

EBSI Direct

Fees and Charges

(Effective on February 6, 2024)

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The information in this table is for customer's reference with regard to the fees and charges for transactions and various offers or services offered by the licensed corporations or registered insurance brokers of China Everbright Securities International Company Limited ("CEBSI"). CEBSI reserves the right to revise, add or replace any fees, charges, special offers and other services from time to time. This fees and charges table is only applicable to those services offered via the EBSI Direct platform. For further enquiries, please contact our Customer Services Hotline at +852 2822 5001. Other relevant cost, expenses, fees, charges or interest which may be levied for customer transactions or services by banks, custodians or other third parties are not covered in this table. If there is any inconsistency or conflict between the English and Chinese versions of this table, the English version shall prevail.

Services	Charges (In Hong Kong Dollars unless specified otherwise)			Remarks
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A. HK Shares and Warrants

1. General Transactions Charge

i)	Basic Commission	Monthly Turnover (Million)	Commission Rate	Minimum (Per Transaction)	<ul style="list-style-type: none"> - Phone orders are subject to a HKD20 surcharge per executed trade. The surcharge will be waived for the first 3 executed trades per month. - Each trade will be settled in the relevant stock's trading currency designated by HKEX. If the trade is not settled in HKD, monthly turnover and minimum commission will be calculated in HKD equivalent.
		<HKD13.8	0.138%	HKD88	
		HKD13.8 to HKD30	0.108%	HKD88	
		>HKD30	0.088%	HKD88	
ii)	Pre-IPO Investing Commission (Grey Market)	0.375% on gross amount (Min: HKD150)			Each trade will be settled in the relevant stock's trading currency designated by HKEX. If the trade is not settled in HKD, fees and charges will be calculated in HKD equivalent and collected in the relevant trading currency.
iii)	Stamp Duty	0.10% on gross amount (rounded up to the nearest dollar)			
iv)	SFC Transaction Levy	0.0027% on gross amount			
v)	HKEX Trading Fee	0.00565% on gross amount			
vi)	CCASS Settlement Fee	0.004% on gross amount (Min: HKD5 / Max: HKD 200)			
vii)	AFRC Transaction Levy	0.00015% on gross amount			

2. HK Shares AYCT Pro Program

i)	HK Shares AYCT Pro Program	Monthly Fee	Commission Rate	Minimum (Per Transaction)	Entitled to one month streaming real-time quotes for free (original price: HKD298/month) Click here to sign up.
		HKD6,888	0.038%	No minimum	

Services		Charges (In Hong Kong Dollars unless specified otherwise)		Remarks
3. Service Charges and Interest Rate				
i)	Statement	By Post	By Email	Individual clients who are aged 65 or above and institutional clients will be exempted.
		HKD30 per customer per calendar year (Please click here to enroll for e-statement service)	Free	
ii)	Copies of Account Statement	Within a year	Over a year	
		HKD50 per duplicate copy	HKD200 per duplicate copy	
iii)	Financing Interest Rate - Margin	3-month Hibor Rate + 3% p.a. (Applicable to New Margin Clients) Default Interest Rate (Applicable to All Currency) 18% p.a.		For the 3-month Hibor Rate, please refer to Hong Kong Association of Banks from time to time.
iv)	Charges on Late Settlement of Share Transactions	Cash client bought transaction: Late payment is subject to 1% penalty charge + interest charges on the net outstanding due amount for the overdue period (from the settlement date)		For the prime rate, please refer to Standard Chartered Bank (HK) Limited from time to time.
		First 3 days	Over 3 days	
		Prime Rate + 3% p.a.	18% p.a.	
v)	Handling Fee on Forced Liquidation	HKD500 per case + 1% on liquidated amount		

Services		Charges (In Hong Kong Dollars unless specified otherwise)		Remarks
4. Market Data Related Charges				
i)	Internet Trading Platform			
	a) Snapshot Real-time Quotes Services (Provided by ET Net Limited)	- 500 free basic quotes per month - Earn 100 extra quotes in the following month from each executed trade - Earn extra 5,000 quotes in the following month if you have 20 trades or more in previous month - Purchase additional quotes at HKD10 per 100 quotes		Click here to preview
	b) Streaming Real-time Quotes Services			Click here to preview
	· AASTocks Streaming Real-time Quotes Service	HKD298 per month		
	· AASTocks Streaming Real-time Quotes Service (+ A share)	HKD498 per month		
	c) SMS	HKD1 per price alert		Free for trade confirmation
ii)	HK Trader Pro (Simplified Chinese) (Provided by Shenzhen Fortune Trend Technology Co Ltd)			Click here to preview
	· Streaming Real-time Quotes Services	Mainland China Residents	Others	
		HKD230 per month	HKD288 per month	

5. CCASS Depository Services

i)	Physical Stock Deposit	Nil	
ii)	Physical Stock Withdrawal	HKD5 per board lot (Min: HKD100)	
iii)	Stock Deposit Fee (via CCASS)	Nil	
iv)	Stock Withdrawal Fee (via CCASS)	0.05% on gross amount (Min: HKD50 / Max: HKD500 per stock withdrawal)	
v)	Transfer Deed	HKD5 for each transfer deed	
vi)	Express Physical Stock Re-registration	HKD200 per stock	

Services		Charges (In Hong Kong Dollars unless specified otherwise)		Remarks
6. Nominee Services and Corporate Actions				
i)	Custody Fee	Waived		
ii)	Scrip Fee	Scripless	Physical Scrip	This is applicable when cash dividends, scrip dividends, bonus shares, bonus warrants or bonus rights are received by client for the first time on shares bought or deposited by client before book-close date.
		HKD2 / RMB2 / USD0.3 per board lot (Applicable to shares held under HKSCC Nominees before book-close date)	HKD2.5 per certificate (Applicable to shares held under our Nominee Company before book-close date)	
iii)	Cash/Scrip Dividend · Collection Fee	0.5% of cash dividend collected (Min: HKD30 / RMB30)		Fees are charged based on the denominated / distribution currency of the relevant stock.
iv)	Bonus Share · Collection Fee	HKD1 / RMB1 per board lot (Min: HKD30 / RMB30) (Max: HKD500 / RMB500)		
v)	Bonus Warrant / Rights · Collection Fee	Waived		
vi)	Physical Stock Registration Fee	HKD2.5 per certificate + HKD100 handling fee		
vii)	Rights Subscriptions / Warrant Conversions / Covered Warrant / Inline Warrant Auto Exercise	HKD1 / RMB1 per board lot (Min: HKD30 / RMB30)		
viii)	Handling Fee - Callable Bull / Bear Contract	HKD1.8 / RMB1.8 per board lot (Min: HKD30 / RMB30)		
ix)	Dividend Claim / Bonus Shares	1 % on gross offer amount (Min: HKD500 / RMB500)		
x)	Cash /Open Offer Charges	0.138% on gross offer amount (Min: HKD88 / RMB88)		
xi)	Special / Conditional Offer Charges	0.138% on gross offer amount (Min: HKD88 / RMB88)		

7. IPO Application Service Charges

i)	Non-financing and through nominee services	Waive	Currency of this fee varies with the trading currency of the stock
ii)	Through financing services	HKD100 handling charge (Plus interest)	
iii)	Cancellation or Amendment of IPO	HKD100 handling charge	
iv)	Administration Fee of Rejected Application due to Insufficient Fund	HKD500	

Services		Charges (In Hong Kong Dollars unless specified otherwise)	Remarks
8. Other Service Charges			
i)	Telegraph Transfer (T/T)	HKD150 + actual bank charge	
ii)	Returned Check Charge	HKD300 per case	
iii)	Stop Payment Charge	HKD300 per case	
iv)	Check Mark Good	HKD250 per case	
v)	Account Balance Confirmation Certificate Letter	HKD100 per certificate per account	HKD100 for each additional account
vi)	Cash Withdrawal		
	a) Same-day Transfer	Free	This only applies to customers who request transfers of funds from trading accounts to bank accounts of HSBC, Hang Seng Bank, Bank of China (HK) or Standard Chartered Bank.
	b) Local Check Issuance	HKD100 per case	This applies to transfers of funds from trading account to banks other than HSBC, Hang Seng Bank, Bank of China (HK) and Standard Chartered Bank; or pick-up of crossed cheques in person by customers at our Customer Settlement Counter.
	c) Local CHATS (Same value day)	Written / Online request: HKD150	

Services	Charges (In RMB unless specified otherwise)	Remarks
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B. China Connect – Shenzhen & Shanghai A Shares

1. General Transactions Charge

i)	Basic Commission	0.138% on gross amount (Min: RMB 88)	Phone orders surcharge is waived. Charges for Shenzhen A Shares effective from Dec 5, 2016
ii)	Handling Fee	A Shares: 0.00341% of the consideration ETFs: 0.004% of the consideration	
iii)	Securities Management Fee	A Shares: 0.002% of the consideration ETFs: Waived	
iv)	Transfer Fee	A Shares: ChinaClear: 0.001% of the consideration; and HKSCC: 0.002% of the consideration ETFs: ChinaClear: Waived HKSCC: 0.002% of the consideration	
v)	Stamp Duty	A Shares: 0.05% of the consideration of each transaction on the seller ETFs: Waived	

2. CCASS Depository Services

i)	CCASS's Portfolio Fee	<ul style="list-style-type: none"> - 0.01% / 365 x daily stock portfolio value of Shenzhen & Shanghai A shares in HK dollars equivalent in your account(s) (Converted based on prevailing exchange rate of RMB/HK dollars) - Daily stock portfolio value of Shenzhen & Shanghai A shares is calculated on each calendar day (including all Saturdays, Sundays and public holidays), accrued daily and collected on a monthly basis (Min: HKD30 per month) 	In HK dollars Charges for Shenzhen A Shares effective from Dec 5, 2016
ii)	Stock Deposit Fee (via CCASS)	Nil	
iii)	Stock Withdrawal Fee (via CCASS)	0.05% on gross amount (Min: HKD50 / Max HKD500 per stock withdrawal)	

3. Fees and Taxes

i)	Dividend Tax	<ul style="list-style-type: none"> - Applicable to cash dividend and bonus issue - Subject to clarification with State Administration of Taxation 	Charged by State Administration of Taxation
ii)	Capital Gain Tax	<ul style="list-style-type: none"> - Applicable to share disposal - Subject to clarification with State Administration of Taxation 	Charges for Shenzhen A Shares effective from Dec 5, 2016

Remarks: EBSI will endeavor to update the relevant fees and charges of item B. Please visit [HKEX's official website](#) for the latest announcement.

Services	Charges (In Hong Kong Dollars unless specified otherwise)	Remarks
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C. Stock Options

1. General Charges

i)	Commission	0.25% of contracted value (Min: HKD88)	Phone orders are subject to a HKD30 surcharge per executed trade.
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2. Third-party Transaction Charges

i)	Exchange Fee	Tier 1	Tier 2	Tier 3	
		HKD3 per contract	HKD1 per contract	HKD0.5 per contract	

3. Fees due to Option Exercise (Physical Delivery of the Underlying Shares)

i)	Exercise Fee	HKD2 per contract	
ii)	Stamp Duty	0.10% on gross amount (Rounded up to the nearest dollar)	
iii)	SFC Transaction Levy	0.0027% on gross amount	
iv)	HKEX Trading Fee	0.005% on gross amount	
v)	CCASS Settlement Fee	0.004% on gross amount (Min: HKD5 / Max: HKD200)	
vi)	Commission	0.138% on gross amount (Min: HKD88)	
vii)	AFRC Transaction Levy	0.00015% on gross amount	

4. Other Charges

i)	Fund Transfer by CHATS (Same value day) - Written / Online Request	HKD150	
ii)	Telegraphic Transfer (T/T)	HKD150 + actual bank charge	
iii)	Returned Check Charge	HKD300 per case	
iv)	Stop Payment Charge	HKD300 per case	
v)	Check Mark Good	HKD250 per case	

Remarks: For the margin rate of stock options, please refer to the margin table in the [Stock Options section on the HKEX website](#).

Services	Charges (In Hong Kong Dollars unless specified otherwise)	Remarks
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D. US Shares (Traded via Online Platform)

1. General Charges

		Trade via US Trader II ¹ (for existing US Trader II client only)	Trade via UStock Pro	
i)	Commission	USD0.02 per share (Min: USD15)	0.138% per transaction (USD) (Min: USD15)	Phone orders are subject to a HKD20 surcharge per executed trade via UStock Pro.
ii)	SEC fee	Included in the commission	0.0008% of trade value	Only applied on Sell Side

2. Fund Transfer

i)	Fund Deposit	Free	Free	If the fund is not from trades or corporate events, a 10-business day holding period before withdrawal is required.
ii)	Fund Withdrawal	USD20	Free	

3. Stock Transfer

i)	Stock Deposit	Scripless Deposit: Free	Scripless Deposit: Free	No physical stock deposit or withdrawal
ii)	Stock Withdrawal	Scripless Withdrawal: USD50 per stock	Scripless Withdrawal: USD50 per stock	No physical stock deposit or withdrawal

4. Other Fees

i)	Nominee Services and Corporate Actions			
	a) Cash/Scrip Dividend · Collection Fee	Free	0.5% on gross dividend (Min: USD 20)	
	b) Bonus Shares · Collection Fee	Free	USD20 per transaction	
	c) Other Corporate Action	0.10% on gross offer amount (Min: USD20)	0.10% on gross offer amount (Min: USD20)	
ii)	Custody Fee	Waived	Waived	

1. For customers who send an extraordinary number of non-marketable limit orders to the NYSE, and who route such orders directly to NYSE, rather than using US Trader II Smart Routing, system reserves the right to impose a surcharge in order to defray specialist order handling charges.

Services		Charges (In Hong Kong Dollars unless specified otherwise)		Remarks
iii)	Market data	<p>Please visit Market Data Fees page of Interactive Brokers Platform for details</p> <p>Remarks: The fee for U.S. Securities and Futures Value Bundle / U.S. Securities Lite Value Bundle will be waived if the clients have traded 6,000 shares or above within a month.</p>	<p>HKD8 per month (for non-professional subscription)</p> <p>HKD203 per month (for professional subscription)</p>	
iv)	<p>Monthly Activity Fee (Levied by Interactive Brokers)</p> <p>a) Average Cash/Stock holdings of USD 100,000 or more</p> <p>b) Trading of 1 transaction or more</p> <p>c) All others</p>	<p>Waived</p> <p>Waived</p> <p>Up to USD10*</p> <p>Remarks: Initial deposit to activate a U.S. trading account is USD5,000. If there is no deposit in 45 days after account opening, the account will be automatically closed by systems.</p>	N/A	*The actual Fee levied may be less according to the accrued commission charged.

Services	Charges (In Hong Kong Dollars unless specified otherwise)	Remarks
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E. Futures

1. General Charges

Hong Kong Futures (Futures Trader Pro)	Commission ^{2, 3, 4} (Day Trade / Overnight – per lot per side)	
Hang Seng Index Futures	HKD38 / HKD68	
H-shares Index Futures	HKD38 / HKD68	
Mini Index Futures	HKD8 / HKD18	
Hang Seng TECH Index Futures	HKD38 / HKD68	
HSI Dividend Point Index Futures	HKD38 / HKD68	
HSCEI Dividend Point Index Futures	HKD38 / HKD68	
CNH based Currency Futures	RMB40 / RMB70	
Mini CNH based Currency Futures	RMB8 / RMB18	
USD based Currency Futures (CNH/USD)	USD20	
USD based Futures	USD20	
Stock Futures	HKD300	
Sensex Index Futures ⁵	HKD15 / HKD25	

2. If an expiring Hong Kong Index Futures and Index Options contract is closed out by “auto cash settlement” on the last trading day, its commission will be subject to overnight charges.

3. Unless specified, commission does not include stamp duty, exchange fee, levy, trading fee, settlement fee, nominee service fee, custodian fee and other services fees.

4. Phone orders are subject to a surcharge of HKD30 per executed trade for Hong Kong Futures and HKD60 per executed trade for Global Futures.

5. This product is excluded from EBSI Direct “All-You-Can-Trade” Program – Hong Kong Index Futures and Index Options.

Services	Charges (In Hong Kong Dollars unless specified otherwise)	Remarks
Hong Kong Options (Futures Trader Pro)	Commission^{5, 6, 7} (Day Trade / Overnight – per lot per side)	
Hang Seng Index Options	HKD68	
H-shares Index Options	HKD68	
Mini Index Options	HKD18	
Hang Seng TECH Index Options	HKD68	
MSCI Taiwan (USD) Index Options	1% of Contract Value (Min: USD10)	
CNH based Currency Options	HKD68	
Global Futures (Futures Trader Pro)	Commission^{5, 6, 7} (Day Trade / Overnight – per lot per side)	
EUR based products	EUR12	
JPY based products	JPY1,200	
USD based products	USD12	
CNH based Futures	RMB70	

2. Other Services

i)	Statement	By Post	By Email	Individual clients who are aged 65 or above and institutional clients will be exempted.
		HKD30 per customer per calendar year (Please click here to enroll for e-statement service)	Free	
ii)	Extra Daily Statement / Monthly Statement (By Post / By Email)	Within a year	Over a year	
		HKD50 per duplicate copy	HKD200 per duplicate copy	
iii)	Fund Transfer by CHATS (Same Value Day) - Written/Online Request	HKD150		
iv)	Telegraphic Transfer (T/T)	HKD150 + actual bank charge		
v)	Returned Check Charge	HKD300 per case		
vi)	Stop Payment Charge	HKD300 per case		
vii)	Check Mark Good	HKD250 per case		

5. This product is excluded from EBSI Direct "All-You-Can-Trade" Program — Hong Kong Index Futures and Index Options.

6. For the trades settled in other denominated currencies, the commission collected will be calculated in the stated currency equivalent.

7. Stock Futures and Global Futures are excluded from EBSI Direct "All-You-Can-Trade" Program — Hong Kong Index Futures and Index Options.

Services	Charges (In Hong Kong Dollars unless specified otherwise)	Remarks
3. Market Data⁸		
CBOT CME COMEX NYMEX	N/A (Non-Professional and Greater China Regions User ⁹) USD15 per month per user (Non-Professional and Non-Greater China Regions User)	Fill in the following form to subscribe: - Click here for Subscription Form
EUREX	EUR1 per month per user (Private Individual and Asia-Pacific ¹⁰) EUR12 per month per user (Private Individual and Non-Asia Pacific)	
LIFFE	USD110 per month per user	
NYBOT	USD110 per month per user	
4. Interest rate on overdue		
i)	Charges on Late Settlement of Margin Call	Late settlement of margin call is subject to interest charges on the due amount for the overdue period (from the due date) Over 2 days Prime Rate + 4% p.a. For the prime rate, please refer to Standard Chartered Bank (HK) Limited from time to time.

8. Please note that the full monthly fee is payable for any period of usage that is less than one full calendar month, i.e., the full monthly fee is payable even if the market data is subscribed in the middle or at the end of the month.

9. Greater China Region means, for the purpose of this Market Data, China, Hong Kong, Macau and Taiwan.

10. Asia-Pacific means, for the purpose of this Market Data Subscription Form, the following countries or regions: South Korea, Japan, Hong Kong, Singapore, Australia, Taiwan and Macau.

Services	Charges (In Hong Kong Dollars unless specified otherwise)	Remarks
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F. Forex

Products	Target Spread	Commission
FX Trader Pro ¹¹	Black / Platinum / Gold / Others	Nil
MT4 ¹¹	EBSI1 / EBSI2	Nil
Global Payments	Black / Platinum / Gold	Nil

G. Others

i)	Dormant Account Maintenance Fee	Effective July 1, 2019, a dormant account maintenance fee of HKD150 has been applied semi-annually to customers with no trading activity for 36 months or above in their account(s).	
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11. Clients will be charged or paid daily interest (described as "Floating P/L" on statements), the amount of which is determined by CESFXHK based on the prevailing interest rate of the base currency and the counter currency which are quoted by major participants in the FX markets, and are subject to change from time to time. Clients can obtain relevant information from their daily & monthly statements.