



Hong Kong Securities Services Charges

Transaction Type		Charge	Min. & Max Charge	Settlement Date
General Charges				
Brokerage	Transactions by Phone	_____ % of consideration	Min. HK\$ _____	T+2
	Transactions via internet	_____ % of consideration	Min. HK\$ _____	
Stamp Duty		0.13% of consideration	Min. HK\$1 (Any fraction of \$1 in Stamp Duty payable shall be rounded up to the nearest \$1)	T+2
Transaction Levy (Securities and Bonds)		0.0027% of consideration	N/A	T+2
FRC Transaction Levy (including initial public offer share ("IPO Shares") and preferential offer for IPO Shares)		0.00015% per side of the consideration (rounded to the nearest cent).	N/A	T+2
Trading Fee (Securities and Bonds)		0.005% of consideration (rounded to the nearest cent)	N/A	T+2
CCASS Fee (Securities and Bonds)		0.002% of consideration	Min. HK\$2, Max. HK\$ 1,000	T+2
Financial Transactions Tax (Applies to Italian resident companies, e.g. #1913)		Net trade balance (positive) x Weighted Average Price of purchases x Tax Rate Tax Rate: 0.20% (The tax rate will subject to the announcement by the relevant parties)	N/A	T+2
Stocks Custodian Fee (For Margin Clients only)		HK\$0.015 per board / odd lot	N/A	Last working day of each month
Bonds Custodian Fee		Margin clients: HK\$0.015 per board (or odd) lot; Cash clients: Free; CIES clients: Free for HKEx listed bonds, HK\$50 per month and per account for non-HKEx listed bonds	N/A	Last working day of each month
Coupon Interest Collection Fee		HKEx listed bonds: Free Non-HKEx listed bonds: 0.5% of the interest amount (applicable to all types of account including Margin, Cash and CIES)	Min. HK\$50, Max. HK\$1,000	Date of Event
IPO / Placement Application		HK\$100 per transaction, HK\$100 per cancelation	N/A	Date of Event
Settlement Instruction (SI)				
Delivery		0.01% of gross value of last trading day's closing price plus handling fee HK\$300 (per stock)	N/A	Date of Event
Receive		Free	N/A	Date of Event
Interest (For Margin Account only)		Prime Rate + 3% per Annum (Except for special agreement)	N/A	Last day of each month



Stock Withdrawal	HK\$5 per board / odd lot	Min. HK\$50	Date of delivery
Stock Deposit	Free	N/A	Date of delivery
Transfer Deed Stamp Duty	HK\$5.00	N/A	Date of delivery
Dividend and Bonus			
Cash Dividend / Scrip Option	0.5% of cash dividend	Min. HK\$20, Max. HK\$15,000	Deduct from cash dividend
Bonus Shares / Bonus Warrants	HK\$2.0 per board / odd lot (based on no. of bonus shares / warrants)	Min. HK\$20, Max. HK\$500	Bonus allocation date
Corporate Actions			
Share Subdivision / Share Consolidation / Re-organisation	HK\$50 per transaction	N/A	Two working days after the Date of Event
Rights / Warrants Subscription	\$0.80 per board / odd lot plus \$100 handling charge (plus scrip fee, if any)	Max. HK\$10,000	Date of Event
Privitisation / Cash Offer	HK\$2 per board / odd lot HK\$1 for 500 lots thereafter (plus stamp duty & scrip fee)	Min. HK\$20 (Exclude stamp duty & scrip fee)	Deduct from cash consideration
Share Exchange	HK\$2 per lot/odd lot	Min. HK\$20, Max. HK\$20,000	Two working days after the Date of Event
Claim			
Dividend / Bonus Claim	HK\$400 per claim (charged whether the claim is succeed or not) plus Dividend / Bonus Collection Charge (plus any out-of-pocket expenses, if any)	N/A	Date of Dividend / Bonus Allocation
Registration, Transfer and Other Charges			
Share register on book-close date for entitlement collection	HK\$2 per board / odd lot	N/A	Date of entitlement allocation
Statement Re-print	HK\$80 per month	N/A	Date of Event
Dormant Account	HK\$100 per year	N/A	If an account is dormant in the past year, handling fee to be charged in January of the following year.
Bounced Cheque	HK\$200 per cheque per transaction	N/A	Date of Event
Mailing Statement	HK\$20 per month	N/A	Last working day of each month
Change of Account Nature	HK\$20 per account	N/A	N/A
Asset Proof Application / Audit Confirmation	HK\$300 per proof per application	N/A	Date of Event



US Securities Services Charges

Transaction Type		Charge	Min. & Max Charge	Settlement Date
General Charges *				
Brokerage	Transactions by Phone	_____ % of each consideration	Min. US\$ _____	T+2
	Transactions via internet	_____ % of each consideration	Min. US\$ _____	
SEC Fees		Applicable per SELL trade only*	Min. US\$0.01	T+2
ADRs Fee		US\$0.01 - 0.05 (Per share per book close collected by the ADR issuers)	N/A	T+2
Custody Fee		Free	N/A	T+2

* Changeable irregularly per calendar year based on US SEC policy.

Shanghai-HK Stock Connect/ Shenzhen-HK Stock Connect Services Charges

Transaction Type		Charge	Min. & Max Charge	Settlement Date
General Charges				
Brokerage	Transactions by Phone	_____ % of each consideration	Min. RMB _____	T+1
	Transactions via internet	_____ % of each consideration	Min. RMB _____	
Handling Fee		0.00487% of Consideration	N/A	T+1
Securities Management Fee		0.002% of Consideration	N/A	T+1
Transfer Fee		0.004% of Consideration (0.002% to be charged under ChinaClear's Shanghai & Shenzhen Stock Connect Rules; and 0.002% to be charged under the General Rules of CCASS.)	N/A	T+1
Stamp Duty		0.1% of consideration (for sell trade only)	N/A	T+1
Portfolio Fee		Daily stock portfolio value x 0.01% / 365 (Accrued daily and collected on a monthly basis)	Min. Monthly Fee RMB50	Last working day of each month
Dividend Tax (Applicable to cash dividend and bonus issue)		Subject to the latest announcement with State Administration of Taxation	N/A	Subject to clarification with State Administration of Taxation
Capital Gain Tax (Applicable to share disposal)		Subject to the latest announcement with State Administration of Taxation	N/A	Subject to clarification with State Administration of Taxation



Hong Kong Stock Options Services Charges

Transaction Type		Charge	Min. & Max Charge
General Charges			
Brokerage	Transactions by Phone	_____ % of each consideration	Min. HK\$ _____
	Transactions via internet	_____ % of each consideration	Min. HK\$ _____
Trading Fees		Tier 1 Stock Options: HK\$3.00 per contract per side Tier 2 Stock Options: HK\$1.00 per contract per side Tier 3 Stock Options: HK\$0.50 per contract per side	N/A

Other Market Services and Brokerage Fee

Transaction Type		Charge	Min. & Max Charge
General Charges			
Brokerage	Transactions by Phone	_____ % of each consideration	Min. ()\$ _____
	Transactions via internet	_____ % of each consideration	Min. ()\$ _____

- Changes or amendment of the information might be made at any time without prior notice by Emperor Securities Limited ("Our Company"). To protect the interest of clients, please refer to Our Company's website (<http://www.emperorcapi.com>) to ensure timely notice revision. If you have any enquiry, you are welcome to contact your account executive or customer service hotline on (852) 2919-2919.
- I/We acknowledge and fully understand the Schedule of the Fees & Charges, and have agreed, accepted and confirmed all parts in the schedule.

Client's Signature: _____

Name: _____

Date: _____