

# LUEN FAT SECURITIES COMPANY LIMITED

## FEES & CHARGES

(For Securities Traded in HKEx only)

	Rate	Min/Max Charge (HK\$ / CNY ¥ / US\$*)
<b>A. Trade-related Services</b>		
Brokerage Commission	At the rate as agreed	Min HK\$75
SFC Transaction Levy	0.0027% of transaction amount	N/A
Investor Compensation Levy	0.002% of transaction amount (Waived with effective from 19 December 2005)	N/A
Trading Fee	0.00565% of transaction amount	N/A
FRC Transaction Levy	0.00015% of the transaction amount	N/A
Trading Tariff	Free	N/A
Stamp Duty	0.13% of transaction amount (round up to the nearest dollar) (Effective on 1st August 2021)	HK\$1.00
<b>B. Scrip Handling and Settlement related Service</b>		
CCASS Stock Settlement Fee	0.01% on transaction amount	Min HK\$3 Max HK\$300
Money Settlement Fee	Free	N/A
Physical Scrip Deposit Fee	Free	N/A
Physical Scrip Withdrawal Fee	HK\$5 per board lot, odd lots also charged at HK\$5	Min HK\$25
Deposit Transaction Charge	Free	N/A
Settlement Instruction (SI) Fee	0.002% of value of eligible securities on settlement day plus HK\$20 per action	Max HK\$300
Investor Settlement Instruction (ISI) Fee	Free	N/A
Stock Transfer between Accounts, Stock Receipt / Delivery (Eg Non-Exchange Transactions)	0.1% of previous market value (Charge on both receive and deliver sides. Prior approval must be obtained.)	Min HK\$600
Compulsory Share Buy-back Fee	HK\$200 per transaction plus trade related services charges	N/A
Transfer Stamp Duty	HK\$5 for each transfer deed	N/A

\* Except using the monetary unit specifically, the commission and fee related to Hong Kong securities would be denominated in HKD while those trading fees of CNY-denominated securities would use CNY for the monetary unit. Where the consideration is in a foreign currency, the stamp duty paid / to be paid will be based on the Hong Kong dollar equivalent of the consideration at the rate of exchange prescribed by the Stamp Duty Ordinance (Cap 117). In considerations of trading CNY-denominated securities, all stamp duties, SFC transaction levy and HKEx trading fee are required to be paid to the relevant authorities in Hong Kong Dollars by using the exchange rate published by the HKEx on that trading day.

	Rate	Min/Max Charge (HK\$ / CNY ¥ / US\$*)
<b>C. Account Maintenance</b>		
Custody Fee	Free	N/A
Stock Balance or Account Confirmation Fee	Within latest 12 months' record: Free Beyond latest 12 months' record: HK\$20 per page	N/A Min HK\$100
Additional Supporting Documentation Fee	HK\$500 per documentation	Min HK\$500
Dormant Account Fee	Account with no transaction for 12 months charge HK\$200 annually	N/A
Stock Segregated Account (With CCASS Statement) Service Fee	HK\$240 per year	N/A
<b>D. Nominee Services and Corporate Actions</b>		
Scrip Fee	HK\$2.50 per board lot, odd lots also charges at HK\$2.50	N/A
Collection fee of Cash/Scrip Dividend	0.20% of cash amount of dividend	Min HK\$20 / CNY ¥ 20 / US\$3
Collection Fee of Bonus Issue	Free	N/A
Rights Issue Entitlement Charge	Free	N/A
Fee for Rights Exercise	HK\$50 per transaction plus HK\$1 per board lot &/or odd lots	N/A
Fee for Excess Rights Application	HK\$50 per transaction	N/A
Applicable to Exercise of Warrants / CBBC / Takeover / Privatization and etc	HK\$200 each plus HK\$1 per board lot &/or odd lots	N/A
Fee for Change of Registration at Share Registrar	HK\$6 per board lot &/or odd lots	Min HK\$100
Fee for Handling Share Consolidation/split	Free	N/A
Voting Fee	HK\$50 per stock per action	N/A
<b>E. Financing and Other Services</b>		
Margin Account Financing Charge	P+6% p. a.	N/A
Cash Account Overdue Interest	Overdue amount of HK\$100 or above, P+8% p.a.	N/A
New Listing Securities Subscription handling charges	In name of Luen Fat's Nominee HK\$100 per applicator EIPO HK\$50 per application Margin Financing for IPOHK\$100 per applicator	N/A N/A N/A
Financing Charge for Subscription of Securities	Negotiable	N/A
Banking Service Charges :		
- Bounced Cheque & /or Lost Cheque	HK\$200 (Plus Bank Charges & Late Settlement Penalty)	N/A
- Telegram Transfer Fee (TT)	HK\$250 (Plus Bank Charges)	N/A
Fee for Claiming Unclaimed Benefit Entitlements	HK\$300 for each stock per each claim plus photocopy fee HK\$1 per page and CCASS charges	N/A
Fee for checking the identity of the depositor	HK\$300 per transaction	N/A
Exchange HKD / CNY / USD (according to the exchange rate of the bank on the day)	HK\$20 per transaction	N/A
Deposit Rate	Subject to change without prior notice (Amount applied per account: Min HK\$5,000)	N/A
<b>F. Information Services</b>		
Real-time Price Quote Fee	Megahub - PowerTicker	HK\$358/month
	Megahub - PowerTicker + Smartphone MagicTrader Plus	HK\$378/month
	Megahub - PowerTicker (China Discount Program)	HK\$258/month
	ET Net - IQ Streaming	HK\$398/month
	Aastocks - Quote Winner (Standard Package)	HK\$428/month
	Aastocks - Quote Winner (China Discount Program)	HK\$328/month

Fees and charges are subject to change without prior notice

E. & O. E.

- Effective from Oct 2023 -