國泰海通 GUOTAI HAITONG | 國泰君安國際 GUOTAI JUNAN INTERNATIONAL

GUOTAI JUNAN SECURITIES (HONG KONG) LIMITED

HONG KONG MARKET FEES SCHEDULE (Effective from 1 October, 2026)

(A) TRADE-RELATED SERVICES	
Items	Charges
Stamp Duty (Collected by HKSAR Government)	0. 10% of transaction amount (roundup to the nearest HKD dollar)
Trading Fee (Collected by HKEX)	0. 00565% of transaction amount
SFC Transaction Levy (Collected by SFC)	0. 0027% of transaction amount
AFRC Transaction Levy (Collected by AFRC)	0. 00015% of transaction amount
Clearing Fee (Collected by HKSCC)	0. 0042% of the transaction amount
CCASS DVP Settlement Charges (Collected by HKSCC)	0. 002% of the transaction amount; Min HKD2, Max HKD100
Italian Financial Transactions Tax (applicable to shares issued by companies resident in Italy) (Collected by Italian tax authorities)	Daily net purchased shares X weight average purchasing price x 0.20%
Force Buy-In	0. 50% of market value at close; and related charges (Collected by HKEX, HKSCC)

(B) SCRIP HANDLING AND SETTLEMENT-RELATED SERVICES	
Items	Charges
Physical Scrip Deposit Charge	Free
Transfer Deed Stamp Duty (Collected by HKSAR Government)	HKD5 for each transfer deed
Deposit Fee through CCASS Deposit (SI)	Free
Scrip Fee Chargeable at Book Close Dates - Stocks with dividend/right/bonus Received (Collected by HKSCC)	HKD1.50 per board lot
Physical Scrip Withdrawal	HKD5.00 / board lot; Min HKD50; and HKD50 / stock
Scripless Shares Delivery through CCASS (SI)	0.002% of the previous closing total value; Min HKD2 per stock; and additional handling fee HKD500 per stock
Settlement through Investor Participant (ISI)	0.002% of the previous closing total value; Min HKD2 per stock; and additional handling fee HKD500 per stock

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(C) INFORMATION-RELATED SERVICES	
Items	Charges
Real-Time Quote System (Monthly Fee) (Collected by Information Service Provider)	TSCI (Mainland / Overseas): HKD240 / HKD440 Qian Long (Mainland / Overseas): HKD200 / HKD320 AA Stocks QuoteWinner (Mainland/Overseas): HKD220 / HKD340 AA Stocks 2007 (Mainland/Overseas): HKD220 / HKD520

(D) NOMINEE SERVICES AND CORPORATE SERVICES	
Items	Charges
Dividend Collection Charge	Dividend amount 0.12%; Min HKD2, Max: HKD5,000; and HKD50 Handling charge per stock
Right Issue Entitlement Charge	HKD50 Handling charge per stock
Bonus Issue	HKD50 Handling charge per stock
Cash / Special / Open / Condition Offer Charge	HKD0.8 per lot; Scrip Fee HKD1.50 per lot (Collected by HKSCC); and HKD50 Handling charge per stock
Rights / Warrant exercise	HKD0.8 per lot; and HKD50 Handling charge per stock
SPAC Shares Redemption / De-SPAC	HKD500 Handling charge per stock

(E) FINANCING AND OTHER SERVICES	
Items	Charges
Handling Charge for Unclaimed Entitlement	HKD1,000 + HKD100 per announcement
New Share Application	HKD50 per stock
New Share Application with financing facility	HKD100 per stock
Stop Payment Charge / Returned Cheque Charge (Collected by Settlement Bank)	HKD200 per transaction
Local Fund Transfer (Collected by Settlement Bank)	HKD60 per transaction (Except Standard Chartered Bank, HSBC, Hang Seng Bank, Bank of China (Hong Kong), China Merchants Bank-Hong Kong Branch)
Local Fund Transfer (USD, EUR & CNY) (Collected by Settlement Bank)	HKD60 per transaction
Remittance (Collected by Settlement Bank)	HKD160 per transaction
Share Transfer by Bought & Sold Note	0.1% of previous market value (Min equivalent HKD250) per side + stamp duty (if any) (Collected by HKSAR Government)

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Physical Statement	HKD100 per half year; charge in Jan & Jul
Re-issue of non-current month statement of account	Within 3 months : Free Over 3 months : HKD100 per month
Provision of copy of customer's information/documents	HKD50 per page
Cheque copy retrieval (Collected by Settlement Bank)	HKD 50 per copy (Subject to bank for the actual amount)
Handling Charge for Assets Verification	HKD200 per document
Margin account financing charge	Fixed Interest Rate: Prime rate plus 1.5% per annum (Apply to new margin accounts opened on or after 3 Oct 2022) Additional Margin Call Interest Rate: 5% per annum
Cash account overdue interest	Prime rate + 8% per annum
Employee Stock Ownership Plan Services Handling Fee	HKD100 per person each time
Stock Segregated Account Maintenance Fee	HKD120 per year; charge in Jan

The above charges were correct at the time of release but remain subject to change, our company reserves the right to introduce charges not included. For your own interest, please seek confirmation of the prevailing charge related to the service you need at any time.

For the latest fee schedule, please visit our official website at www.gtjai.com or contact your Relationship Manager.