

# 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
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
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

(Effective Date: 14 November 2022)

				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

**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).

(Effective Date: 14 November 2022)

**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
E- Channel (Non QQT)	Non member	0.15% of the transaction amount, Min. 100 HKD	HKD 15 per order
	V1 member	0.15% of the transaction amount, Min. 100 HKD	Waived
	V2 member	0.15% of the transaction amount, Min. 100 HKD	Waived
	V3 member	0.15% of the transaction amount, Min. 100 HKD	Waived
Manned Phone Service	Non member	0.15% of the transaction amount, Min. 10 HKD	HKD 15 per order
	V1 member	0.15% of the transaction amount, Min. 10 HKD	Waived
	V2 member	0.15% of the transaction amount, Min. 10 HKD	Waived
	V3 member	0.15% of the transaction amount, Min. 10 HKD	Waived

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

(Effective Date: 14 November 2022)

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

### 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

#### Remarks:

\*Service fee is waived during the promotion period (From 1 Jan 2021 to 31 Dec 2022, both dates inclusive).

### Warrants and CBBCs

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

(Effective Date: 14 November 2022)

	V3 member	HKD 0.01 per order	Waived
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**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)	0.13% 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)	0.005% on gross amount
CCASS Settlement Fee (collected for HKSCC)	0.002% on gross amount (Min: HKD2 / Max: HKD100)
FRC Transaction Levy (Commence on 2022.1.1)	0.00015% on gross amount (rounded to the nearest cent)

### 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,	HK\$100 / per statement

(Effective Date: 14 November 2022)

monthly 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

### 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,

(Effective Date: 14 November 2022)

less than 1 lot will be rounded to 1 lot)

### 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 USD: 6.8% of financing amount 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	HKD300 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.

### 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

(Effective Date: 14 November 2022)

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

## 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
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	USD 0.0039 per share

(Effective Date: 14 November 2022)



		Minimum USD 5 per order	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
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

**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).

**US Stock Transactions Levy**

(Effective Date: 14 November 2022)

Item	Fees and Charges
SEC fee	0.00229%, sell order only
TAF fee	0.000119 USD / share, Max. 5.95 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

### 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

## US Stock Options

### U.S. Stock Options Service (Long Option)

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

(Effective Date: 14 November 2022)

### U.S. Stock Options Transactions Levy

Item	Fees and Charges
SEC fee (sell order only) (charged by SEC)	0.0000229 x transaction amount, Min \$0.01 per order
TAF fee (sell order only) (charged by FINRA)	\$0.00218 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)*	Different fee for different exchanges and transaction types

Remark:

\*Exchange fee is not charged for the time being. Huatai reserves the right to charge relevant service fees, and has the right to adjust the service fee according to business consideration. Any modification of third-party charges will be made without prior notice.

## 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
	Non member	0.25% of the transaction amount, Min. 100 CNY	CNY 15 per order

(Effective Date: 14 November 2022)

<b>Non E- Channel (Non QQT)</b>	<b>V1 member</b>	<b>0.25% of the transaction amount, Min. 100 CNY</b>	<b>CNY 15 per order</b>
	<b>V2 member</b>	<b>0.25% of the transaction amount, Min. 100 CNY</b>	<b>CNY 15 per order</b>
	<b>V3 member</b>	<b>0.25% of the transaction amount, Min. 100 CNY</b>	<b>Waived</b>
<b>Order by Phone Dealing line</b>	<b>Non member</b>	<b>0.25% of the transaction amount, Min. 100 CNY</b>	<b>CNY 15 per order</b>
	<b>V1 member</b>	<b>0.25% of the transaction amount, Min. 100 CNY</b>	<b>CNY 15 per order</b>
	<b>V2 member</b>	<b>0.25% of the transaction amount, Min. 100 CNY</b>	<b>CNY 15 per order</b>
	<b>V3 member</b>	<b>0.25% of the transaction amount, Min. 100 CNY</b>	<b>Waived</b>

(Effective Date: 14 November 2022)

**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.

**SHA/SZA stock transactions Levy**

Item	Fees and Charges
Stamp Duty (collected for SAT)	0.1% of the consideration of each selling transaction
Handling Fee (collected for SSE/SZSE)	0.00487% 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	0.002% on gross amount (Min: RMB500 per each stock withdrawal)

(Effective Date: 14 November 2022)

share transfer out)	
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

### 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

(Effective Date: 14 November 2022)

## China B Shares Fees and Charges

### Securities Trading (China B Shares)

Item	Fees and Charges
<b>Shanghai B Shares(USD)</b>	
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%
<b>Shenzhen B Shares(HKD)</b>	
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: 14 November 2022)

# 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%

(Effective Date: 14 November 2022)



## 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.

(Effective Date: 14 November 2022)

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

## 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).

(Effective Date: 14 November 2022)

## 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 2022, both dates inclusive).*

(Effective Date: 14 November 2022)