

Securities Services Fees and Charges

Securities Trading (Hong Kong Stock Market)

Item	Fees and Charges
Commission	0.25% on gross amount (Min: HKD100)
Stamp Duty	0.1% on gross amount (rounded up to the nearest dollar)
SFC Transaction Levy	0.0027% on gross amount
HKEX Trading Fee	0.005% on gross amount
CCASS Settlement Fee	0.002% on gross amount (Min: HKD2 / Max: HKD100)

Physical Scrip Handling & Settlement Services

Item	Fees and Charges
Physical Scrip Deposit	HKD5 for each transfer deed
Withdrawal of Physical Scrip	HKD5 per board lot (Min: HKD50)
Deposit Fee	Free
Settlement Instruction (SI) (Apply for share transfer in)	Free
Settlement Instruction (SI) (Apply for share transfer out)	0.002% on gross amount (Min: HKD100 per each stock withdrawal)
Settlement Instruction (ISI) (Apply for share transfer in)	Free
Settlement Instruction (ISI) (Apply for share transfer out)	HKD50 per stock
Transfer of Entitlement (from one customer to another, both parties' accounts should be in Huatai)	HKD250 plus stamp duty collected by HKSAR Government (Both parties are required to pay)
Compulsory Share Buy-In	Handling charge HK\$200 and all other charges from Clearing house & related party(ies)

(Effective Date: 1 Feb 2019)

Account Services

Item	Fees and Charges
Custodian Fee	Free
Photocopying of Statement (Softcopy/Hardcopy)	Soft Copy - Free for the recent 3 months, HKD50 each for statement date over 3 months
Stock Segregated Account (with Statement Services)	HKD10 per month HKD10 per month
Photocopying of Account Opening Documents	Free for the first three months, HKD50 for accounts opened more than 3 months

Nominee Services & Corporate Actions

Item	Fees and Charges
Scrip Fee	HKD2 per board lot (odd lot treated as one board lot)
Collection of Cash/Scrip Dividend Payment	0.25% of cash dividend collected, Min: HKD30/CNY30/USD5, Max: HKD20,000/CNY20,000/USD2,600 (calculated in dividend denominated currency)
Collection of Bonus shares	HKD1 per board lot (Min: HKD25) (odd lot treated as one board lot)
Collection of Bonus	Free
Rights Subscription	HKD0.8 per board lot plus HKD150 handling fee (odd lot treated as one board lot)
Share Split/ Consolidation	Free
Tendering Shares under Takeover Bid	HKD0.8 per board lot plus HKD150 handling fee (odd lot treated as one board lot)
Transfer of share ownership in Share registration	HKD5 per board lot plus HKD200 handling fee (odd lot treated as one board lot)
Warrant Exercise	HKD100 per transaction
Covered Warrant Subscriptions	HKD100 per transaction
Cancellation of Covered Warrant Subscriptions / Warrant Subscriptions	HKD1 per transaction
Issuance of Covered Warrant Subscriptions / Warrant Subscriptions	HKD2 per transaction

(Effective Date: 1 Feb 2019)

Financing and Other Services

Item	Fees and Charges
Cash Account Overdue Interest	HKD: Standard Chartered Bank (Hong Kong) Limited Prime rate + 5.0%
Margin Financing Interest	HKD: Standard Chartered Bank (Hong Kong) Limited Prime rate + 2.75%
Margin Financing Interest (Over margin limit)	HKD: Standard Chartered Bank (Hong Kong) Limited Prime rate + 5.75%
IPO Subscription*	HKD130 for IPO Subscription through financing services; HKD30 for IPO Cash Subscription
Handling of unclaimed benefits entitlement	HKD500 per claim or 0.2% of gross dividend amount (whichever is higher)
Foreign Exchange#	Up to 1% of currency conversion fee (represents a spread in the form of a mark-up or mark-down on the exchange rate)

*Once client has submitted IPO subscription , it cannot be altered/cancelled. We reserve the absolute discretionary right to consider whether accept or not accept client's request of alteration/cancellation. However, client needs to bear relevant alternation/cancellation charges for HKD200 per transaction AND relevant interest expense incurred from financing arrangement of the application.

Unless stated otherwise, Huatai generally acts as the principal when handling foreign exchange. When trading securities that are settled in a currency other than its trading currency, you should be aware of the currency risk involved (including but not limited to exchange rate fluctuations) and the foreign exchange costs associated.

Settlement Services

Item	Fees and Charges
Cash Withdrawal - Local Cheque Issuance (collected in person)	Waived
Cash Withdrawal - Local CHATS or Telegraphic Transfer/Local Transfer	All bank charges will be deducted from the cash withdrawal amount
Deposit	Waived
Cheque Stop Payment Instruction	HKD200 per cheque
Returned Cheque Handling	HKD200 per cheque

Remarks: The charges above are subjected to change by the Company at any time without prior notice.

(Effective Date: 1 Feb 2019)

China Connect - Shenzhen/Shanghai A Shares Fees and Charges

Securities Trading (China Connect - Shenzhen / Shanghai A Shares)

Item	Fees and Charges
Commission	0.25% on gross amount (Min: RMB100)
Stamp Duty	0.1% of the consideration of each selling transaction
Handling Fee	0.00487% of the consideration of each transaction
Securities Management Fee	0.002% of the consideration of each transaction
Transfer Fee	0.002% of the consideration of each transaction payable under China Clear's China Connect Rules
	0.002% of the consideration of each transaction payable under the General Rules of CCASS

Account Services

Item	Fees and Charges
Settlement Instruction (SI) (Apply for share transfer in)	Free
Settlement Instruction (SI) (Apply for share transfer out)	0.002% on gross amount (Min: RMB100 per each stock withdrawal)
Custodian Fee	Daily stock portfolio value of Shenzhen & Shanghai A shares in RMB x 0.008% / 365 (accrued daily and collected on a monthly basis)
Photocopying of Statement (Softcopy/Hardcopy)	Soft Copy - Free for the recent 3 months, HKD50 each for statement date over 3 months Hard copy - HKD50
Photocopying of Account Opening Documents	Free for the first three months, HKD50 for accounts opened more than 3 months

Nominee Services & Corporate Actions

Item	Fees and Charges
Scrip Fee	RMB2 per board lot (odd lot treated as one board lot)

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Collection of Cash/Script Dividend Payment	0.5% of cash dividend collected (Min: RMB25)
Collection of Bonus shares	RMB1 per board lot (Min: RMB25)) (odd lot treated as one board lot)
Collection of Bonus Warrant/Rights	Free
Rights Subscription	RMB0.8 per board lot plus RMB150 handling fee (odd lot treated as one board lot)
Share Split/ Consolidation	Free
Tendering Shares under Takeover Bid	RMB0.8 per board lot plus RMB150 handling fee (odd lot treated as one board lot)
Handling of unclaimed benefits entitlement	Depends from case to case (Min: RMB500)

Settlement Services

Item	Fees and Charges
Fund Withdrawal - Local Cheque Issuance (collected in person)	Waived
Fund Withdrawal - Local CHATS or Telegraphic Transfer/Local Transfer	All bank charges will be deducted from withdrawal amount
Fund Deposit	Waived
Cheque Stop Payment Instruction	HKD200 per cheque
Returned Cheque Handling	HKD200 per cheque

(Effective Date: 1 Feb 2019)

China B Shares Fees and Charges

Securities Trading (China B Shares)

Item	Fees and Charges
Shanghai B Shares (USD)	
Commission	0.25% of transaction amount, Min: USD25
Stamp Duty	0.10%
Transaction Levy	0.026%
Settlement Fee	0.05%
Securities Management Fee	0.004%
Shenzhen B Shares (HKD)	
Commission	0.25% of transaction amount; Min: HKD100
Stamp Duty	0.10%
Transaction Levy	0.0341%
Clearing Fee	0.05%

Apart from the costs above, there may be other charges. If the levies are changed by third parties, we will not make notice in advance.

Note please: Customers need to deposit before placing orders; Buying and Selling the same stocks can't be combined.

(Effective Date: 1 Feb 2019)

Overseas Securities Fees and Charges

Market 市场	1. Commission		2. Other fees	
	Rate	Min Fee		
US	0.28%	USD25	a) SEC fee (sell trades only)	0.0013%
			b) TAF fee (sell trades only)	USD 0.000119 Per share, Max:USD 5.95
			c) Financial Transaction Tax for French ADRs with market cap exceeding 1 billion Euros (buy trades only)	0.30%
			d) Financial Transaction Tax for Italian ADRs with market cap exceeding 500 million Euros (buy trades only)	0.10%
			e) ADR fee	Varies with each counter
			f) Additional Charges for dual listed US OTC and DTC non-eligible counters	Max:USD75 per trade
Canada	0.5%	CAD80	N/A	
UK	0.5%	GBP80	a) Stamp Duty for GBP-denominated counters (buy trades only)	0.5%
			b) Stamp Duty for EUR-denominated counters (buy trades only)	1.0%
			c) PTM Levy for any trade whose gross valuation exceeds GBP10,000	GBP1
Germany	0.5%	EUR80	N/A	
France	0.8%	EUR80	Financial Transaction Tax (buy trades only)	0.20%
Australia	0.5%	AUD80	N/A	
Japan	0.6%	JPY6500	N/A	

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Malaysia	0.8%	MYR120	a) Foreign Fee	0.03% (Max: MYR1,000 per contract)
			b) Stamp Fee	0.10% (Max: MYR200 per contract, round up to MYR)
Singapore	0.3%	SGD75	a) Clearing fees for ALL except Options and Structured Warrants	0.0325%
			b) Clearing fees for Options and Structured Warrants	0.05% (Max SGD200)
			c) SGX Access Fees	0.0075%
			d) Settlement Instruction Fees	SGD0.35

Remark:

1. Apart from the costs above, there may be other charges (if applicable) including but not limited to, transaction fees would be charged by the stock exchange, securities settlement system's transaction fees, and/or the sales tax on trading securities charged by government. If the levies are changed by third parties, we will not make notice in advance.
2. Customers need to deposit before placing orders; Buying and Selling the same stocks can't be combined

(Effective Date: 1 Feb 2019)

Futures and Options fees and charges (HKEX)

Item	Commission		Transaction fee and levy	
	Day Trade	Overnight	Exchange fee	SFC levy
Hang Seng Index Futures (HSI)	HKD60	HKD100	HKD10	HKD0.54
H-shares Index Futures (HHI)	HKD60	HKD100	HKD3.5	HKD0.54
CES China 120 Index Futures (CHH)	HKD60	HKD100	HKD10	HKD0.54
Mini Hang Seng Index Futures (MHI)	HKD25	HKD35	HKD3.5	HKD0.10
Mini H-shares Index Futures (MCH)	HKD25	HKD35	HKD2	HKD0.10
USD/CNH Futures (CUS)	RMB38	RMB38	RMB8	N/A
CES Gaming Top 10 Index Futures (GTI)	HKD30	HKD30	HKD2	HKD0.54
Hang Seng Mainland Oil\$ Gas Index Futures (MOI)	HKD30	HKD30	HKD2	HKD0.54
Hang Seng Mainland Banks Index Futures (MBI)	HKD30	HKD30	HKD2	HKD0.54
Hang Seng Mainland Healthcare Index Futures (MCI)	HKD30	HKD30	HKD2	HKD0.54
Hang Seng Mainland Properties Index Futures (MPI)	HKD30	HKD30	HKD2	HKD0.54
Hang Seng IT Hardware Index Futures (ITI)	HKD30	HKD30	HKD2	HKD0.54
Hang Seng Software& Service Index Futures (SSI)	HKD40	HKD40	HKD2	HKD0.54
London Aluminium Mini Futures (LRA)	RMB20	RMB20	RMB3	RMB0.44
London Zinc Mini Futures (LRZ)	RMB20	RMB20	RMB3	RMB0.44
London Copper Mini Futures (LRC)	RMB20	RMB20	RMB5	RMB0.44
Hang Seng Index Options (HSI)	1% of Contract Value, Min:HKD28/Max:HKD80		HKD10	HKD0.54
H-shares Index Options (HHI)	1% of Contract Value, Min:HKD28/Max:HKD80		HKD3.5	HKD0.54
Mini Hang Seng Index Options (MHI)	1% of Contract Value, Min:HKD24/Max:HKD40		HKD2	HKD0.10

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Global Futures fees and charges

Items	Commission	Transaction fee and levy
A50	USD10 /per contract	According to the levy levied by the exchange

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Bonds Fees and Charges (OTC Market)

Items	Fees and Charges
Spread	0.3% (Per investment amount)*
Bonds Custodian Fee (per annum)	- 0.04% - To be collected at the end of each month according to the base currency of each bond - Minimum: HKD100/RMB100/USD20
Bonds Withdrawal Fee (Per transaction)	HKD300
Bonds Redemption Fee (Per transaction)	HKD300
Bonds Conversion Fee (Per transaction)	HKD300
Interest Collection Fee	Free
Corporate Actions	Free

Remark:

1. The minimum investment amount: HKD1,000,000/USD100,000
2. Unless stated otherwise, Huatai generally acts as the principal when transacting bonds over-the-counter (i.e. off-exchange)。

* The investment amount refers to the notional amount or market value of the investment product (as the case may be).

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