管費	0.002% of transaction amount (Charged in CNY) 成交金額 0.002% (以人民幣收取)	$CNY\ 25 \times 2,500 \times 0.002\%$ = CNY 1.25	CNY 1.25
Transfer Fee 過戶費	0.003% of transaction amount (Charged in CNY) 成交金額 0.003% (以人民幣收取)	$CNY\ 25 \times 2,500 \times 0.003\%$ = CNY 1.875	CNY 1.88
Stamp Duty 交易印花稅	0.05% of transaction amount (For sell transaction only) (Charged in CNY) 成交金額 0.05% (只限賣出交易) (以人民幣收取)	$CNY\ 25 \times 2,500 \times 0.05\%$ = CNY 31.25	CNY 31.25
Total Fee Payable 客戶支付：			CNY 192.76

**Example 3: Stock Sale under Shenzhen-Hong Kong Stock Connect 例子 3：深港通股票沽出**

Client sells 3,000 A-shares of Company C under Shenzhen-Hong Kong Stock Connect and executed at CNY 20 via the securities dealer.  
 客戶透過證券交易員沽出 3,000 股公司 C 的深港通 A 股股票，成交價為人民幣 20 元。

Brokerage 佣金	Manned trading channel: 0.25% of transaction amount (Min. CNY 100) 非自動化渠道: 成交金額 0.25% (最低收費人民幣 100 元)	CNY 20 x 3,000 x 0.25% = CNY 150	CNY 150
Handling Fee 經手費	0.00341% of transaction amount (Charged in CNY) 成交金額 0.00341% (以人民幣收取)	CNY 20 x 3,000 x 0.00341% = CNY 2.046	CNY 2.05
Securities Management Fee 證管費	0.002% of transaction amount (Charged in CNY) 成交金額 0.002% (以人民幣收取)	CNY 20 x 3,000 x 0.002% = CNY 1.2	CNY 1.2
Transfer Fee 過戶費	0.003% of transaction amount (Charged in CNY) 成交金額 0.003% (以人民幣收取)	CNY 20 x 3,000 x 0.003% = CNY 1.8	CNY 1.8
Stamp Duty 交易印花稅	0.05% of transaction amount (For sell transaction only) (Charged in CNY) 成交金額 0.05% (只限賣出交易) (以人民幣收取)	CNY 20 x 3,000 x 0.05% = CNY 30	CNY 30
Total Fee Payable 客戶支付：			CNY 185.05

**Example 4: ETF Purchase under Shanghai-Hong Kong Stock Connect 例子 4：滬港通交易所買賣基金買入**

Client buys 10,000 units of an ETF under Shanghai-Hong Kong Stock Connect and executed at CNY 5 via the Internet.  
 客戶透過互聯網買入 10,000 單位的滬港通之交易所買賣基金，成交價為人民幣 5 元。

Brokerage 佣金	Automated trading channel: 0.18% of transaction amount (Min. CNY 80) 自動化渠道: 成交金額 0.18% (最低收費人民幣 80 元)	CNY 5 x 10,000 x 0.18% = CNY 90	CNY 90
Handling Fee 經手費	0.004% of transaction amount (Charged in CNY) 成交金額 0.004% (以人民幣收取)	CNY 5 x 10,000 x 0.004% = CNY 2	CNY 2
Transfer Fee 過戶費	0.002% of transaction amount (Charged in CNY) 成交金額 0.002% (以人民幣收取)	CNY 5 x 10,000 x 0.002% = CNY 1	CNY 1
Total Fee Payable 客戶支付：			CNY 93.00