



LIST OF CHARGES (in HK\$)

TRADE-RELATED SERVICES

- Brokerage commission	0.25% of transaction amount, minimum charge \$100 per transaction but negotiable
- Transaction levy	0.003% of transaction amount
- Trading fee	0.005% of transaction amount
- Trading tariff	Waived
- Stamp duty	0.1% of transaction amount (round up to the nearest dollar)

SCRIP HANDLING AND SETTLEMENT-RELATED SERVICES

- CCASS stock settlement fee	0.002% of transaction amount (minimum \$2 and maximum \$100) per transaction
- Money settlement fee : Outward Payment by CHATS	\$150 charged by Bank
- Physical scrip deposit fee	Waived but \$5 stamp duty per transfer deed charged by Government
- Physical scrip withdrawal fee	\$5 per board lot (CCASS charges \$3.5 per board lot)
- Transfer deed stamp duty	\$5 per transfer deed (charged by Government)
- Deposit transaction charge	Waived
- Settlement instruction fee	Waived
- Investor settlement instruction fee	Waived
- Compulsory share buy-back fee	0.25% on consideration as the commission + all other trade-related services charge

INFORMATION SERVICES

N/A

ACCOUNT MAINTENANCE

- Custody fee	Waived
- Stock balance or account confirmation fee	Waived
- Dormant account fee	Waived
- Stock segregated account (with CCASS Statement) services fee	N/A

NOMINEE SERVICES AND CORPORATE ACTIONS

- Scrip Fee	
- At book-closed dates	\$2.5 per board lot on net increase in aggregate balance (CCASS charges \$1.5 per board lot)
- At deemed book-closed dates	\$1.75 per board lot on net increase in aggregate balance (CCASS charges \$0.75 per board lot)



- Collection of dividends	
- Cash dividend	0.24% of dividend collected (maximum \$12,500) (CCASS charges 0.12% of dividend collected)
- Scrip dividend	Waived
- Collection fee of bonus issue	\$50 per collection
- Rights issue entitlement charge	Waived
- Fee for rights exercise	\$150 per transaction and CCASS charges \$0.80 per board lot subject to a maximum of \$10,000 per instruction per account. Odd lot also charged at \$0.80 each
- Fee for excess rights application	Waived
- Fee for tendering shares under a takeover bid	\$150 per transaction and CCASS charges \$0.80 per board lot subject to a maximum of \$10,000 per instruction per account. Odd lot also charged at \$0.80 each
- Fee for change of registration at share registrar	\$5 per board lot, minimum charge \$100
- Fee for handling share consolidation/ split	Waived
- Exercise warrant fee	\$100 per transaction
- Exercise covered warrant fee	\$300 per transaction
- Fee for cancel certificate of covered warrant / warrant	\$1 per board lot
- Scrip fee for new certificate of covered warrant / warrant	\$2 per board lot

FINANCING AND OTHER SERVICES

- Margin account financing charge	Prime Rate plus 6% per annum
- Securities subscription handling charge	Waived
- Cash account overdue interest	Prime Rate plus 8% per annum
- Financing charge for subscription of securities	Prime Rate plus 6% per annum (for margin client) Prime Rate plus 8% per annum (for cash client)
- Banking service charges – CHATS	\$150.00 charged by Bank
- Fee for claiming unclaimed benefit entitlements	\$500 per claim or 2% of the dividend amount whichever is higher per transaction

Fortune (HK) Securities Ltd
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