

EAST ASIA SECURITIES COMPANY LIMITED

東亞證券有限公司

Fees and Charges Disclosure Sheet for Hong Kong Securities Transactions

香港證券交易費用及收費披露一覽表

(Effective 30th June, 2025)

(2025年6月30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

(A) Trade-related 證券交易

Brokerage

佣金

- For orders placed via Mobile App and being executed:
透過手機應用程式落盤並完成的交易:
- For orders placed via the Internet or Automated Phone Trading Service and being executed:
透過互聯網或自動化電話買賣服務落盤並完成的交易:
- For orders placed via our dealer by phone or over the counter and being executed:
透過電話或於櫃面與本公司的交易員接洽落盤並完成的交易:

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0.15% of transaction amount (Min. \$80)
成交金額 0.15% (最低收費\$80)

0.18% of transaction amount (Min. \$80)
成交金額 0.18% (最低收費 \$80)

0.25% of transaction amount (Min. \$100)
成交金額 0.25% (最低收費 \$100)

Stamp Duty (except securities not subject to stamp duty)

印花稅 (豁免印花稅證券除外)

Transaction Levy

交易徵費

AFRC Transaction Levy

會財局交易徵費

Trading Fee

交易費

* All fees and charges in the statement for non-HKD trade transactions will be calculated on related HKD equivalent and charged on trading currency.

所有非港元交易買賣於結單上之費用及收費，均以有關港元等值計算後，轉換至交易貨幣收取。

HKSAR Government
香港特區政府

SFC
證券及期貨事務監察委員會

AFRC
會計及財務匯報局

HKEX
香港交易所

0.1% of transaction amount (rounded up to the nearest dollar)
成交金額 0.1% 及調高至最接近\$1 的整數

0.0027% of transaction amount
成交金額 0.0027%

0.00015% of transaction amount
成交金額 0.00015%

0.00565% of transaction amount
成交金額 0.00565%

(B) Scrip Handling and Settlement-related 處理實物股票及交收

Stock Settlement Fee (for stock settlement)

股份交收費 (適用於股份交收)

Stock Settlement Fee (for Settlement Instruction (S.I.))

股份交收費 (適用於辦理交收指示)

Transfer Deed Stamp Duty (for Physical Scrip Deposit)

轉手紙印花稅 (存入實物股票)

Stock Clearing Fee (for S.I./Investor Settlement Instruction (I.S.I.))

股份結算費 (適用於交收指示/ 投資者交收指示)

Money Settlement Fee (for S.I. Transactions settled on DVP basis)

款項交收費 (適用於交收指示以「貨銀對付交收」)

Physical Scrip Deposit

存入實物股票

Physical Scrip Withdrawal

提取實物股票

Shares Transfer from other Brokers/Nominees/Stock Pledges through S.I. / I.S.I.

與其他證券公司/ 託管公司/ 股票承押人辦理交收指示/ 投資者交收指示轉入證券股份

Shares Transfer to other Brokers/Nominees/Stock Pledges through S.I. / I.S.I.

與其他證券公司/ 託管公司/ 股票承押人辦理交收指示/ 投資者交收指示轉出證券股份

Multi-counter Transfer Instruction Fee

多櫃台轉換指示收費

CCASS and East Asia Securities
中央結算系統及東亞證券

CCASS and East Asia Securities
中央結算系統及東亞證券

HKSAR Government
香港特區政府

CCASS
中央結算系統

CCASS
中央結算系統

East Asia Securities
東亞證券

CCASS and East Asia Securities
中央結算系統及東亞證券

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東亞證券

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東亞證券

CCASS and East Asia Securities
中央結算系統及東亞證券

0.0042% of gross value of an Exchange Trade in the Eligible Currency of such Exchange Trade (No minimum and maximum per side)
每宗聯交所買賣按相關交易的貨幣總值的 0.0042%
(不設最低及最高收費)

0.002% of transaction amount in HKD (Min. \$2 and Max. \$100)
以港元兌換之成交金額 0.002% (最低收費\$2 及最高收費\$100)

\$5 per transfer deed
每張\$5

\$1 per instruction
每宗收費\$1

\$0.5 per instruction
每宗收費\$0.5

Waived
已獲本公司豁免

\$8 per board lot for each stock (Min. \$100)
每隻股票每手\$8 (最低收費\$100)

Waived
已獲本公司豁免

\$5 per board lot for each stock (Min. \$30)
每隻股票每手\$5 (最低收費\$30)

\$30 per transaction
每項\$30

(C) Information Services 證券資訊服務

Corporate Communication Fee

公司通訊計劃

Real-time Stock Price Quotes Service over Internet and/or Mobile App

互聯網及/ 或手機應用程式即時股票報價服務

- Continuous Access (Could be waived subject to there being at least transaction volume of HK\$500,000 per calendar month being executed)
連續報價 (客戶每曆月透過本公司完成最少交易金額 HK\$500,000, 可獲豁免該月月費)
- Per Quote Access - 300 free quotes per calendar month initially and addition of 200 free quotes per every HK\$50,000 of transaction volume (calculated on aggregate transaction volume as at month end)
每項報價 [客戶每曆月可享用首 300 項免費報價及交易金額每滿 HK\$50,000, 可獲額外 200 項免費報價 (以每月底累積金額計算)]
- Either Continuous Access or Per Quote Access can be selected and any unused free quotes will not be carried forward to next month
只可選擇連續報價或每項報價而任何剩餘免費報價於每月底將予取消
- Quote meter for Per Quote Access being used over Internet and/or Mobile App will be calculated together
互聯網及/ 或手機應用程式之每項報價次數會共同計算

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\$320 per month
每月\$320

\$0.1 per quote (Min. \$10 and Max. \$320 per month)
每項\$0.1 (每月最低收費\$10 及最高收費\$320)

(D) Account Maintenance 賬戶服務

Dormant Account Charges (No trading for over 1 year and without stock holdings)

不動賬戶收費 (1 年以上沒有交易及賬戶沒有股票結存)

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\$200 per annum
每年\$200

(E) Nominee Services and Corporate Actions 代理人服務及公司行動

Registration & Transfer Fee

登記及過戶費

- At Book Close Date with entitlement for any corporate actions
於截止過戶日期而獲取任何公司行動的權益

CCASS
中央結算系統

\$1.5 per board lot
每手\$1.5

Broad Categories of Fees and Charges
費用及收費廣泛類別

Corporate Action Fee (applicable to all types of corporate action except collection of cash/scrip dividend/bonus share)
公司行動費（適用於所有種類的公司行動，現金股息/以股代息/紅股除外）

Collection of Dividend
代收股息

- Cash Dividend
現金股息

- Scrip Dividend
以股代息

Collection of Bonus Shares/Warrants
代收紅股/認股權證

Redemption of Debt Securities
債券到期贖回

Subscription Charges
認購費用

- 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）
- Warrant/Callable Bull/Bear Contracts Exercise/Mandatory Call of Callable Bull/Bear Contracts
行使認股權證/牛熊證/強制贖回牛熊證

Cash/Scrip Offer
現金/股份要約

- Handling fee
手續費
- Ad Valorem Stamp Duty
從價印花稅

Charges for Other Corporate Actions (through CCASS)
其他公司行動（經中央結算系統）

- Shares Consolidation, Shares Subdivision, Shares Exchange and Shares Privatization, Compulsory Acquisition
股票合併、股票拆細、股票轉換、股票私有化、強制收購
- Shares Withdrawal of Listing on GEM/Main Board
股份撤銷在創業版/主板上市

Dividend/Bonus Claim (for physical scrip)
追收股息/紅股（實物股票）

Payable to
須支付予

CCASS
中央結算系統

East Asia Securities
東亞證券

CCASS
中央結算系統

East Asia Securities
東亞證券

CCASS
中央結算系統

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East Asia Securities
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East Asia Securities
東亞證券
HK SAR Government
香港特區政府

East Asia Securities
東亞證券

East Asia Securities
東亞證券

East Asia Securities
東亞證券
Share Registrar
股票過戶處
CCASS
中央結算系統
CCASS
中央結算系統

Basis
收費細則

\$0.8 per board lot (Note: This fee will not be refunded if the corporate action is finally revoked by the Company concerned)
每手\$0.8（註：如果有關公司最終撤銷該公司行動，是項收費亦不作退還）

0.5% of dividend/interest collected (Min. HK\$30/CNY25/US\$4 and Max. HK\$2,500/CNY2,000/US\$350)
股息/利息總額 0.5%（最低收費為港幣 30 元/人民幣 25 元/4 美元及最高收費為港幣 2,500 元/人民幣 2,000 元/350 美元）
0.12% of dividend/interest collected
股息/利息總額 0.12%

0.5% of dividend/interest collected (Min. HK\$30/CNY25/US\$4 and Max. HK\$2,500/CNY2,000/US\$350)
股息/利息總額 0.5%（最低收費為港幣 30 元/人民幣 25 元/4 美元及最高收費為港幣 2,500 元/人民幣 2,000 元/350 美元）
0.12% of dividend/interest collected (Fractional shares for entitlement of cash dividend, if any)
股息/利息總額 0.12%（零碎股份而獲取的現金股息，如有）

\$30 per transaction
每項\$30

\$100 per transaction
每項\$100

\$100 per transaction
每項\$100

\$100 per transaction
每項\$100

\$100 per transaction
每項\$100
0.1% of the consideration or if higher, the market value of the Shares (rounded up to the nearest dollar)
總代價或（倘較高）股份市值的 0.1%及調高至最接近\$1 的整數

\$30 per transaction
每項\$30

\$15 per transaction
每項\$15

\$250 per claim
每項追討\$250
\$2.5 per board lot
每手\$2.5
\$200 per claim
每項追討\$200
0.12% of dividend/interest collected
股息/利息總額 0.12%

(F) Financing Charges and Others 借貸收費及其他

Application Fee for New Issue/Tender for Exchange Fund / HK Mortgage Corp.
Notes
申請新股/投標認購外匯基金/香港按揭證券公司債券

- For applications submitted via the Internet through our Cyber trading System:
透過互聯網及經本公司的電子網絡交易系統完成的申請:
- For applications that are received by our dealer over the phone or under written instruction or Yellow Application Form:
透過電話與本公司的交易員接洽或以書面指示或黃表形式完成的申請:

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\$30 per transaction and 1% commission of new issue/0.1% commission of Exchange Fund Notes on successful allotment
每份申請\$30 及成功獲分配股票總值之 1% 佣金/債券總值之 0.1% 佣金

\$100 per transaction and 1% commission of new issue/0.1% commission of Exchange Fund Notes on successful allotment
每份申請\$100 及成功獲分配股票總值之 1% / 債券總值之 0.1% 佣金

Overdue Interest
逾期付款利息

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Calculation based on the Prime Rate as quoted by The Bank of East Asia, Limited + 3%, Min. \$200
以東亞銀行最優惠利率加 3 厘計算，最低收費\$200

Share Registration
股票過戶登記

East Asia Securities
東亞證券
Share Registrar
股票過戶處

\$5 per board lot for each stock (Min. \$100 and Max. \$500)
每隻股票每手\$5（最低收費\$100 及最高收費\$500）
\$2.5 per certificate
每張股票\$2.5

Stock Balance Confirmation
簽發股票結存證明書

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\$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 Examples of Standard Fees and Charges Payable for Prescribed Scenarios for Securities Related Services

在指定情況之下與證券服務有關的費用及收費的例子說明範例

Broad Categories of Fees and Charges 費用及收費的廣泛類別	Basis 收費細則	Amount (\$) 金額 (\$)
Example 1: Stock Purchase 例子 1: 股票買入		
Client buys 25 board lots or 25,000 shares (1,000 shares per board lot) of Company A via Mobile App. Total value of transaction is HK\$25,500. 客戶透過手機應用程式買入 25 手或 25,000 股（每手 1,000 股）A 公司股票，總交易額為 HK\$25,500。		
Brokerage 佣金	0.15% of transaction amount (Min. HK\$80) 成交金額 0.15%（最低收費 HK\$80）	HK\$25,500 x 0.15% = HK\$80 （Min. HK\$80 最低收費 HK\$80）
Stamp Duty 印花稅	0.1% of transaction amount (rounded up to the nearest dollar) 成交金額 0.1%（調高至最接近 HK\$1 的整數）	HK\$25,500 x 0.1% = HK\$26
Transaction Levy 交易徵費	0.0027% of transaction amount 成交金額 0.0027%	HK\$25,500 x 0.0027% = HK\$0.69
AFRC Transaction Levy 會財局交易徵費	0.00015% of transaction amount 成交金額 0.00015%	HK\$25,500 x 0.00015% = HK\$0.04
Trading Fee 交易費	0.00565% of transaction amount 成交金額 0.00565%	HK\$25,500 x 0.00565% = HK\$1.44
Stock Settlement Fee 股份交收費	0.0042% of transaction amount 以成交金額 0.0042%	HK\$25,500 x 0.0042% = HK\$1.07
Total Fee Payable 客戶支付: HK\$109.24		

Example 2: Stock Sale 例子 2: 股票沽出

Client sells 50 board lots or 50,000 shares (1,000 shares per board lot) of Company A via dealer directly. Total value of transaction is HK\$50,000.
客戶透過交易員沽出 50 手或 50,000 股（每手 1,000 股）A 公司股票，總交易額為 HK\$50,000。

Trade-related 證券交易:

Brokerage 佣金	0.25% of transaction amount (Min. HK\$100) 成交金額 0.25%（最低收費 HK\$100）	HK\$50,000 x 0.25% = HK\$125
Stamp Duty 印花稅	0.1% of transaction amount (rounded up to the nearest dollar) 成交金額 0.1%（調高至最接近 HK\$1 的整數）	HK\$50,000 x 0.1% = HK\$50
Transaction Levy 交易徵費	0.0027% of transaction amount 成交金額 0.0027%	HK\$50,000 x 0.0027% = HK\$1.35
AFRC Transaction Levy 會財局交易徵費	0.00015% of transaction amount 成交金額 0.00015%	HK\$50,000 x 0.00015% = HK\$0.08
Trading Fee 交易費	0.00565% of transaction amount 成交金額 0.00565%	HK\$50,000 x 0.00565% = HK\$2.83
Stock Settlement Fee 股份交收費	0.0042% of transaction amount 以港元兌換之成交金額 0.0042%	HK\$50,000 x 0.0042% = HK\$2.1
Total Fee Payable 客戶支付: HK\$181.36		

Example 3: Physical Scrip Deposit 例子 3: 存入實物股票

Client requests to deposit physical scrip of the 25 board lots or 25,000 shares (1,000 shares per board lot) of Company A shares.
客戶存入 25 手或 25,000 股（每手 1,000 股）A 公司的實物股票在其於本公司之證券賬戶。

Transfer Deed Stamp Duty 轉手紙印花稅	HK\$5 per transfer deed 每張 HK\$5	HK\$5
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Total Fee Payable 客戶支付: HK\$5

Example 4: Physical Scrip Withdrawal 例子 4: 提取實物股票

Client requests to receive physical scrip of the 25 board lots or 25,000 shares (1,000 shares per board lot) of Company A registered in the name of his/her own name. After withdrawal from CCASS, 2 share certificates are received and registered in the name of HKSCC Nom Ltd for covering 25,000 shares, and client wishes to receive 1 certificate registered in his/her own name.
客戶要求提取 25 手或 25,000 股（每手 1,000 股）A 公司的實物股票，並交由本公司代為辦理提貨後股票轉名手續。假設從中央結算收回 2 張股票合共 25,000 股，而該客戶打算在股票轉名後只取回 1 張股票合共 25,000 股。

Scrip Handling and Settlement-related 處理實物股票及交收:

Physical Scrip Withdrawal 提取實物股票	HK\$8 per board lot for each stock (Min. HK\$100) 每隻股票每手 HK\$8（最低收費 HK\$100）	25 x HK\$8 = HK\$200
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Financing Charges and Others 借貸收費及其他:

Share Registration 股票過戶登記	HK\$5 per board lot (Min. HK\$100 and Max. HK\$500 plus Share Registrar's charges) Note: HK\$2.5 per share certificate of Share Registrar's charges are based on the greater number of certificate to be transferred or issued 每手 HK\$5（最低收費 HK\$100 及最高收費 HK\$500，另加股票過戶處費用） 註：股票過戶處將會向每張要求轉讓/發行之股票徵收 HK\$2.5 以支付其登記及過戶費，計算方法以有關股票之轉讓張數與要求發行之張數中取其較多者計算。	25 x HK\$5 + 2 x HK\$2.5 = HK\$130
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Total Fee Payable 客戶支付: HK\$330

Example 5: Stock Transfer between Two Intermediaries 例子 5: 股票由一證券商轉至另一證券商（俗稱「封倉」）

Client requests to transfer 5,000 shares (500 shares per board lot) of Company A valued at HK\$200,000 as free of payment to the securities trading account maintained with another broker.
客戶把價值 HK\$200,000 的 5,000 股（每手 500 股）A 公司的股票，從本公司之證券賬戶，轉至另一證券商之證券賬戶，並以「無須付款交收」（“free of payment”）作為此交收指示。

Scrip Handling and Settlement-related 處理實物股票及交收:

Shares Transfer from / to other Brokers / Nominees / Stock Pledges through Settlement Instruction (S.I.) / Investor Settlement Instruction (I.S.I.) 與其他證券公司/託管公司/股票承押人辦理交收指示/ 投資者交收指示	HK\$5 per board lot for each stock (Min. HK\$30) plus CCASS charges Note: Current CCASS charges: Stock Settlement Fee – 0.002% of the gross value for each S.I. transaction, subject to a Min. fee of HK\$2 and Max. fee of HK\$100 for each S.I. transaction. Stock Clearing Fee for each S.I. input – HK\$1 each Money Settlement Fee – HK\$0.5 for HKD items, CNY items and USD items for each EPI issued by HKSCC for S.I. Transactions settled in CCASS on a DVP basis) 每隻股票每手 HK\$5（最低收費 HK\$30），另加中央結算費用 註：中央結算會就每宗交收指示收取股份交易總額 0.002% 的費用，最低收費 HK\$2，最高收費 HK\$100，另加股份結算費每次收費 HK\$1。如交收指示以「貨銀對付交收」，則中央結算就每宗交收指示收取交易費用：港元指示、人民幣指示及美元指示均收費 HK\$0.5	HK\$5 x 10 + HK\$4 + HK\$1 = HK\$55
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Total Fee Payable 客戶支付: HK\$55

Broad Categories of Fees and Charges 費用及收費的廣泛類別	Basis 收費細則	Amount (\$) 金額 (\$)
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Example 6: Cash Dividend/Scrip Dividend/Interest Collection 例子 6: 代收現金股息/ 以股代息/ 利息

Client holds 5 board lots or 5,000 shares (1,000 shares per board lot) of Company A. Dividend of HK\$0.405354 per share of Company A announced. Total value of the dividend received is HK\$2,026.77 (HK\$0.405354 on 5,000 shares, rounded down to 2 decimal places).

客戶持有 5 手或 5,000 股（每手 1,000 股）A 公司股票。其 A 公司公佈派發每股 HK\$0.405354 之股息。收取股息之總額為 HK\$2,026.77（以該 5,000 股收取每股 HK\$0.405354 之股息，以 2 個小數位及向下調整方法計算）。

Nominee Services and Corporate Actions 代理人服務及公司行動:

Registration & Transfer Fee (at book-close date)	HK\$1.5 per board lot (Nil if it is collected before)	HK\$7.5
登記及過戶費（在截止過戶日期）	每手收費 HK\$1.5（如這項目曾經已收取便無須再繳付）	
Cash / Scrip Dividends Collection Fee	0.12% on dividend/interest amount (rounded up to 2 decimal places)	HK\$2.43
現金股息/ 以股代息收費	分派股息或利息之 0.12%（以 2 個小數位及向上調整方法計算）	
Commission	0.5% on dividend/interest amount (rounded to 2 decimal places, Min. HK\$30 and Max. HK\$2,500)	HK\$30
手續費	分派股息或利息之 0.5%（以 2 個小數位及 4 捨 5 入方法計算，最低收費 HK\$30 及最高收費 HK\$2,500）	

Total Fee Payable 客戶支付: HK\$39.93

Example 7: Cash Dividend/Scrip Dividend/Interest Collection 例子 7: 代收現金股息/ 以股代息/ 利息

Client holds 10 board lots or 5,000 shares (500 shares per board lot) of Company A. Dividend of HK\$46.8 or US\$6 per share of Company A announced. The client who elected to receive in US\$. Total value of the dividend received is US\$30,000 (US\$6 on 5,000 shares, rounded down to 2 decimal places).

客戶持有 10 手或 5,000 股（每手 500 股）A 公司股票。其 A 公司公佈派發每股 HK\$46.8 或 US\$6 之股息。客戶選擇收取美元股息。股息之總額為 US\$30,000（以該 5,000 股收取每股 US\$6 之股息，以 2 個小數位及向下調整方法計算）。

Nominee Services and Corporate Actions 代理人服務及公司行動:

Registration & Transfer Fee (at book-close date)	HK\$1.5 per board lot (Nil if it is collected before)	HK\$15
登記及過戶費（在截止過戶日期）	每手收費 HK\$1.5（如這項目曾經已收取便無須再繳付）	
Cash / Scrip Dividends Collection Fee	0.12% on dividend/interest amount (rounded up to 2 decimal places)	US\$36
現金股息/ 以股代息收費	分派股息或利息之 0.12%（以 2 個小數位及向上調整方法計算）	
Commission	0.5% on dividend/interest amount (rounded to 2 decimal places, Min. US\$4 and Max. \$350)	US\$150
手續費	分派股息或利息之 0.5%（以 2 個小數位及 4 捨 5 入方法計算，最低收費 US\$4 及最高收費 US\$350）	

Total Fee Payable 客戶支付: HK\$15 & US\$186

Example 8: Bonus Shares/Warrants Collection 例子 8: 代收紅股/ 認股權證

Client holds the 25 board lots or 50,000 shares (2,000 shares per board lot) of Company A. Bonus shares in ratio of 1 for 10 is distributed.

客戶持有 25 手或 50,000 股（每手 2,000 股）A 公司股票。其 A 公司公佈以 10 送 1 之比例派發紅股。

Nominee Services and Corporate Actions 代理人服務及公司行動:

Registration & Transfer Fee (at book-close date)	HK\$1.5 per board lot (Nil if it is collected before)	HK\$37.5
登記及過戶費（在截止過戶日期）	每手收費 HK\$1.5（如這項目曾經已收取便無須再繳付）	
Commission	HK\$30 per transaction	HK\$30
手續費	每項 HK\$30	

Total Fee Payable 客戶支付: HK\$67.50

Example 9: Rights Issue 例子 9: 供股

Client holds 86 board lots or 86,000 shares of Company A (1,000 shares per board lot) & entitled 21,500 rights shares (In ratio of 1 for 4). The client subscribes for 21,500 rights shares and excess application for 18,500 rights shares of this Rights Issue at subscription price of HK\$0.1 per share.

客戶持有 86 手或 86,000 股 A 公司股票（每手 1,000 股）及配授 21,500 股供股權（以 1 比 4 比例分配）。客戶將其 21,500 股供股權及額外申請 18,500 股以認購價每股 HK\$0.1 進行認購。

Part I – Book-close for Rights Issue 第 1 部份 – 供股之截止過戶

Nominee Services and Corporate Actions 代理人服務及公司行動:

Registration & Transfer Fee (at book-close date)	HK\$1.5 per board lot (Nil if it is collected before)	HK\$129
登記及過戶費（在截止過戶日期）	每手收費 HK\$1.5（如這項目曾經已收取便無須再繳付）	
Fee Payable 客戶支付: HK\$129		

Part II – Rights Subscription 第 2 部份 – 認購供股權

Nominee Services and Corporate Actions 代理人服務及公司行動:

Corporate Action Fee	HK\$0.8 per board lot (Less than 1 lot also counted as 1 lot) (22 lots)	HK\$17.6
公司行動費	每手收費 HK\$0.8（不足 1 手亦視作 1 手）（22 手）	
Commission	\$100 per transaction	HK\$100
手續費	每項 \$100	

Fee Payable 客戶支付: HK\$117.60

Part III – Excess Rights Subscription 第 3 部份 – 額外認購供股權

Nominee Services and Corporate Actions 代理人服務及公司行動:

Corporate Action Fee	Nil	HK\$0
公司行動費	無須繳付	
Commission	Nil	HK\$0
手續費	無須繳付	

Fee Payable 客戶支付: HK\$0

Total Fee Payable in All Parts 所有部份客戶支付之總和: HK\$246.60

Example 10: Open Offer 例子 10: 公開發售

Client holds 6 board lots or 60,000 shares of Company A (10,000 shares per board lot) & entitled 30,000 offer shares (In ratio of 1 for 2). The client subscribes for 30,000 shares of this open offer at subscription price of HK\$0.20 per share.

客戶持有 6 手或 60,000 股 A 公司股票（每手 10,000 股）及獲分配 30,000 公開發售股權（以 2 配 1 比例分配）。客戶將其 30,000 股公開發售股權以認購價每股 HK\$0.20 進行認購。

Part I – Book-close for Open Offer 第 1 部份 – 公開發售之截止過戶

Nominee Services and Corporate Actions 代理人服務及公司行動:

Registration & Transfer Fee (at book-close date)	HK\$1.5 per board lot (Nil if it is collected before)	HK\$9
登記及過戶費（在截止過戶日期）	每手收費 HK\$1.5（如這項目曾經已收取便無須再繳付）	
Fee Payable 客戶支付: HK\$9		

Part II – Open Offer Subscription 第 2 部份 – 認購公開發售股權

Nominee Services and Corporate Actions 代理人服務及公司行動:

Corporate Action Fee	HK\$0.8 per board lot (Less than 1 lot also counted as 1 lot) (3 lots)	HK\$2.4
公司行動費	每手收費 HK\$0.8（不足 1 手亦視作 1 手）（3 手）	
Commission	HK\$100 per transaction	HK\$100
手續費	每項 HK\$100	

Fee Payable 客戶支付: \$102.40

Total Fee Payable in All Parts 所有部份客戶支付之總和: HK\$111.40

Broad Categories of Fees and Charges

費用及收費的廣泛類別

Basis

收費細則

Amount (\$)

金額 (\$)

Example 11: Cash Offer 例子 11: 現金要約

Client holds 215 board lots or 430,000 shares of Company A (2,000 shares per board lot). All the 430,000 shares was accepted by the client at HK\$0.045 per share under this Offer. Total cash consideration received by the client is HK\$19,350 (430,000 x HK\$0.045).

客戶持有 215 手或 430,000 股 A 公司股票（每手 2,000 股）。客戶將其全數 430,000 股接受 A 公司以要約價每股 HK\$0.045 之現金要約。客戶總代價是 HK\$19,350（430,000 x HK\$0.045）。

Nominee Services and Corporate Actions 代理人服務及公司行動:

Registration & Transfer Fee 登記及過戶費	HK\$1.5 per board lot (Nil if it is collected before) 每手收費 HK\$1.5（如這項目曾經已收取便無須再繳付）	HK\$322.5
Corporate Action Fee 公司行動費	HK\$0.8 per board lot (Less than 1 lot also counted as 1 lot) (215 lots) 每手收費 HK\$0.8（不足 1 手亦視作 1 手）（215 手）	HK\$172
Ad Valorem Stamp Duty 從價印花稅	0.1% of the consideration payable in respect of the relevant acceptances or, if higher, the market value of the Offer Shares subject to such acceptance (where the amount of stamp duty is a fraction of a dollar, the stamp duty will be rounded up to the nearest dollar) 按就有關接納應付的代價或（如較高）該等獲接納要約股份的市值 0.1% 計算（倘印花稅金額有不足 1 元之數，則印花稅將向上調整至最接近元位數）	HK\$20
Commission 手續費	HK\$100 per transaction 每項 HK\$100	HK\$100

Total Fee Payable 客戶支付: HK\$614.5

Example 12: Warrants Conversion 例子 12: 行使認股權證

Client holds 8,000 shares (8,000 shares per board lot) of Warrant A. The client subscribes all the 8,000 units of warrants at HK\$0.9 per share.

客戶持有 8,000 股認股權證（每手 8,000 股）。客戶將其全數 8,000 股認股權證以行使價每股 HK\$0.9 進行認購。

Nominee Services and Corporate Actions 代理人服務及公司行動:

Corporate Action Fee 公司行動費	HK\$0.8 per board lot (Less than 1 lot also counted as 1 lot) (1 lot) 每手收費\$0.8（不足 1 手亦視作 1 手）（1 手）	HK\$0.8
Commission 手續費	HK\$100 per transaction 每項\$100	HK\$100

Total Fee Payable 客戶支付: HK\$100.8

Example 13: Maturity/Mandatory Call of Callable Bull/Bear Contracts (“CBBC ”) 例子 13: 到期行使/ 強制贖回牛熊證

Client holds 20,000 shares (10,000 shares per board lot) of CBBC A. Upon the CBBC matured or occurrence of a mandatory call event, the client will receive a cash settlement amount / residual value (if positive).

客戶持有 20,000 股 A 股牛熊證（每手 10,000 股）。當其牛熊證期滿或發生強制贖回事件時，客戶將收取現金結算金額/ 剩餘價值（如為正數）。

Nominee Services and Corporate Actions 代理人服務及公司行動:

Corporate Action Fee 公司行動費	HK\$0.8 per board lot (Less than 1 lot also counted as 1 lot) (2 lots) 每手收費 HK\$0.8（不足 1 手亦視作 1 手）（2 手）	HK\$1.6
Commission 手續費	HK\$100 per transaction 每項 HK\$100	HK\$100

Total Fee Payable 客戶支付: HK\$101.6

Example 14: Shares Consolidation, Subdivision, Exchange through CCASS 例子 14: 經中央結算處理之股票合併、拆細、轉換

Client holds 5,000 shares of Company A. Share Consolidation in ratio of 10 into 1 is conducted.

客戶持有 5,000 股 A 公司股票。將會以比例 10 合 1 進行股票合併。

Commission 手續費	HK\$30 per transaction 每項 HK\$30	HK\$30
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Total Fee Payable 客戶支付: HK\$30

Example 15: Privatization through CCASS 例子 15: 經中央結算處理之私有化股份

Client holds 4 board lots 16,000 shares (4,000 shares per board lot) of Company A. The company then privatized at HK\$0.25 per share. The Cash Consideration would be HK\$4,000.

客戶持有 4 手或 16,000 股（每手 4,000 股）A 公司股票。其公佈將會以每股 HK\$0.25 進行私有化。有關金額將會是 HK\$4,000。

Nominee Services and Corporate Actions 代理人服務及公司行動:

Registration & Transfer Fee 登記及過戶費	HK\$1.5 per board lot (Nil if it is collected before) 每手收費 HK\$1.5（如這項目曾經已收取便無須再繳付）	HK\$6
Corporate Action Fee 公司行動費	HK\$0.8 per board lot (Less than 1 lot also counted as 1 lot) (4 lots) 每手收費 HK\$0.8（不足 1 手亦視作 1 手）（4 手）	HK\$3.2
Commission 手續費	HK\$30 per transaction 每項 HK\$30	HK\$30

Total Fee Payable 客戶支付: HK\$39.2

Example 16: Transfer of Listing from GEM to Main Board 例子 16: 上市地位由創業版轉往主版

Client holds 1 board lots 2,000 shares (2,000 shares per board lot) of Company A. The aforesaid shares would be withdrawn from the GEM to the Main Board. Share conversion in ratio of 1 to 1 would be conducted under this issue.

客戶持有 1 手或 2,000 股（每手 2,000 股）A 公司股票。其上述股票將會在創業版撤銷後在主版上市。將會以比例 1 對 1 進行股票轉換。

Commission 手續費	HK\$15 per transaction 每項 HK\$15	HK\$15
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Total Fee Payable 客戶支付: HK\$15

Example 17: Real-time Stock Price Quotes Service (RTSQ) over Internet and/or Mobile App - Continuous Access 例子 17 互聯網及/ 或手機應用程式即時股票報價服務- 連續報價

Client has subscribed for the Continuous Access service and has executed transactions via the Internet, Mobile App and our dealers with transaction volume of \$290,000 and \$500,000 (including buy and sell orders) in August and September respectively.

客戶使用連續報價服務，並分別於 8 月份及 9 月份透過互聯網、手機應用程式及交易員完成交易金額 HK\$290,000 及 HK\$500,000（包括買盤及賣盤）。

Information Services 證券資訊服務:

RTSQ over Internet and/or Mobile App - Continuous Access	HK\$320 per month (Could be waived subject to there being at least transaction volume of HK\$500,000 per calendar month being executed)	<u>August 8 月份:</u> HK\$320
互聯網及/或手機應用程式即時股票報價服務 - 連續報價	每月 HK\$320（客戶每曆月透過本公司完成最少交易金額 HK\$500,000，可獲豁免該月月費）	<u>September 9 月份:</u> waived 已獲本公司豁免

Total Fee Payable in August 客戶 8 月份支付: HK\$320

Total Fee Payable in September 客戶 9 月份支付: HK\$0

Example 18: Real-time Stock Price Quotes Service (RTSQ) over Internet and/or Mobile App - Per Quote Access 例子 18: 互聯網及/ 或手機應用程式即時股票報價服務- 每項報價

Client has subscribed for the Per Quote Access service and has executed transactions via the Internet, Mobile App and our dealers with transaction volume of HK\$30,000 and HK\$130,000 (including buy and sell orders) in August and September respectively. Client has used 300 and 1800 clicks in August and September respectively.

客戶使用每項報價服務，並分別於 8 月份及 9 月份透過互聯網、手機應用程式及交易員完成交易金額 HK\$30,000 及 HK\$130,000（包括買盤及賣盤）。客戶於 8 月份及 9 月份使用了 350 及 1800 項每項報價服務。

Information Services 證券資訊服務:

RTSQ over Internet and/or Mobile App - Per Quote Access	HK\$0.1 per quote, Min. HK\$10 and Max. HK\$320 per month 300 free quotes per calendar month initially and addition of 200 free quotes per every	<u>August 8 月份:</u> (350 - 300) x HK\$0.1 = HK\$10
互聯網及/或手機應用程式即時股票報價服務 - 每項報價	HK\$50,000 of transaction volume being executed (To be calculated on the aggregate transaction volume as at month end)	(Min.HK\$10 最低收費 HK\$10) <u>September 9 月份:</u>

	每項 HK\$0.1, 每月最低收費 HK\$10 及最高收費 HK\$320 客戶每曆月可享用首 300 項免費報價及交易金額每滿 HK\$50,000, 可獲額外 200 項免費報價 (以每月底累積金額計算)	$[1800 - (300 + 200 \times 2)] \times \text{HK\$}0.1$ $= \text{HK\$}110$
Total Fee Payable in August 客戶 8 月份支付: HK\$10 Total Fee Payable in September 客戶 9 月份支付: HK\$110		
Example 19: Overdue Interest 例子 19: 逾期付款利息 Client does not settle a stock purchase transaction for HK\$1,000,000 on T+2 day. Such overdue payment is subsequently settled on T+3 day. 客戶買入股票總金額為 HK\$1,000,000, 但該筆款項不能於交收當日 (即買入後第 2 日) 支付, 及後客戶於交收的翌日 (即買入後第 3 日) 全數支付。		
Financing Charges and Other Fees 借貸收費及其他:		
Overdue Interest 逾期付款利息	Calculation based on the Prime Rate as quoted by The Bank of East Asia, Limited plus 3%, Min. HK\$200 (Note: Assume the Prime Rate is 8%) 以東亞銀行最優惠利率加 3 厘計算, 最低收費 HK\$200 (註: 假設最優惠利率為 8%)	$\text{HK\$}1,000,000 \times (8\% + 3\%) \times 1 / 365$ $= \text{HK\$}301.37$
Total Fee Payable 客戶支付: HK\$301.37		