

# AJ SECURITIES LIMITED 安捷證券有限公司

## GENERAL SERVICE FEES & TRANSACTION CHARGES 一般服務收費及交易費用

Relevant service fees & transaction charges will be withdrawn from your accounts on the receipt day of instruction  
有關服務收費及交易費用將於指令接收日從閣下賬戶中支取

Effective Date: 01 Mar 2018

生效日期: 2018 年 03 月 01 日

### Hong Kong Securities – Trade-Related Services

#### 香港證券 – 證券交易服務

#### Brokerage

#### 經紀佣金

##### Tele- transaction

電話交易

0.20% of transaction amount, min HK\$80

成交金額之 0.20%, 最低收費港幣 80 元

##### Internet and mobile app transaction

網上交易及手機應用程式

0.16% of transaction amount, min HK\$60

成交金額之 0.16%, 最低收費港幣 60 元

#### Stamp Duty

印花稅

0.1% of transaction amount (rounded up to the nearest dollar)

成交金額之 0.1% (不足 1 元亦作 1 元計)

#### Transaction Levy

交易徵費

0.0027% of transaction amount

成交金額之 0.0027%

#### Trading Fee

交易費

0.005% of transaction amount

成交金額之 0.005%

#### Clearing Fee

結算費

0.005% of transaction amount, min fee of HK\$5.00 (included CCASS charge)

成交金額之 0.005%, 最低收費港幣 5 元 (包括香港中央結算收費)

#### Trading Tariff

交易系統使用費

Waived

豁免

#### Italian Financial Transaction Tax (IFTT)

(Only applies to BUY transactions)

(Collected for Italian Government)

代收意大利金融交易稅 (只適用於買盤)

0.1% of the net purchase amount (Tax deduction from the intraday netting permitted

based on the weighted average purchase price and the net purchase share quantity

executed on the same day. For purchase of eligible Italian companies listed in HK.)

交易日淨買入股數 x 交易平均買入價 x 稅率(0.1%) (適用於香港上市的意大利公司, 代意

大利政府收取)

### Hong Kong Securities – Scrip Handling and Settlement-Related Services

#### 香港證券 – 處理實物股票及交收服務

#### CCASS Stock Settlement Fee

中央結算系統的股份交收費

Waived

豁免

#### Physical Scrip Deposit Fee

存入實物股票費

Waived

豁免

#### Physical Scrip Withdrawal Fee

提取實物股票費

HK\$5 per lot (min HK\$30), odd lot will be counted as one lot.

每手港幣 5 元 (最低收費港幣 30 元), 碎股視作一手計算

#### Transfer Deed Stamp Duty

轉手紙釐印費

HK\$5 per transfer deed

每張轉手紙港幣 5 元

#### Settlement Instruction Fee (stock deliver out)

交收指示費 (轉出股票)

0.005% of market value (based on previous closing price) [min HK\$10, max HK\$500]

貨值(以上日收市價計算)之 0.005% [最低收費港幣 10 元, 最高收費港幣 500 元]

#### Stock Transfer Between Accounts, Stock Receipt/Delivery (e.g. non-Exchange or OTC transactions) [Note 4]

股份轉賬, 股份收取/交付 (如非交易所或場外交易) [註 4]

Service fee\* at 0.20% of stock market value (based on receipt & delivery day's previous closing price), min HK\$80

服務費\* 按股份市值 (收取/交付之上日收市價) 之 0.20% 計算 [最低收費港幣 80 元]

\* charge on both receive and deliver sides (if both accounts are maintained with AJ Securities Limited)

\* 收取方及交付方分別收取 (如雙方戶口均開設於安捷證券有限公司)

\* PRIOR APPROVAL MUST BE OBTAINED 必須取得有效批准

#### Investor Settlement Instruction Fee

投資者交收指示費

HK\$5 per transaction

每項指示港幣 5 元

#### Money Settlement Fee: Outward Payments

款項交收費: 對外支帳

Local bank transfer & Overseas Telegraphic Transfers

本地銀行轉賬及 海外電匯

According to the currency of the transfer, plus overseas bank charges (if any)

收費根據該項轉帳/電匯之貨幣收取, 另加海外銀行收費(如有)

AUD 澳元:

AUD 25

HKD 港元: HKD 200

CNY 人民幣:

CNY 150

JPY 日圓: JPY 2,500

EUR 歐羅:

EUR 20

SGD 新加坡元: SGD 30

GBP 英鎊:

GBP 15

USD 美元: USD 25

#### Money Settlement Fee: Returned Cheque

款項交收費用: 退票

Prime rate + 6% per annum (min HK\$200) (if checking the daily latest prime rate, please contact client service)

年息為最優惠利率+6% (最低收費港幣 200 元), (查詢每日最新優惠利率, 請與客戶服務主任聯絡)

#### Compulsory Share Buy-Back

強制性補購股份

0.25% on consideration + trade-related services charge

成交金額之 0.25% 加相關之交易費用

Securities – Information Services (Hong Kong stock quotes service provider is AA stock) 證券 – 證券資訊服務 (港股報價服務提供為 AA Stock)		
Streaming Plan – AA Stock (professional edition – HK) 阿斯達克 (國際版)		*Monthly fee HK\$398 *月費港幣 398 元
Streaming Plan – AA Stock (professional edition – China) 阿斯達克(中國優惠版)		*Monthly fee HK\$278 *月費港幣 278 元
*Quarterly fee which will be waived if over HK\$6 million transaction amount for HK market on that quarter. *如客戶每個季度總港股買賣交易金額為港幣六百萬元或以上, 該季度港股串流報價費用則可豁免。		

Hong Kong Securities – Other Account Services 香港證券 – 其他帳戶服務		
Custody Fee 股票託管費 (倉費)		Waived 豁免
Duplicate Statement Copy 結單副本		HK\$30 for each statement copy 每份結單副本收費港幣 30 元
Audit Confirmation 核數證明		HK\$300 per confirmation 每份港幣 300 元
Reference Letter 財務諮詢函件		HK\$300 per letter 每封函件港幣 300 元
Dormant Account Fee 不動戶口費		HK\$50 per annum (Applicable to accounts without transactions or fund/stock transfer for 2 years or above) 每年收費港幣 50 元 (適用於 2 年或以上未有交易或資金/股票往來之戶口)
Hold Mail Service Fee (For Daily Statement ONLY and A/C with Registered Email Address) 郵件代存服務費 (只適用於日結單且已登記電郵地址的帳戶)		HK\$100 monthly 每月收費港幣 100 元
Physical Statement Delivery Charge 郵寄結單費		HK\$100 per annum 每年收費港幣 100 元

Hong Kong Securities – Nominee Services and Corporate Actions 香港證券 – 代理人服務及企業行動		
Scrip Fee 登記過戶費		HK\$1.5 / CNY1.28* per lot (Scrip Fee – on net increase in balance in the stock since the date on which fee was last collected, odd lot will be counted as one lot.) 每手港幣 1.5 元 / 人民幣 1.28 元* (登記過戶費 – 以上次收款日之後, 賬戶內證券結餘的淨增股數計算, 碎股視作一手計算)
Handling/collection of Cash/Scrip Dividends 處理/代收現金股息/股票股息		0.5% of the dividend amount (min HK\$20 / CNY17*) 總股息之 0.5% (最低收費港幣 20 元 / 人民幣 17 元*)
Handling/collection of bonus shares 處理/代收紅股		Waived 豁免
Handling of Rights Issue / Rights/Warrants Exercise / Tendering Shares Under A Takeover Bid, etc. 處理供股權 / 行使供股認股權 / 在收購要約下提交股份費		HK\$1/CNY0.85* per lot, plus HK\$20/CNY17* handling fee, odd lot will be counted as one lot. 每手港幣 1 元 / 人民幣 0.85 元*, 加手續費港幣 20 元 / 人民幣 17 元*, 碎股視作一手計算
Excess Rights Application 申請額外供股權		Waived 豁免
Handling Share Consolidation / Split 處理股份合併 / 分拆		Waived 豁免

\* Service charges are subject to denominated currency.

\* 服務收費以計價貨幣計算。

## Hong Kong Securities – Other Services, including Margin and IPO Subscription Financing

### 香港證券 – 其他服務之費用, 包括孖展及新股認購借貸

Margin financing interest 保證金 (俗稱“孖展”) 帳戶借貸利息	Prime Rate +1.5% per annum (if checking the daily latest prime rate, please contact client service) 年息為最優惠利率 + 1.5%( 查詢每日最新優惠利率, 請與客戶服務主任聯絡)
Additional loan interest (loan exceed margin value) 附加借貸利息 (超出按倉值借貸)	Margin financing interest + 3.5% per annum 保證金借貸年利息 + 3.5%
IPO subscription (financing) 新股認購 (借貸)	K\$100 per transaction 每次收費港幣 100 元
IPO subscription (non-financing) – by eIPO 新股認購 (非借貸) – 通過 eIPO	K\$50 per transaction 每次收費港幣 50 元
Cash Account overdue settlement interest 現金帳戶過期交收利息	Prime rate + 6% per annum (if checking the daily latest prime rate, please contact client service) 年息為最優惠利率 + 6%( 查詢每日最新優惠利率, 請與客戶服務主任聯絡)
IPO subscription financing interest 新股認購借貸利息	At prevailing market rate 根據當時市場利率
IPO subscription - late or under payment of down deposit 新股認購 - 逾期或不足繳付認購按金	Late or under payment of HK\$2,000 or above, charge 0.1% per day on total amount of outstanding down deposit (No min charge) 欠款額達港幣 2,000 元或以上, 每日收取欠款額之 0.1% (按日計算, 不設最低收費)
Handling of unclaimed benefits entitlement 處理追收未領取權益	HK\$300 per claim per stock, plus other charges incurred. (Non-refundable even claim is unsuccessful) 以每隻股票計, 每項追收股息, 收費為港幣 300 元, 及其他有關之費用 (不論追收成功與否均需繳付)

## Overseas Stocks – Trade-Related Services

### 海外股票 – 交易服務

China 中國 (B 股)	Shanghai 上海	Shenzhen 深圳
Brokerage 經紀佣金	0.25% of transaction amount (min USD20) 成交金額之 0.25% (最低收費 20 美元)	0.25% of transaction amount (min HK\$100) 成交金額之 0.25% (最低收費港幣 100 元)
Stamp Duty 印花稅	0.1% of transaction amount (for SALE trade only) 成交金額之 0.1% (只適用於賣方)	0.1% of transaction amount (for SALE trade only) 成交金額之 0.1% (只適用於賣方)
Transaction Levy 交易徵費	0.00687% of transaction amount 成交金額之 0.00687%	0.00687% of transaction amount 成交金額之 0.00687%
Clearing Fee 結算費	0.05% of transaction amount 成交金額之 0.05%(B 股)	0.05% of transaction amount (max HK\$500) 成交金額之 0.05% (上限為港幣 500 元)
Settlement Fee (For client with Custody service only) 交收費 (僅適用於附託管服務之客戶)	USD60 per trade 每宗交易 60 美元	HK\$468 per trade 每宗交易港幣 468 元
Dividend Collection Fee 股息代收費用	0.75% of gross dividend amount (min USD10) 股息之 0.75% (最低收費 10 美元)	0.75% of gross dividend amount (min HKD50) 股息之 0.75% (最低收費港幣 50 元)
Dividend Tax 股息稅	10% of gross dividend (if applicable) 股息之 10% (如適用)	10% of gross dividend (if applicable) 股息之 10% (如適用)

**Shanghai/Shenzhen-Hong Kong Stock Connect (Northbound Trading)**

滬股通 &amp; 深股通 (滬港通北向交易 &amp; 深港通北向交易)

**Brokerage**

經紀佣金

Tele- transaction 電話交易	0.20% of transaction amount, min CNY 80 成交金額之 0.20%, 最低收費人民幣 80 元
Internet and mobile app transaction 網上交易及手機應用程式	0.16% of transaction amount, min CNY\$60 成交金額之 0.16%, 最低收費人民幣 60 元

Handling Fee 經手費	0.00487% of the consideration of a transaction per side 雙邊成交金額 0.00487%
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Securities Management Fee 證管費	0.002% of the consideration of a transaction per side 雙邊成交金額 0.002%
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Transfer Fee 過戶費	0.002% (under Chinaclear's) & 0.002% (under CCASS) of the consideration of a transaction per side 雙邊成交金額 0.002%(根據中國結算)及 0.002% (根據中央結算)
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Stamp Duty 交易印花稅	0.1% of the consideration of a transaction on the seller 賣方成交金額 0.1%
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Dividend Tax 紅利稅	10% of the dividend amount 股息總額 10%
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Capital Gain Tax 資本增值稅	Not Applicable 暫未徵收
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Portfolio Fee 組合費	Multiple rates for different portfolio value, max 0.008% (currently waived until further notice) 按照投資組合價值實行多等級收費，最高為 0.008% (現時豁免直至另行通知)
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Money Settlement Fee: Handling Charge 款項交收費: 手續費	HK\$200 per transaction 每宗收費港幣 200 元
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Dividend Collection Fee 股息代收費用	0.5% of the dividend amount (min HK\$20 / CNY17*) 股息之 0.5% (最低收費港幣 20 元 / 人民幣 17 元*)
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Handling of Rights Issue / Rights/Warrants Exercise Tendering Shares Under A Takeover Bid, etc. 處理供股權 / 行使供股/認股權 / 在收購要約下提交股份費等	HK\$1 / CNY0.85* per lot, plus HK\$20 / CNY17* handling fee, odd lot will be counted as one lot. 每手港幣 1 元 / 人民幣 0.85 元*, 加手續費港幣 20 元 / 人民幣 17 元, 碎股視作一手計算
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Cash account overdue settlement interest 現金帳戶過期交收利息	Prime rate + 2.5% per annum (if checking the daily latest prime rate, please contact client service) 年息為最優惠利率+ 2.5% (查詢每日最新優惠利率, 請與客戶服務主任聯絡)
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**Japan 日本**

Brokerage 經紀佣金	0.3% of transaction amount (min JPY3,000) 成交金額之 0.3% (最低收費 3,000 日圓)
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Settlement Fee 交收費	JPY2,300 per trade 每宗交易 2,300 日圓
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Dividend Collection Fee 股息代收費用	0.75% of gross dividend (min JPY1,000) 股息之 0.75% (最低收費 1,000 日圓)
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Dividend Tax 股息稅	15.315% of gross dividend 股息之 15.315%
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Electronic Deposit Fee 電子存入費	JPY 3,600 per trade 每宗交易 3,600 日圓
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Electronic Withdrawal Fee 電子提出費	JPY 3,600 per trade 每宗交易 3,600 日圓
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**United Kingdom 英國**

Brokerage 經紀佣金	0.2% of transaction amount (min GBP15 / EUR15) 成交金額之 0.2% (最低收費 15 英鎊 / 15 歐元)
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PTM Levy PTM 徵費	GBP1 / EUR1.25 per trade 每宗交易 1 英鎊 / 1.25 歐元
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Stamp Duty Reserve Tax 印花稅	0.50% transaction amount for GBP stock / 1 % for EUR stock (for BUY trade ONLY) 英鎊股票成交金額之 0.50% / 歐元股票成交金額之 1% (只限用於買方)
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Settlement Fee 交收費	GBP20 / EUR20 per trade 每宗交易 20 英鎊 / 20 歐元
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Dividend Collection Fee 股息代收費用	0.75% of gross dividend amount (min GBP10/ EUR10) 股息之 0.75% (最低收費 10 英鎊 / 10 歐元)
Electronic Deposit Fee 電子存入費	GBP30 / EUR40 per trade 每宗交易 30 英鎊 / 40 歐
Electronic Withdrawal Fee 電子提出費	GBP30 / EUR40 per trade 每宗交易 30 英鎊 / 40 歐

#### United States 美國

Brokerage 經紀佣金	0.2% per transaction (min USD 20) 每宗成交之 0.2% (最低收費 20 美元)
Settlement Fee 交收費	USD20 per trade 每宗交易 20 美元
SEC Fee 費用	0.00231% of transaction amount (for SALE trade ONLY) (min USD 0.01) 成交金額之 0.00231% (只適用於賣方) (最低收費 0.01 美元)
Trading Activity Fee 交易徵費	0.0119% per share (for SALE trade ONLY) (min USD 0.01 and max USD 5.95) 每股 0.0119% (只適用於賣方) (最低收費 0.01 美元和最高收費 5.95 美元)
ADR Depository Fee 美國預託證券存管費	USD0.02 to 0.05 per share (if applicable) 每股 0.02 至 0.05 美元 (如適用)
Electronic Deposit Fee 電子存入費	USD30 per trade 每宗交易 30 美元
Electronic Withdrawal Fee 電子提出費	USD30 per trade 每宗交易 30 美元
Dividend Collection Fee 股息代收費用	0.75% of gross dividend (min USD 10) 總股息之 0.75% (最低收費 10 美元)
Dividend Tax 股息稅	30% of gross dividend 總股息之 30%
ADR Annual Service Fee 美國預託證券週年服務費	USD0.02 per share (if applicable) 每股 0.02 美元 (如適用)
US NRA Tax Reporting Fee 美國非居民外籍人士稅務申報費	USD300 per processing and submission of tax form for each beneficial owner 每位受益人每次辦理此申報 300 美元
DTC Envelope Settlement Service (ESS) fee DTC 結算服務費	USD100 per transaction per related securities 每只相關股票之每宗交易 100 美元

Note: Out-of-pocket and third party expense will be billed at cost separately (if applicable)

備註：代付費用或協力廠商費用將分別按成本收取（如適用）

As the regulatory environment continues to evolve, with customer protection as one of its primary mandates, we will no longer accept buy transaction in a security with a market cap below US\$50 million AND the price per share less than \$0.50.

為配合動態監管環境要求及進一步加強投資者保障，將不再接受低於 5000 萬美元的市值和每股價格低於 0.50 美元的美國股票買入服務。

#### United States Securities – Margin Financing Service

##### 美國證券 – 孖展融資

Margin financing interest 保證金 (俗稱“孖展”) 帳戶借貸利息	Prime Rate + 1.5% per annum (if checking the daily latest prime rate, please contact client service) 年息為最優惠利率 + 1.5% (查詢每日最新優惠利率, 請與客戶服務主任聯絡)
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#### Notes 備註:

1. For enquiries, please call our Customer Services Hotline at 3891 5026/ 40012 09069 or visit our office in person.

如欲查詢，歡迎致電客戶服務熱線 3891 5026/40012 09069 或親自前往公司諮詢。

2. The prices of securities fluctuate, sometimes dramatically. The prices of securities may move up or down, and may become valueless.

證券價格時刻波動，有時候甚至有極大波動。證券價格可升可跌，甚至變成毫無價值。

3. Fees and charges are subject to change from time to time. Please check our website, [www.ajsecurities.com.hk](http://www.ajsecurities.com.hk). All out-of pocket expenses incurred for customer will be collected from customer.

收費及費用可隨時更改，請登陸 [www.ajsecurities.com.hk](http://www.ajsecurities.com.hk) 網站查詢最新收費。所有代客開支會向客戶收取。

4. Service to be provided at sole discretion of AJ Securities Limited (AJS). Client has to submit relevant supporting document as required by AJS (e.g. properly stamped contract notes/instrument of transfer, original written instruction from account holder).

安捷證券有限公司全權酌情決定是否提供此服務。客戶須提交安捷證券有限公司所需之相關支持文件 (如已付印花稅之成交單據/轉手紙，戶口持有人之書面指示正本)