

Hong Kong Stock Services Fees and Charges

Securities Trading (Hong Kong Stock Market)

Platform	Membership Level	Commission	Platform Fee	IPO Fee
E- Channel (QQT)	Non member	0.029% of the transaction amount, Min. 2.9 HKD	HKD 15 per order	HKD100 for IPO Subscription through financing services; HKD50 for IPO Cash Subscription
	V1 member	Waived	Waived	Waived
	V2 member	Waived	Waived	Waived
	V3 member	Waived	Waived	Waived
	M1 member	0.029% of the transaction amount, Min. 2.9 HKD	Waived	HKD100 for IPO Subscription through financing services; HKD50 for IPO Cash Subscription
	M2 member	0.029% of the transaction amount, Min. 2.9 HKD	Waived	HKD100 for IPO Subscription through financing services; HKD50 for IPO Cash Subscription
E- Channel (Non QQT)	Non member	0.15% of the transaction amount, Min. 100 HKD	HKD 15 per order	HKD100 for IPO Subscription through financing services; HKD50 for IPO Cash Subscription
	V1 member	0.15% of the transaction amount, Min. 100 HKD	Waived	Waived
	V2 member	0.15% of the transaction amount, Min. 100 HKD	Waived	Waived
	V3 member	0.15% of the transaction amount, Min. 100 HKD	Waived	Waived

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	M1 member	0.15% of the transaction amount, Min. 100 HKD	Waived	HKD100 for IPO Subscription through financing services; HKD50 for IPO Cash Subscription
	M2 member	0.15% of the transaction amount, Min. 100 HKD	Waived	HKD100 for IPO Subscription through financing services; HKD50 for IPO Cash Subscription
Manned Phone Service	Non member	0.15% of the transaction amount, Min. 10 HKD	HKD 15 per order	HKD100 for IPO Subscription through financing services; HKD50 for IPO Cash Subscription
	V1 member	0.15% of the transaction amount, Min. 10 HKD	Waived	Waived
	V2 member	0.15% of the transaction amount, Min. 10 HKD	Waived	Waived
	V3 member	0.15% of the transaction amount, Min. 10 HKD	Waived	Waived
	M1 member	0.15% of the transaction amount, Min. 10 HKD	Waived	HKD100 for IPO Subscription through financing services; HKD50 for IPO Cash Subscription
	M2 member	0.15% of the transaction amount, Min. 10 HKD	Waived	HKD100 for IPO Subscription through financing services; HKD50 for IPO Cash Subscription

Remark:

- On the same day, the same Hong Kong stock was traded multiple times in the same direction. Such transactions can be combined into one order and counted as one platform fee.
- E- Channel Trade include QQT, Non-QQT Trade include Qianlong, Huatai Hong Kong Qianlong Stock Connect ,Huatai website login
- The standard of charging fee for forced liquidation is the same as the E-Channel(Non QQT).

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Hong Kong Grey Market Service

Platform	Membership Level	Commission	Platform Fee
E- Channel (QQT)	Non member	0.03% of the transaction amount, Min. 3 HKD	HKD 15 per order
	V1 member	0.03% of the transaction amount, Min. 3 HKD	Waived
	V2 member	0.03% of the transaction amount, Min. 3 HKD	Waived
	V3 member	0.03% of the transaction amount, Min. 3 HKD	Waived
	M1 member	0.03% of the transaction amount, Min. 3 HKD	Waived
	M2 member	0.03% of the transaction amount, Min. 3 HKD	Waived
Manned Phone Service	Non member	0.03% of the transaction amount, Min. 3 HKD	HKD 15 per order
	V1 member	0.03% of the transaction amount, Min. 3 HKD	Waived
	V2 member	0.03% of the transaction amount, Min. 3 HKD	Waived
	V3 member	0.03% of the transaction amount, Min. 3 HKD	Waived
	M1 member	0.03% of the transaction amount, Min. 3 HKD	Waived
	M2 member	0.03% of the transaction amount, Min. 3 HKD	Waived

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Hong Kong Stock Odd Lot Trading (E-Channel - QQT)

Platform	Membership Level	Commission	Platform Fee
E- Channel (QQT)	Non member	0.15% of the transaction amount, Min. 0.01 HKD	Waived
	V1 member	Waived	Waived
	V2 member	Waived	Waived
	V3 member	Waived	Waived
	M1 member	0.15% of the transaction amount, Min. 0.01 HKD	Waived
	M2 member	0.15% of the transaction amount, Min. 0.01 HKD	Waived

Hong Kong Stock Monthly Investment Plan

Platform	Membership Level	Service fee*
E- Channel (QQT)	Non member	HKD5 per stock/per month
	V1 member	HKD5 per stock/per month
	V2 member	HKD5 per stock/per month
	V3 member	HKD5 per stock/per month
	M1 member	HKD5 per stock/per month
	M2 member	HKD5 per stock/per month

Remarks:

*Service fee is waived during the promotion period (From 1 Jan 2021 to 31 Dec 2023, both dates inclusive).

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Warrants and CBCBs

Platform	Membership Level	Commission	Platform Fee
E- Channel (QQT)/ E- Channel (Non QQT)/ Manned Phone Service	Non member	HKD 0.01 per order	HKD 15 per order
	V1 member	HKD 0.01 per order	Waived
	V2 member	HKD 0.01 per order	Waived
	V3 member	HKD 0.01 per order	Waived
	M1 member	HKD 0.01 per order	Waived
	M2 member	HKD 0.01 per order	Waived

Remarks: Stamp duty is not charged when trading Warrants, Callable Bull/Bear Contracts, Inline Warrants and ETFs. Please refer to the scope of collection announced by the Hong Kong SAR Government.

Hong Kong Stock Transactions Levy

Item	Fees and Charges
Stamp Duty (collected for HKSAR Gov't)	0.1% on gross amount (rounded to the nearest dollar)
SFC Transaction Levy (collected for SFC)	0.0027% on gross amount
HKEX Trading Fee (collected for the Stock Exchange of Hong Kong Ltd)	0.00565% on gross amount
CCASS Settlement Fee (collected for HKSCC)	0.002% on gross amount (Min: HKD2 / Max: HKD100)
AFRC Transaction Levy (Commence on 2023.11.22)	0.00015% on gross amount (rounded to the nearest cent)

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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 (odd lot treated as one 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: HKD500 per each stock withdrawal)
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)

Account Services

Item	Fees and Charges
Custodian Fee	Free
Mail/stamp account daily statement, monthly statement	HK\$100 / per statement
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
Photocopying of Account Opening Documents	Free for the first three months, HKD50 for accounts opened more than 3 months
Account closure	HK\$300 /account
Shareholders' Meeting	Attend or authorize a third party to attend the Shareholders' Meeting (maximum 1 person); or Entrust Huatai to vote, the administrative fee is 50 HKD/application

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Nominee Services & Corporate Actions

Item	Fees and Charges
Scrip Fee	HKD2 per board lot(odd lot treated as one board lot)
HK/US Collection of Cash or Scrip Dividend Payment	0.25% of cash dividend collected, Min: HKD30/CNY30/USD5 (will only charge to zero if the dividend less than minimum), 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)
Fee collection for Right Issue Entitlement	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
ADR conversion	650 USD handling fee per transaction + 17 USD cablewire fee per transaction + 5 USD conversion fee per lot/transaction (1 lot = 100 ADS, less than 1 lot will be rounded to 1 lot)

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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: 6.8% of financing amount; HKD interest rates for M1 members: 4.99% of financing amount (Special interest rate limit of HKD 1 million) HKD interest rates for M2 members: 6.8% of financing amount; USD: 6.8% of financing amount; USD interest rates for M1 members: 6.8% of financing amount; USD interest rates for M2 members: 4.99% of financing amount (Special interest rate limit of USD 125,000) CNY: 8.8% of financing amount
Margin Financing Interest (Over margin limit)	HKD: Standard Chartered Bank (Hong Kong) Limited Prime rate + 5.75%
IPO Subscription*	HKD100 for IPO Subscription through financing services; HKD50 for IPO Cash Subscription
Handling of unclaimed benefits entitlement	HKD500 per claim or 2.0% 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)
Termination Fee	Security Borrowing and Lending Agreement Registration Fee HKD 270 (charged by Hong Kong Inland Revenue Department), for terminating Stock Lending service within the validity of the service agreement

*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.

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Settlement Services

Item	Fees and Charges
Fund Withdrawal – Local CHATS or Telegraphic Transfer/Local Transfer	All bank charges will be deducted from the fund withdrawal amount
Deposit	If the fund deposit is made by Hong Kong FPS channel (i.e., eDDA) and the amount is less than HKD or CNY10,000, HKD or CNY0.42 will be charged per transaction (subject to the currency of fund deposit)
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.

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US Stock Services Fees and Charges

Securities Trading (US Stock Market)

Platform	Membership Level	Commission	Platform Fee
E- Channel (QQT)	Non member	USD 0.0039 per share Minimum USD 0.99 per order	USD 0.0039 per share Minimum USD 0.99 per order
	V1 member	USD 0.0039 per share Minimum USD 0.99 per order	USD 0.0039 per share Minimum USD 0.99 per order
	V2 member	Waived	Waived
	V3 member	Waived	Waived
	M1 member	USD 0.0039 per share Minimum USD 0.99 per order	Waived
	M2 member	USD 0.0039 per share Minimum USD 0.99 per order	Waived
Non E- Channel (Non QQT)	Non member	USD 0.01 per share Minimum USD 5 per order	USD 0.0039 per share Minimum USD 0.99 per order
	V1 member	USD 0.01 per share Minimum USD 5 per order	USD 0.0039 per share Minimum USD 0.99 per order
	V2 member	USD 0.01 per share Minimum USD 5 per order	Waived
	V3 member	USD 0.01 per share Minimum USD 5 per order	Waived
	M1 member	USD 0.01 per share Minimum USD 5 per order	Waived
	M2 member	USD 0.01 per share Minimum USD 5 per order	Waived

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Order by Phone Dealing line	Non member	USD 0.01 per share Minimum USD 5 per order	USD 0.0039 per share Minimum USD 0.99 per order
	V1 member	USD 0.01 per share Minimum USD 5 per order	USD 0.0039 per share Minimum USD 0.99 per order
	V2 member	USD 0.01 per share Minimum USD 5 per order	Waived
	V3 member	USD 0.01 per share Minimum USD 5 per order	Waived
	M1 member	USD 0.01 per share Minimum USD 5 per order	Waived
	M2 member	USD 0.01 per share Minimum USD 5 per order	Waived

Remark:

- On the same day, the same US stock was traded multiple times in the same direction. Such transactions cannot be combined and it counted as multiple platform fee.
- E- Channel Trade include QQT, Non QQT Trade include Qianlong, Huatai Hong Kong Qianlong Stock Connect ,Huatai website login
- The standard of charging fee for forced liquidation is the same as the E-Channel(Non QQT).

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US Stock Transactions Levy

Item	Fees and Charges
SEC fee	0.0008%, sell order only
TAF fee	0.000145 USD / share, Max. 7.27 USD, sell order only
Clearing fee	0.003 US/share, Buy and sell orders
Financial Transaction Tax for French ADRs with market cap exceeding 1 billion Euros (buy trades only)	0.3%, Buy order only
Financial Transaction Tax for Italian ADRs with market cap exceeding 500 million Euros (buy trades only)	0.1%, Buy order only
ADR fee	Varies with each counter
Additional Charges for dual listed US OTC and DTC non-eligible counters	Max:USD75 per transaction
Exchange Fee (Charged by Exchange)*	Fees vary by exchanges and types of transaction. For details, refer to the following table

Exchange	US Stock	Fees and Charges
AMEX	All Other \geq \$1.00	USD 0.0030
	All Other \geq \$1.00, sets new Amex BBO	USD 0.0030
	All Other \geq \$1.00, non-displayed	USD 0.0030
	On Open or On Close	USD 0.0005
	On Open or On Close $<$ \$1.00	USD 0.0005
	Cross Orders	USD 0.0000
	All Other $<$ \$1.00	Trade Value * 0.0025
ARCA	NASDAQ \geq \$1.00 per share	USD 0.0030
	NASDAQ $<$ \$1.00 per share	Trade Value * 0.003
	NYSE \geq \$1.00 per share	USD 0.0030
	NYSE $<$ \$1.00 per share	Trade Value * 0.003
	AMEX \geq \$1.00 per share	USD 0.0030
	AMEX $<$ \$1.00 per share	Trade Value * 0.003
	Cross Orders	USD 0.0000

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	At the Close \geq \$1	USD 0.0012
	At the Close $<$ \$1	Trade Value * 0.001
	At the Open \geq \$1	USD 0.0015
	At the Open $<$ \$1	Trade Value * 0.001
	Non-Displayed Order \geq \$1	USD 0.003
	Non-Displayed Order $<$ \$1	Trade Value * 0.003
	MPL Order \geq \$1	USD 0.003
	MPL Order $<$ \$1	Trade Value * 0.003
	Opening Auction Limit Orders	USD 0.0006
	Closing Auction Limit Orders	USD 0.0006
	Routed orders	USD 0.0035
	Routed orders, Primary Only to NASDAQ	USD 0.0030
	Routed orders, Primary Only to BATZ	USD 0.0030
ARCAEDGE	Price $<$ \$1.00	USD 0.000030
	Price \geq \$1.00	USD 0.0030
	Price $<$ \$0.01	Trade Value *0.0030
B-Trade	NASDAQ \geq \$1.00	USD 0.0030
	NASDAQ $<$ \$1.00	USD 0.0010
	AMEX \geq \$1.00	USD 0.0030
	AMEX $<$ \$1.00	USD 0.0010
	NYSE \geq \$1.00	USD 0.0030
	NYSE $<$ \$1.00	USD 0.0010
BATS	NASDAQ \geq \$1.00 per share	USD 0.0030
	NASDAQ \geq \$1.00 per share, Hidden Liquidity	USD 0.0030
	NASDAQ \geq \$1.00 per share, Hidden Liquidity , Price Improvement	USD 0.0000
	NASDAQ $<$ \$1.00 per share	Trade Value *0.0030
	NYSE \geq \$1.00 per share	USD 0.0030
	NYSE \geq \$1.00 per share, Hidden Liquidity	USD 0.0030
	NYSE \geq \$1.00 per share, Hidden Liquidity, Price Improvement	USD 0.0000
	NYSE $<$ \$1.00 per share	Trade Value *0.0030
	AMEX \geq \$1.00 per share	USD 0.0030
	AMEX \geq \$1.00 per share, Hidden Liquidity	USD 0.0030

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	AMEX \geq \$1.00 per share, Hidden Liquidity, Price Improvement	USD 0.0000
	AMEX $<$ \$1.00 per share	Trade Value *0.0030
	Opening Auction, IPO Auction, or Halt Auction	USD 0.00075
	Closing Auction	USD 0.0010
	Routed \geq \$1.00 per share	USD 0.0030
	Routed $<$ \$1.00 per share	Trade Value *0.0030
BLUEOCEAN	Trades \geq \$1.00	USD 0.002
	Trades $<$ \$1.00	Trade Value *0.003
BYX	NASDAQ \geq \$1.00 per share	USD 0.0020
	NASDAQ \geq \$1.00 per share, Hidden Liquidity	USD 0.0024
	NASDAQ $<$ \$1.00 per share	Trade Value *0.0010
	NYSE \geq \$1.00 per share	USD 0.0020
	NYSE \geq \$1.00 per share, Hidden Liquidity	USD 0.0024
	NYSE $<$ \$1.00 per share	Trade Value *0.0010
	AMEX \geq \$1.00 per share	USD 0.0020
	AMEX \geq \$1.00 per share, Hidden Liquidity	USD 0.0024
	AMEX $<$ \$1.00 per share	Trade Value *0.0010
	Routed \geq \$1.00 per share	USD 0.0030
	Routed $<$ \$1.00 per share	Trade Value *0.0029
	CBOE	Equity
All - Penny Pilot		USD 0.00
All - Non-Penny Pilot		USD 0.00
ETF/HOLDRs		
Penny Pilot \geq 100 contracts		USD 0.18
Penny Pilot $<$ 100 contract		USD 0.00
Non Penny Pilot \geq 100 contracts		USD 0.18
Non Penny Pilot $<$ 100 contract		USD 0.00
Index		
SPX, SPESG Premium \geq \$1.00		USD 0.45
SPX, SPESG Premium $<$ \$1.00		USD 0.36
SPXW, Premium \geq \$1.00		USD 0.45
SPXW, Premium $<$ \$1.00		USD 0.36
OEX		USD 0.35
OEX - Weekly	USD 0.35	

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RUT	USD 0.18
XEO	USD 0.35
XEO - Weekly	USD 0.35
VIX, Premium > 0.00	USD 0.10
VIX, Premium > \$0.10	USD 0.25
VIX, Premium > \$1.00	USD 0.40
VIX, Premium >= \$2.00	USD 0.45
Complex VIX, Premium > 0.00	USD 0.05
Complex VIX, Premium > \$0.10	USD 0.17
Complex VIX, Premium > \$1.00	USD 0.30
Complex VIX, Premium > \$2.00	USD 0.45
XSP	USD 0.07
XSP, < 10 contracts	USD 0.00
RUI, RLV and RLG	USD 0.00
UKXM and FXTM	USD 0.00
All Other - Penny Pilot	USD 0.18
All Other - Non- Penny Pilot	USD 0.18
MXEA, MXEF	USD 0.25
NANOS	USD 0.00
Index/ETF Surcharge	
Surcharge - VIX, OEX, XEO	USD 0.00
Surcharge - MXEA, MXEF	USD 0.00
Surcharge - DJX	USD 0.00
Surcharge - SPX, SPXW	USD 0.00
Surcharge - RUT	USD 0.00
Surcharge - VXST (maker non-turner)	USD 0.05
Customer Priority Surcharge	
Surcharge - VIX (maker non-turner), premium > 0.105	USD 0.20
Execution Surcharge	
Surcharge - SPX6 and SPESG	USD 0.21
Surcharge - SPXW6	USD 0.14
AIM Hybrid Surcharge	
SPX and SPXW	USD 0.00
AIM Hybrid Originator Surcharge	
SPX and SPXW7	USD 0.10

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CHX	All Securities \geq \$1.00	USD 0.0010
	All Securities $<$ \$1.00	Trade Value * 0.001
	Cross - two sided (all securities)	USD 0.0000
	Stocks Priced \geq \$1.00, Routed	USD 0.0030
	Stocks Priced $<$ \$1.00, Routed	USD 0.0030
Direct Edge	NASDAQ \geq \$1.00 per share	USD 0.0030
	NASDAQ $<$ \$1.00 per share	Trade value * 0.003
	AMEX \geq \$1.00 per share	USD 0.0030
	AMEX $<$ \$1.00 per share	Trade value * 0.003
	NYSE \geq \$1.00 per share	USD 0.0030
	NYSE $<$ \$1.00 per share	Trade value * 0.003
	Non-Displayed Orders \geq \$1.00 per share	USD 0.0000
	Midpoint Match Cross	USD 0.0000
	Midpoint Match, Add Liquidity \geq \$1.00 per share	USD 0.0000
	Midpoint Match, Add Liquidity $<$ \$1.00 per share	USD 0.0000
	At-the-Open \geq \$1.00 per share	USD 0.0010
	At-the-Open $<$ \$1.00 per share	USD 0.0000
	Retail Order, Pre and Post Market $<$ \$1.00 per share	USD 0.0000
	Retail Order, Pre and Post Market \geq \$1.00 per share	USD 0.0000
	Retail Order, Remove Liquidity $<$ \$1.00 per share	USD 0.0030
	Retail Order, Remove Liquidity \geq \$1.00 per share	USD 0.0030
	Retail Order, Add Liquidity $<$ \$1.00 per share	USD 0.0000
	Retail Order, Add Liquidity \geq \$1.00 per share	USD 0.0000
	Retail Order, Day RHO or GTX, remove liquidity on arrival $<$ \$1.00 per share	USD 0.0000
	Retail Order, Day RHO or GTX, remove liquidity on arrival \geq \$1.00 per share	USD 0.0000
	Routed \geq \$1.00 per share	USD 0.0030
Routed $<$ \$1.00 per share	Trade Value * 0.003	
DARK	All	USD 0.0000

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EDGEA	All Securities \geq \$1.00	USD 0.0030
	All Securities \geq \$1.00, Non-Display	USD 0.0030
	Mid-Point Peg orders \geq \$1.00	USD 0.0000
	All Securities $<$ \$1.00	USD 0.0000
	All Securities $<$ \$1.00, Non-Display	USD 0.0000
	Mid-Point Peg orders $<$ \$1.00	USD 0.0000
	At-the-Open	USD 0.0000
	Routed \geq \$1.00 per share	USD 0.0030
	Routed $<$ \$1.00 per share	Trade Value * 0.003
EDGX	Penny Pilot	USD 0.00
	Non-Penny Pilot	USD 0.00
	Complex Penny - Contra Customer	USD 0.00
	Complex Penny - Contra Non-Customer	USD 0.00
	Complex Non-Penny - Contra Customer	USD 0.00
	Complex Non-Penny - Contra Non-Customer	USD 0.00
	All-On Open	USD 0.00
	Price Improvement Auction Agency Order	USD 0.00
	Contra Order	USD 0.05
FOXRIVER ALGO	All	USD 0.0030
IBEO	All	USD 0.0010
IBKRATS	All	USD 0.00
IEX	Trades \geq \$1.00 (displayed)	USD 0.0009
	Trades \geq \$1.00 (non-displayed)	USD 0.0010
	Trades \geq \$1.00, Auction	USD 0.0003
	Trades \geq \$1.00 (retail orders)	USD 0.0000
	Trades $<$ \$1.00 (displayed)	Trade Value * 0.0009
	Trades $<$ \$1.00 (non-displayed)	Trade Value * 0.0010
	Trades $<$ \$1.00, Auction	Trade Value * 0.0030
	Trades $<$ \$1.00 (retail orders)	USD 0.0000
	All Routed Out	Fee is the applicable fee on the execution exchange + 0.0001 per share
ISE	All	
	NDX	USD 0.00
	SPY	USD 0.37
	IWM, QQQ and VXX	USD 0.37

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	NQX	USD 0.00
	Penny Pilot	USD 0.37
	Crossing Orders	USD 0.00
	All other	USD 0.00
	Complex - Penny Pilot	USD 0.00
	Complex vs Regular Penny Pilot	USD 0.00
	Complex - Non Penny Pilot	USD 0.00
	Index/ETF Surcharge	
	Surcharge - BKX	USD 0.00
	Surcharge - NDX, NQX	USD 0.00
JEFFALGO	All	USD 0.0030
LTSE	All	USD 0.0000
MEMX	Trades \geq \$1.00	USD 0.0030
	Trades \geq \$1.00 Hidden Volume	USD 0.0030
	Trades \geq \$1.00 Midpoint Peg	USD 0.0030
	Trades \geq \$1.00, Routed	USD 0.0030
	Trades \geq \$1.00 Displayed Price Improvement	USD 0.0000
	Trades $<$ \$1.00	Trade Value * 0.0028
	Trades $<$ \$1.00 Hidden Volume	Trade Value * 0.0028
	Trades $<$ \$1.00 Midpoint Peg	Trade Value * 0.0028
	Trades $<$ \$1.00, Routed	Trade Value * 0.003
	Trades $<$ \$1.00 Displayed Price Improvement	USD 0.0000
MIAX - PEARL	All Stocks \geq \$1.00, Displayed	USD 0.00295
	All Stocks \geq \$1.00, Non-Displayed	USD 0.00295
	Stocks $<$ \$1.00, Displayed, Non-Displayed	Trade Value * 0.0025
	All Stocks \geq \$1.00, Displayed, Retail Order	USD 0.00295
	All Stocks \geq \$1.00, Non-Displayed, Retail Order	USD 0.00295
	All Stocks \geq \$1.00, Non-Displayed, Mid-Point Peg	USD 0.00265
	All Stocks $<$ \$1.00, Non-Displayed, Mid-Point Peg	Trade Value * 0.0025
	Routed Orders $>$ \$1.00	USD 0.0030 * Quantity
	Routed Orders $<$ \$1.00	Trade Value * 0.0030
MM	All	USD 0.0000

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NASDAQ/Island	ETF \geq \$1.00 per share	USD 0.0030
	ETF \geq \$1.00 per share, Non-Displayed	USD 0.0030
	ETF $<$ \$1.00 per share	Trade Value * 0.0030
	NASDAQ \geq \$1.00 per share	USD 0.0030
	NASDAQ \geq \$1.00 per share, Non-Displayed	USD 0.0030
	NASDAQ $<$ \$1.00 per share	Trade Value * 0.0030
	AMEX \geq \$1.00 per share	USD 0.0030
	AMEX \geq \$1.00 per share, Non-Displayed	USD 0.0030
	AMEX $<$ \$1.00 per share	Trade Value * 0.0030
	NYSE \geq \$1.00 per share	USD 0.0030
	NYSE \geq \$1.00 per share, Non-Displayed	USD 0.0030
	NYSE $<$ \$1.00 per share	Trade Value * 0.0030
	Market-on-open	USD 0.0015
	Market-on-open $<$ \$1.00	Trade Value * 0.0030
	Market-on-close	USD 0.0016
	Market-on-close $<$ \$1.00	Trade Value * 0.0030
	Limit-on-open	USD 0.0015
	Limit-on-open $<$ \$1.00	Trade Value * 0.0030
	Limit-on-close	USD 0.0016
	Limit-on-close $<$ \$1.00	Trade Value * 0.0030
Opening and Closing - Other than those listed above	USD 0.00085	
Cross (IPO/Halt)	USD 0.0010	
Cross $<$ \$1.00	Trade Value * 0.0030	
NASDAQ BX	ETF \geq \$1.00	USD 0.0030
	ETF $<$ \$1.00	Trade Value * 0.0010
	NASDAQ \geq \$1.00	USD 0.0030
	NASDAQ $<$ \$1.00	Trade Value * 0.0010
	AMEX \geq \$1.00	USD 0.0030
	AMEX $<$ \$1.00	Trade Value * 0.0010
	NYSE \geq \$1.00	USD 0.0030
	NYSE $<$ \$1.00	Trade Value * 0.0010
	Retail Order / RPI liquidity Accepted Price $<$ 10,000	USD 0.0000
	Retail Order / RPI liquidity Accepted Price $>$ 10,000	USD 0.0003

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	Retail Order / removes liquidity on NASDAQ BX book	USD 0.0000
	RPI Order	USD 0.0025
NASDAQ PSX	NYSE \geq \$1.00 per share	USD 0.0030
	NYSE $<$ \$1.00 per share	Trade Value * 0.0030
	AMEX \geq \$1.00 per share	USD 0.0030
	AMEX $<$ \$1.00 per share	Trade Value * 0.0030
	NASDAQ \geq \$1.00 per share	USD 0.0030
	NASDAQ $<$ \$1.00 per share	Trade Value * 0.0030
NYSE	Hidden \geq \$1.00 per share	USD 0.0030
	Tape A All Other \geq \$1.00 per share	USD 0.0030
	Tape B All Other \geq \$1.00 per share	USD 0.0030
	Tape C All Other \geq \$1.00 per share	USD 0.0030
	All \geq \$1.00 per share MPL	USD 0.0030
	Cross Orders	USD 0.0000
	All $<$ \$1.00	Trade Value * 0.003
	All \geq \$1.00 Market-on-open OR Limit-on-open	USD 0.0010
	All $<$ \$1.00 Market-on-open OR Limit-on-open	Trade Value * 0.003
	All \geq \$1.00 Limit-on-close	USD 0.0011
	All \geq \$1.00 Market-on-close	USD 0.0010
	Tape B & C - Retail Order / removes RPI liquidity	USD 0.003
	Tape A - Retail Order / removes RPI liquidity	USD 0.00
	Retail Order/Mid-Point Passive Liquidity	USD 0.0010
NYSENAT	Stocks Priced \geq \$1.00, NYSE Listed	USD 0.0029
	Stocks Priced \geq \$1.00, All Other	USD 0.0029
	Stocks Priced \geq \$1.00, sets a new Exchange BBO NYSE Listed	USD 0.0029
	Stocks Priced \geq \$1.00, sets a new Exchange BBO All Other	USD 0.0029
	Stocks Priced $<$ \$1.00	USD 0.0000
	Stocks Priced \geq \$1.00, Routed	USD 0.0030
VWAP	All	USD 0.017
OTC LINK ECN	All \geq \$1.00 per share	USD 0.0029
	All $<$ \$1.00 per share	USD 0.00003

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	All < \$0.01 per share	Trade Value * 0.003
	Routed to OTC link ATS All > = \$1.00 per share	USD 0.0038
	Routed to OTC link ATS All < \$1.00 per share	USD 0.00008
	Routed to OTC link ATS All < \$0.01 per share	Trade Value * 0.008
	Routed to External ECN All > = \$1.00 per share	USD 0.0040
	Routed to External ECN All < \$1.00 per share	USD 0.00008
	Routed to External ECN All < \$0.01 per share	Trade Value * 0.008

Remark:

*Exchange fees may include the liquidity costs of exchange and the administrative fees of the clearing company/Huatai. For the liquidity costs, the exchange may charge different fees based on the impact of order liquidity and it is subject to the exchange. Exchange may also refund all or part of the fees due to order liquidity, and the refund will be regarded as administrative fee of Huatai. Huatai reserves the right to adjust the fee standard based on business consideration, and any third-party charges may be modified without prior notice.

Physical Scrip Handling & Settlement Services

Item	Fees and Charges
Settlement Instruction (SI) (Apply for share transfer in)	Free
Settlement Instruction (SI) (Apply for share transfer out)	USD 150 per each stock withdrawal

Account Services

Item	Fees and Charges
Shareholders' Meeting	Attend or authorize a third party to attend the Shareholders' Meeting (maximum 1 person); or Entrust Huatai to vote, the administrative fee is 10 USD/application

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US Stock Options

U.S. Stock Options Service

Platform	Trading	Commission	Platform Fee
E- Channel (QQT)	Buy	\$0.5 per order, Min \$1.49 per order	\$0.3 per order
E- Channel (QQT)	Sell	\$0.5 per order, Min \$1.49 per order	\$0.3 per order

U.S. Stock Options Transactions Levy

Item	Fees and Charges
SEC fee (sell order only) (charged by SEC)	0.000008 x transaction amount, Min \$0.01 per order
TAF fee (sell order only) (charged by FINRA)	\$0.00244 per order, Min \$0.01 per order
Option Supervision fee (charged by Exchange)	\$0.02915 per order, Buy and sell orders
Option Clearing Fee (charged by Option Clearing Corporation)	\$0.02 per order, Max \$55 per order, Buy and sell orders
Exchange Fee (Charged by Exchange)*	Fees vary by exchanges and types of transaction. For details, refer to the following table

Exchange	Options	Fees and Charges
BATS	Penny Pilot	USD 0.48
	Non-Penny Pilot	USD 0.85
	RUT	USD 0.15
	SPY	USD 0.45
	XSP	USD 0.50
C2	Index and ETF Options((excluding RUT, DJX))	USD 0.43
	RUT, DJX	USD 0.15
	SPY, IWM, QQQ, SLV, AAPL	USD 0.37
	All Equity - Penny Symbols	USD 0.43
	All Equity - Non-Penny Symbols	USD 0.85

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Cboe	ETF/HOLDERS	
	Penny Pilot >= 100 contracts	USD 0.18
	Penny Pilot < 100 contract	USD 0.00
	Non Penny Pilot >= 100 contracts	USD 0.18
	Non Penny Pilot < 100 contract	USD 0.00
	Index	
	SPX, SPESG Premium >=\$1.00	USD 0.45
	SPX, SPESG Premium < \$1.00	USD 0.36
	SPXW, Premium >=\$1.00	USD 0.45
	SPXW, Premium < \$1.00	USD 0.36
	OEX	USD 0.35
	OEX - Weekly	USD 0.35
	RUT	USD 0.18
	XEO	USD 0.35
	XEO - Weekly	USD 0.35
	VIX, Premium > 0.00	USD 0.10
	VIX, Premium > \$0.10	USD 0.25
	VIX, Premium > \$1.00	USD 0.40
	VIX, Premium >= \$2.00	USD 0.45
	Complex VIX, Premium > 0.00	USD 0.05
	Complex VIX, Premium > \$0.10	USD 0.17
	Complex VIX, Premium > \$1.00	USD 0.30
	Complex VIX, Premium > \$2.00	USD 0.45
	XSP	USD 0.07
	XSP, < 10 contracts	USD 0.00
	RUI,RLV and RLG	USD 0.00
	UKXM and FXTM	USD 0.00
	All Other - Penny Pilot	USD 0.18
	All Other - Non- Penny Pilot	USD 0.18
	MXEA, MXEF	USD 0.25
	NANOS	USD 0.00
	Customer Priority Surcharge	
	Surcharge - VIX (maker non-turner), premium > 0.10	USD 0.20
Execution Surcharge		
Surcharge - SPX and SPESG	USD 0.21	
Surcharge - SPXW	USD 0.14	
AIM Hybrid Originator Surcharge		

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	SPX and SPXW	USD 0.10
GEMINI	Penny Pilot Options (including SPY)	USD 0.41
	Non-Penny Contra Public Customer	USD 0.85
	Non-Penny	USD 0.85
ISE	SPY	USD 0.37
	IWM, QQQ and VXX	USD 0.37
	Penny Pilot	USD 0.37
Mercury	Penny Pilot Options	USD 0.15
	All Other	USD 0.35
	Response to PIM Penny Pilot Options	USD 0.50
	Response to PIM All Other	USD 1.10
Pearl	Penny Pilot Options	USD 0.48
	Penny Pilot Options - Contra Priority Customer	USD 0.50
	SPY Only	USD 0.46
	IWM, QQQ - Contra Priority Customer	USD 0.50
	All Other	USD 0.85
Emerald	Penny Pilot Simple Orders	USD 0.50
	Non-Penny Pilot Simple Orders	USD 0.85
	IWM, QQQ and SPY Only	USD 0.50
	All Other - Contra Priority Customer	USD 0.85
NASDAQOM	Penny Pilot Issues	USD 0.49
	ETF Penny Pilot Issues	USD 0.48
	Non-Penny Pilot	USD 0.85
	Mini-Options	USD 0.049
Nasdaq OMX	Penny Pilot	USD 0.46
	SPY Only	USD 0.33
	Non-Penny Pilot	USD 0.79
	At the Opening	
	Penny Pilot Fee for responding to order exposure alert	USD 0.39
	Non-Penny Pilot Fee for responding to order exposure alert	USD 0.85
NYSE Arca	Penny Pilot Issues	
	ETFs	USD 0.49
	All Other	USD 0.49
	Non-Penny Pilot Issues	
	All Other	USD 0.85
PHLX	SPY	USD 0.41
	PHLX Singly Listed Equity, ETF and Index Options	USD 0.40

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Remark:

***Exchange fees may include the liquidity costs of exchange and the administrative fees of Options Clearing Corporation/Huatai. Regarding the liquidity cost of the exchange, exchange may have different charges according to the impact of the order on the option liquidity. The specific charges are subject to the exchange. Exchange may also refund all or part of the fee due to the liquidity of the option, and the refund will be regarded as administrative fee of Huatai. Huatai reserves the right to adjust the service fee according to business consideration. Any modification of third-party charges will be made without prior notice.**

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China Connect – Shenzhen/Shanghai A Shares Fees and Charges

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

Platform	Membership Level	Commission	Platform Fee
E- Channel (QQT)	Non member	0.029% of the transaction amount, Min. 2.9 CNY	CNY 15 per order
	V1 member	0.029% of the transaction amount, Min. 2.9 CNY	CNY 15 per order
	V2 member	0.029% of the transaction amount, Min. 2.9 CNY	CNY 15 per order
	V3 member	Waived	Waived
	M1 member	0.029% of the transaction amount, Min. 2.9 CNY	CNY 15 per order
	M2 member	0.029% of the transaction amount, Min. 2.9 CNY	CNY 15 per order
Non E- Channel (Non QQT)	Non member	0.25% of the transaction amount, Min. 100 CNY	CNY 15 per order
	V1 member	0.25% of the transaction amount, Min. 100 CNY	CNY 15 per order
	V2 member	0.25% of the transaction amount, Min. 100 CNY	CNY 15 per order
	V3 member	0.25% of the transaction amount, Min. 100 CNY	Waived
	M1 member	0.25% of the transaction amount, Min. 100 CNY	CNY 15 per order
	M2 member	0.25% of the transaction amount, Min. 100 CNY	CNY 15 per order
	Non member	0.25% of the transaction amount, Min. 100 CNY	CNY 15 per order

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Order by Phone Dealing line	V1 member	0.25% of the transaction amount, Min. 100 CNY	CNY 15 per order
	V2 member	0.25% of the transaction amount, Min. 100 CNY	CNY 15 per order
	V3 member	0.25% of the transaction amount, Min. 100 CNY	Waived
	M1 member	0.25% of the transaction amount, Min. 100 CNY	CNY 15 per order
	M2 member	0.25% of the transaction amount, Min. 100 CNY	CNY 15 per order

Remark:

- On the same day, the same SHA/SZA stock was traded multiple times in the same direction. Such transactions can be combined and it counted as one order
- E- Channel Trade include QQT, Non QQT Trade include Qianlong, Huatai Hong Kong Qianlong Stock Connect ,Huatai website login
- The standard of charging fee for forced liquidation is the same as the E-Channel(Non QQT).

SHA/SZA Derivatives Trading

Platform	Trading Direction	Commission	Platform Fee
E- Channel (QQT)	Buy	Waived	CNY 3 per order
E- Channel (QQT)	Sell	Waived	CNY 3 per order
E- Channel (QQT)	Exercise	Waived	CNY 3 per order

* SHA/SZA ETF trading is exempt from Securities Management Fee, Transfer Fee (charged by China Clear), and Stamp Duty, and the Handling Fee is 0.004% of the transaction amount. Other charges are the same as the securities trading.

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SHA/SZA stock transactions Levy

Item	Fees and Charges
Stamp Duty (collected for SAT)	0.05% of the consideration of each selling transaction
Handling Fee (collected for SSE/SZSE)	0.00341% of the consideration of each transaction
Securities Management Fee (collected for CSRC)	0.002% of the consideration of each transaction
Transfer Fee	0.001% 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: RMB500 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
Shareholders' Meeting	Attend or authorize a third party to attend the Shareholders' Meeting (maximum 1 person); or Entrust Huatai to vote, the administrative fee is 50 RMB/application

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Nominee Services & Corporate Actions

Item	Fees and Charges
Scrip Fee	RMB2 per board lot (odd lot treated as one board lot)
Collection of Cash/Scrip 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 CHATS or Telegraphic Transfer/Local Transfer	All bank charges will be deducted from withdrawal amount
Fund Deposit	If the fund deposit is made by Hong Kong FPS channel (i.e., eDDA) and the amount is less than HKD or CNY10,000, HKD or CNY0.42 will be charged per transaction (subject to the currency of fund deposit)
Cheque Stop Payment Instruction	HKD200 per cheque
Returned Cheque Handling	HKD200 per cheque

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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	0.05%
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	0.05%
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.

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Singapore Stock Services Fees and Charges

Securities Trading (Singapore Stock Market)

Platform	Membership Level	Commission		Platform Fee	Other fees
		Rate	Min Fee		
E- Channel (QQT)	Non member	0.16%	SGD20 or USD15 (whichever is higher)	Waived	SGX Transaction Fee: 0.034775% SGX Access Fee: 0.008025%
	V1 member	0.16%	SGD20 or USD15 (whichever is higher)	Waived	SGX Transaction Fee: 0.034775% SGX Access Fee: 0.008025%
	V2 member	0.16%	SGD20 or USD15 (whichever is higher)	Waived	SGX Transaction Fee: 0.034775% SGX Access Fee: 0.008025%
	V3 member	0.16%	SGD20 or USD15 (whichever is higher)	Waived	SGX Transaction Fee: 0.034775% SGX Access Fee: 0.008025%

Physical Scrip Handling & Settlement Services

Item	Fees and Charges		
Settlement Instruction (SI) (Apply for share transfer in)	Free		
Settlement Instruction (SI) (Apply for share transfer out)	Transfer out to CDP	Charge	SGD 100 per each stock withdrawal
		CDP Fee	SGD 10 per each stock withdrawal
	Transfer out to others	Charge	SGD 100 per each stock withdrawal
		CDP Fee	SGD 5 per each stock withdrawal

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Overseas Securities Fees and Charges

Market	1. Commission		2. Other fees	
	Rate	Min Fee		
Canada	0.5%	CAD80	N/A	
UK	0.3%	GBP20 or USD25	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	
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)
			c) Sales and Service Tax	6.0% of Brokerage amount as above (Effective from 1st MARCH 2019)

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

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Bonds Fees and Charges (OTC Market)

Items	Fees and Charges
Commission	Up to 1% of the Bond's face value
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).*

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Mutual Fund Fees and Charges

Fund Type	Subscription Fee*	Redemption Fee* (Holding period for less than 6 months)	Redemption Fee* (Holding period between 6 months to one year)	Redemption Fee* (Holding period for one year or above)
Stock Fund	0%	2.5%	1.25%	0%
Fixed Income Fund	0%	1.5%	0.75%	0%
Multi-Asset Fund	0%	2.5%	1.25%	0%
Money Market Fund	0%	0%	0%	0%
Others	0%	2.5%	1.25%	0%

Remark:

**Free of charge during the promotion period (From 1 Jan 2021 to 31 Dec 2023, both dates inclusive).*

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