

# China Construction Bank (Asia) Corporation Limited

## SCHEDULE OF SERVICE FEES FOR SECURITIES TRADING SERVICES

Effective November 16, 2020

SERVICES	Fees
<b>SECURITIES TRADING SERVICES (HK Securities)</b>	
<b>Trade-related Services</b>	
<b>Brokerage †</b>	
<ul style="list-style-type: none"> <li>Through automated channels*                             <ul style="list-style-type: none"> <li>For personal and commercial account customers</li> <li>For corporate account customers</li> </ul> </li> <li>Through manned hotline or branches                             <ul style="list-style-type: none"> <li>For Packaged Banking customers                                     <ul style="list-style-type: none"> <li>PREMIER SELECT customers</li> <li>PREMIER BANKING customers</li> <li>Golden Years Banking customers</li> <li>PREMIER BUSINESS customers</li> <li>WISE BUSINESS customers</li> <li>WISE BANKING customers</li> </ul> </li> <li>Securities Margin Trading customers                                     <ul style="list-style-type: none"> <li>For personal, commercial and corporate account customers</li> </ul> </li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>0.18% of transaction amount, min. HKD100/RMB83</li> <li>0.25% of transaction amount, min. HKD100/RMB83</li> <li>0.18% of transaction amount, min. HKD100/RMB83</li> <li>0.18% of transaction amount, min. HKD100/RMB83</li> <li>0.18% of transaction amount, min. HKD100/RMB83</li> <li>0.18% of transaction amount, min. HKD100/RMB83</li> <li>0.25% of transaction amount, min. HKD100/RMB83</li> <li>0.25% of transaction amount, min. HKD100/RMB83</li> <li>0.18% of transaction amount, min. HKD100/RMB83</li> <li>0.25% of transaction amount, min. HKD100/RMB83</li> <li>0.18% of transaction amount, min. HKD100/RMB83</li> <li>0.25% of transaction amount, min. HKD100/RMB83</li> </ul>
<b>Deposit of Stocks (purchase transaction)</b>	-NIL
<b>Subscription of IPO</b>	
<ul style="list-style-type: none"> <li>Brokerage</li> <li>New Issues Handling Fee through Internet, Manned Hotline or Branches                             <ul style="list-style-type: none"> <li>PREMIER SELECT customers</li> <li>Other Customers</li> </ul> </li> <li>Deposit of Stocks</li> </ul>	<ul style="list-style-type: none"> <li>1% of transaction amount</li> <li>NIL</li> <li>HKD50/RMB50 per application (non-refundable)</li> <li>NIL</li> </ul>
<b>Securities Monthly Investment Plan Handling Fee</b>	Flat HKD50 per Monthly Contribution per Plan (inclusive of brokerage fee, stamp duty, transaction levy and trading fee)
<b>Transaction Levy (collected by HKSFC)</b>	0.0027% of transaction amount
<b>Investor Compensation Levy (collected by HKSFC if applicable)</b>	0.002% of transaction amount
<b>Trading Fee (collected by HKEx)</b>	0.005% of transaction amount
<b>Stamp Duty (collected by HKSAR Gov't)</b>	HKD1 for every HKD1,000 of transaction amount (or part thereof)
<b>Scrip Handling and Settlement-related Services</b>	
<b>Stock Settlement Fees for CCASS</b>	NIL
<b>Money Settlement Fee (collected by CCASS)</b>	NIL
<b>Deposit of Stocks</b>	<ul style="list-style-type: none"> <li>For stock deposit by settlement instruction</li> <li>NIL</li> <li>For physical scrip deposit</li> <li>HKD5/RMB5 per board lot#, min. HKD30/RMB30 and max. HKD200/RMB200</li> </ul>

SERVICES	Fees
<b>Scrip Handling and Settlement-related Services</b>	
<b>Settlement Instruction Fee</b>	NIL
<b>Transfer Deed Stamp Duty</b>	HKD5 each transfer deed
<b>Stock transfer fee (between counters)*</b>	NIL
<b>Account Maintenance</b>	
<b>Safe Custody Fee (applicable to both Cash Trading account and Margin Trading account)</b>	HKD120 paid annually on May 31 (only applicable to the securities account with stock holdings on May 31. If May 31 falls on Saturday or Public Holiday, the Bank will debit the fee from your settlement account on the preceding business day)
<b>Nominee Services and Corporate Actions</b>	
<b>Privatisation / Cash Offer / Collection of Dividend</b> (Collection of Dividend Fee also applicable to Investors who opt for shares in lieu of cash dividend)	0.5% of transaction / dividend amount, min. HKD30/RMB30 and max. HKD2,000/RMB2,000 per stock
<b>Share Bonus Issues, Rights/Open Offer Subscription, Warrants or Scrips in lieu of Cash Dividends</b>	HKD5/RMB5 per board lot#, min. HKD30/RMB30 and max. HKD200/RMB200
<b>Registration with Registrar</b>	<ul style="list-style-type: none"> <li>Registration fee</li> <li>Transfer fee</li> </ul>
<b>Corporate Action Scrip Fee (collected by CCASS)</b>	- HKD1.5 per board lot#
<b>Conversion of Covered Warrant (collected by CCASS)</b>	HKD200 per transaction
<b>Corporate Action Service Fee (collected by CCASS)</b>	HKD0.8 per board lot#
<b>Financing and Other Services</b>	
<b>Margin Trading</b>	<ul style="list-style-type: none"> <li>Annual Fee</li> <li>Financing Interest Rate (p.a.)</li> </ul>
<b>Stock Withdrawal Fee (applicable to both physical scrip withdrawal and stock transfer through CCASS)</b>	<ul style="list-style-type: none"> <li>For Cash Trading and Margin Trading Account</li> <li>HKD10/RMB10 per board lot#, min. HKD100/RMB100 per stock plus physical withdrawal from CCASS charge (HKD3.5 per board lot)</li> <li>For Securities Accounts Designated for Collateral Custody Purposes Only</li> <li>HKD200/RMB200 per stock plus physical withdrawal from CCASS charge (HKD3.5 per board lot)</li> </ul>
<b>Dividend Claim</b>	- HKD200 per claim
<b>Conversion of Rights/Warrant Handling Fee</b>	- NIL

SERVICES	Fees
<b>SECURITIES TRADING SERVICES (Shanghai and Shenzhen Northbound Trading)</b>	
<b>Trade-related Services</b>	
<b>Brokerage †</b>	
<ul style="list-style-type: none"> <li>Through automated channels*<sup>ⓐ</sup> <ul style="list-style-type: none"> <li>For personal and commercial account customers</li> <li>For corporate account customers</li> </ul> </li> <li>Through manned hotline or branches<sup>ⓑ</sup> <ul style="list-style-type: none"> <li>For Packaged Banking customers                                     <ul style="list-style-type: none"> <li>PREMIER SELECT customers</li> <li>PREMIER BANKING customers</li> <li>Golden Years Banking customers</li> <li>PREMIER BUSINESS customers</li> <li>WISE BUSINESS customers</li> <li>WISE BANKING customers</li> </ul> </li> <li>For personal, commercial and corporate account customers</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>0.18% of transaction amount, min. RMB83</li> <li>0.25% of transaction amount, min. RMB83</li> <li>0.18% of transaction amount, min. RMB83</li> <li>0.18% of transaction amount, min. RMB83</li> <li>0.18% of transaction amount, min. RMB83</li> <li>0.25% of transaction amount, min. RMB83</li> <li>0.25% of transaction amount, min. RMB83</li> <li>0.18% of transaction amount, min. RMB83</li> <li>0.25% of transaction amount, min. RMB83</li> <li>0.25% of transaction amount, min. RMB83</li> <li>0.25% of transaction amount, min. RMB83</li> </ul>
<b>Deposit of Stocks (Purchase transaction)</b>	- NIL
<b>Handling Fee</b> (charged by Shanghai Stock Exchange)	- 0.00487% of the consideration of each transaction
<b>Securities Management Fee</b> (charged by China Securities Regulatory Commission)	- 0.002% of the consideration of each transaction
<b>Transfer Fee</b> (charged by ChinaClear)	- 0.002% of the consideration of each transaction
<b>Transfer Fee</b> (charged by HKSCC)	- 0.002% of the consideration of each transaction
<b>Stamp Duty</b> (applicable to sell transaction) (charged by State Administration of Taxation)	- 0.1% of transaction amount
<b>Scrip Handling Services</b>	
<b>Deposit of Stocks</b> (applicable to stock deposit by settlement instruction)	RMB5 per board lot#, min. RMB30 and max. RMB200
<b>Stock Withdrawal Fee</b> (applicable to stock transfer out by settlement instruction)	RMB200 per stock
<b>Nominees Services and Corporate Actions</b>	
<b>Privatisation / Cash Offer / Collection of Dividend</b>  (Collection of Dividend Fee also applicable to Investors who opt for shares in lieu of cash dividend)	- 0.5% of transaction/dividend amount, min. RMB30 and max. RMB2,000 per stock
<b>Share Bonus Issues, Rights/Open Offer Subscription, Warrants or Scrips in lieu of Cash Dividends</b>	- RMB5 per board lot#, min. RMB30 and max RMB200

SERVICES	Fees
<b>Information Services</b>	
<b>Real-time Quote Services (per month)<sup>ⓐ</sup></b>	
<ul style="list-style-type: none"> <li>Securities customers</li> <li>Securities customers with holdings in Securities accounts</li> <li>Securities customers with monthly transaction amount less than HKD100,000</li> <li>Securities customers with monthly transaction amount HKD100,000 or above</li> </ul>	<ul style="list-style-type: none"> <li>- 200 free quotes</li> <li>- 350 free quotes</li> <li>- 700 free quotes</li> <li>- 3,000 free quotes</li> </ul>
<b>Streaming Quote Services (per month)<sup>ⓑ</sup></b>	
<ul style="list-style-type: none"> <li>Online Banking Quote Winner + AASTocks Financial News</li> <li>Online Banking Quote Winner + AASTocks Financial News AND StocksLink Mobile Securities Trading App</li> </ul>	<ul style="list-style-type: none"> <li>- HKD380</li> <li>- HKD395</li> </ul>

\* Automated channels include Online Banking, Mobile Banking, StocksLink Mobile Securities Trading App and HK Securities Trading Application. Shanghai and Shenzhen Northbound Trading is not available in HK Securities Trading Application.

ⓐ Shenzhen Northbound Trading can only trade via manned hotline/branches.

ⓑ Online Brokerage commission will be applied on all Shenzhen Northbound Trading transactions through manned hotline / branch until further notice.

# Odd lots is treated as one board lot in the calculation of fees and charges.

† Buying/selling of identical stock using the same type of trading channel within the same trading day will be counted as one transaction charging commission once. However, buying/selling of identical stock through different trading channels will be counted as separate transactions and brokerage will be charged for each transaction.

\* Stock transfer request between HKD and RMB counters is not available through our automated channels. Please call our Securities Trading Hotline for transfer. Key notes for dual counter securities are stipulated below for your attention.

1. Only settled stock holding can be transferred between HKD and RMB counters.
2. Our service hours for accepting stock transfer request between HKD and RMB counters will be started from 9:00 a.m. to 3:30 p.m. on each normal trading day (except Black Rainstorm Warning and/or Typhoon Signal No.8 or above is hoisted). Please be reminded that it takes time to process the stock transfer requests between counters, customer are therefore advised to allow sufficient time for stock transfers between counters before the stocks are available for sale in relevant counter.

ⓐ Real-time Quote Services are shared by HK Securities and Shanghai Northbound Trading.

ⓑ Streaming Quote Services are available for HK Securities only.

Remark:  
For charges not listed above, please contact our branches for details.  
All out-of-pocket expenses including correspondent bank charges will be charged back to the customer's account accordingly.  
All fees and charges (including but not limited to Dividend Tax and Capital Gain Tax for Shanghai and Shenzhen Northbound Trading) collected by regulators/authorities are subject to change from time to time and without prior notice.

服務項目	收費
<b>資訊服務</b>	
<b>即時報價服務 (每月)<sup>◎</sup></b>	
<ul style="list-style-type: none"> <li>一般證券買賣客戶</li> <li>有存放證券之證券買賣客戶</li> <li>證券交易金額少於十萬港元以下之證券買賣客戶</li> <li>證券交易金額於十萬港元以上之證券買賣客戶</li> </ul>	<ul style="list-style-type: none"> <li>- 200次免費即時報價</li> <li>- 350次免費即時報價</li> <li>- 700次免費即時報價</li> <li>- 3,000次免費即時報價</li> </ul>
<b>串流股票報價服務 (每月)<sup>Ⓜ</sup></b>	
<ul style="list-style-type: none"> <li>網上銀行股勝通 + 阿思達克財經新聞</li> <li>網上銀行股勝通 + 阿思達克財經新聞及「建」證在線手機證券交易應用程式</li> </ul>	<ul style="list-style-type: none"> <li>- 380港元</li> <li>- 395港元</li> </ul>

- ◎ 自動化交易渠道包括「網上銀行」、「流動理財」、「建」證在線手機證券交易應用程式及「港股直通」交易軟件。滬股通及深股通不能透過港股直通交易軟件買賣。
- Ⓛ 深股通只可透過專人接聽熱線/分行櫃位交易。
- Ⓜ 由即日起至另行通知，所有透過專人接聽熱線或分行櫃位買賣之深股通交易會以自動化交易渠道之經紀佣金計算。
- # 不足一手亦以一手計算。
- † 透過相同交易渠道於同一交易日內買入/賣出同一隻股票，將當作一次買入/賣出的交易計算經紀佣金，並收取交易佣金一次，惟經不同交易渠道買/賣相同股票，經紀佣金將每次分開計算及個別收費。
- \* 敬請注意，本行自動化交易渠道並不接受港元與人民幣櫃位間之股票調撥指示，客戶必須通過證券買賣熱線進行相關指示，並請留意下列事宜：
  1. 只有已結算之股票方可進行港元與人民幣跨櫃位之股票調撥。
  2. 本行接受港元與人民幣跨櫃位股票調撥指示之服務時間為正常交易日早上 9 時至下午 3 時 30 分止(黑色暴雨警告及/或八號或以上颱風信號生效時除外)。請注意港元與人民幣跨櫃位之股票調撥指示處理需時。因此，為確保客戶持有相關櫃位之股票作沽售，建議客戶必需預留足夠時間處理港元與人民幣跨櫃位之股票調撥指示。
- Ⓛ 即時報價服務由香港證券及滬股通共用。
- Ⓜ 串流報價服務只適用於香港證券。

註: 收費未能盡錄，詳情請向分行查詢。一切代客戶支付之費用，包括海外銀行之收費，將會於客戶戶口內扣除。由監管及稅務部門收取的費用(包括但不限於滬股通及深股通收取的紅利稅及資本增值稅)將會不時更改，本行將不會另行通知。

服務項目	收費
<b>證券買賣服務 (滬股通及深股通)</b>	
<b>證券交易服務</b>	
<b>買賣經紀佣金<sup>†</sup></b>	
<ul style="list-style-type: none"> <li>透過自動化交易渠道<sup>Ⓛ</sup> <ul style="list-style-type: none"> <li>◆ 個人及商業客戶</li> <li>◆ 公司客戶</li> </ul> </li> <li>透過專人接聽熱線或分行櫃位<sup>Ⓜ</sup> <ul style="list-style-type: none"> <li>◆ 綜合理財客戶</li> <li>- 「貴賓晉裕」客戶</li> <li>- 「貴賓理財」客戶</li> <li>- 「樂年理財」客戶</li> <li>- 「尊尚盈商」客戶</li> <li>- 「智選盈商」客戶</li> <li>- 「智選理財」客戶</li> <li>◆ 個人、商業及公司客戶</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>- 交易金額之0.18%，最低收費為83元人民幣</li> <li>- 交易金額之0.25%，最低收費為83元人民幣</li> <li>- 交易金額之0.18%，最低收費為83元人民幣</li> <li>- 交易金額之0.18%，最低收費為83元人民幣</li> <li>- 交易金額之0.25%，最低收費為83元人民幣</li> <li>- 交易金額之0.25%，最低收費為83元人民幣</li> <li>- 交易金額之0.25%，最低收費為83元人民幣</li> <li>- 交易金額之0.25%，最低收費為83元人民幣</li> </ul>
<b>買入股票之存入費</b>	免收費用
<b>經手費</b> (由上海交易所收取)	- 交易金額之0.00487%
<b>證管費</b> (由中國證監會收取)	- 交易金額之0.002%
<b>過戶費</b> (由中國結算收取)	- 交易金額之0.002%
<b>過戶費</b> (由香港結算收取)	- 交易金額之0.002%
<b>交易印花稅</b> (只適用於賣出交易) (由國家稅務總局收取)	- 賣貨交易金額之0.1%
<b>股票處理服務</b>	
<b>存入股票</b> (適用於透過交收指示存入股票)	每手 <sup>‡</sup> 均收5元人民幣，最低收費為30元人民幣，最高收費為200元人民幣
<b>股票提取費</b> (適用於透過交收指示過戶)	200元人民幣(以單一股票計算)
<b>代理人服務及企業行動</b>	
<b>公司私有化 / 現金收購 / 代收股息</b> (代收股息費用也適用於投資者選擇以收取股票代替現金股息)	- 交易金額 / 股息總值之0.5%，最低收費為30元人民幣，最高收費為2,000元人民幣(以單一股票計算)
<b>代收紅股股權、供股權 / 公開發售認購，以股份代替現金股息及認股權證</b>	- 每手 <sup>‡</sup> 均收5元人民幣，最低收費為30元人民幣，最高收費為200元人民幣

服務項目	收費
<b>處理實物及交收的服務</b>	
<b>交收指示費</b>	免收費用
<b>轉手紙厘印費</b>	每張轉手紙5港元
<b>跨櫃位股票之調撥收費<sup>*</sup></b>	免收費用
<b>賬戶服務</b>	
<b>股票保管費 (適用於現金買賣戶口及孖展買賣戶口)</b>	- 年費120港元，於每年5月31日收取(只適用於股票戶口在5月31日仍有存貨。若5月31日為星期六或公眾假期，本行會於前一個工作日於閣下的結算戶口扣除此費用)
<b>代理人服務及企業行動</b>	
<b>公司私有化 / 現金收購 / 代收股息</b> (代收股息費用也適用於投資者選擇以收取股票代替現金股息)	交易金額 / 股息總值之0.5%，最低收費為30港元 / 30元人民幣，最高收費為2,000港元 / 2,000元人民幣(以單一股票計算)
<b>代收紅股股權、供股權 / 公開發售認購，以股份代替現金股息及認股權證</b>	每手 <sup>‡</sup> 均收5港元 / 5元人民幣，最低收費為30港元 / 30元人民幣，最高收費為200港元 / 200元人民幣
<b>股票登記</b>	<ul style="list-style-type: none"> <li>- 每手<sup>‡</sup>收取1.5港元</li> <li>- 每張新發股票<sup>‡</sup> 2.5港元</li> </ul>
<b>代理行權實股票登記費</b>	- 每手 <sup>‡</sup> 收取1.5港元 (由CCASS收取)
<b>行使備兌認股證 (由CCASS收取)</b>	每一交易200港元
<b>公司行動服務費 (由CCASS收取)</b>	每手 <sup>‡</sup> 收取0.8港元
<b>借貸及其他服務</b>	
<b>孖展買賣</b>	<ul style="list-style-type: none"> <li>- 年費</li> <li>- 貸款息率 (年利率)</li> <li>- 免收費用</li> <li>- 最優惠利率</li> </ul>
<b>股票提取費 (適用於實物股票提取及股票透過CCASS過戶)</b>	現金證券及孖展證券戶口 每手 <sup>‡</sup> 均收10港元 / 10元人民幣，最低收費為100港元 / 100元人民幣(以單一股票計算) 另加CCASS實物股票提取費用(每手3.5港元)  只適用於股票戶口用作抵押貸款用途 200港元 / 200元人民幣(以單一股票計算) 另加CCASS實物股票提取費用(每手3.5港元)
<b>辦理未領取之股息</b>	每宗200港元
<b>行使紅股股權 / 認股權證手續費</b>	免收費用

## 中國建設銀行(亞洲)股份有限公司

### 證券買賣服務收費表

2020年11月16日生效

服務項目	收費
<b>證券買賣服務 (香港證券)</b>	
<b>證券交易服務</b>	
<b>買賣經紀佣金<sup>†</sup></b>	
<ul style="list-style-type: none"> <li>透過自動化交易渠道<sup>Ⓛ</sup> <ul style="list-style-type: none"> <li>◆ 個人及商業客戶</li> <li>◆ 公司客戶</li> </ul> </li> <li>透過專人接聽熱線或分行櫃位<sup>Ⓜ</sup> <ul style="list-style-type: none"> <li>◆ 綜合理財客戶</li> <li>- 「貴賓晉裕」客戶</li> <li>- 「貴賓理財」客戶</li> <li>- 「樂年理財」客戶</li> <li>- 「尊尚盈商」客戶</li> <li>- 「智選盈商」客戶</li> <li>- 「智選理財」客戶</li> <li>◆ 「證券孖展買賣服務」客戶</li> <li>◆ 個人、商業及公司客戶</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>- 交易金額之0.18%，最低收費為100港元 / 83元人民幣</li> <li>- 交易金額之0.25%，最低收費為100港元 / 83元人民幣</li> <li>- 交易金額之0.18%，最低收費為100港元 / 83元人民幣</li> <li>- 交易金額之0.18%，最低收費為100港元 / 83元人民幣</li> <li>- 交易金額之0.25%，最低收費為100港元 / 83元人民幣</li> <li>- 交易金額之0.25%，最低收費為100港元 / 83元人民幣</li> <li>- 交易金額之0.25%，最低收費為100港元 / 83元人民幣</li> <li>- 交易金額之0.25%，最低收費為100港元 / 83元人民幣</li> <li>- 交易金額之0.18%，最低收費為100港元 / 83元人民幣</li> <li>- 交易金額之0.25%，最低收費為100港元 / 83元人民幣</li> </ul>
<b>買入股票之存入費</b>	- 免收費用
<b>認購新股</b>	- 交易金額之1%
<ul style="list-style-type: none"> <li>買賣經紀佣金</li> <li>透過互聯網、專人接聽熱線或分行櫃位認購新股申請費</li> <li>- 「貴賓晉裕」客戶</li> <li>- 其他客戶</li> <li>存入股票</li> </ul>	<ul style="list-style-type: none"> <li>- 免收費用</li> <li>- 每份50港元 / 50元人民幣(不還退)</li> <li>- 免收費用</li> </ul>
<b>證券月供投資計劃手續費</b>	劃一50港元 / 月供款金額 / 子計劃(已包括佣金, 印花稅, 交易徵費及交易費)
<b>交易徵費 (由香港證監會收取)</b>	交易金額之0.0027%
<b>投資者賠償徵費 (由香港證監會收取如適用)</b>	交易金額之0.002%
<b>交易費 (由香港交易所收取)</b>	交易金額之0.005%
<b>印花稅 (由香港特區政府收取)</b>	每1,000港元繳付1港元, 不足千元之數亦作千元計
<b>處理實物及交收的服務</b>	
<b>CCASS股票交收費</b>	免收費用
<b>款項交收費 (由CCASS收取)</b>	免收費用
<b>存入股票</b>	適用於透過交易指示存入股票 免收費用 適用於實物股票存入 每手 <sup>‡</sup> 均收5港元 / 5元人民幣，最低收費為30港元 / 30元人民幣，最高收費為200港元 / 200元人民幣