



**寶新證券**  
GLORY SUN SECURITIES

## Service Fees and Charges

(Effective on November 27, 2023)

The information on this document is for customer's reference with regard to the fees and charges for transactions or services offered by the Glory Sun Securities Limited ("GSSL"). GSSL reserves the right to revise, add or replace any fees, special offers and other services, and disclosures from time to time. Before execution of transactions, Client shall refer to GSSL's website for the latest fees and charges & disclosures. For further enquiries, please contact our customer hotline: (852) 2379 8888.

In addition to the charges listed in this service fee schedule, other charges may also be involved; the Company reserves the right to adjust, increase and/or modify any of the charges listed at any time without prior notice.

Other relevant costs, expenses, fees or interest which may be levied 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 Chinese version shall prevail.

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# Stocks

Items		Fees and Charges		Descriptions
Hong Kong Stocks				
Commission	Internet Orders	As low as 0.05%		Min. HKD 50
	Phone Orders	As low as 0.15%		Min. HKD 100
Commission for Grey Market (Phone Orders)		As low as 0.15%		Min. HKD 100
Cash / Custodian Account Overdue Interest		P+6%		Calculated by simple interest on daily basis
Margin Account Lending Rate		As low as 4.88%		
Stamp Duty#		0.1%		Rounded up to the nearest dollar
SFC Transaction Levy#		0.0027%		Rounded up to the nearest cent
Trading Fee#		0.00565%		Rounded up to the nearest cent
CCASS Fee #		0.004%		Min. HKD 3, Max. HKD 200
AFRC Transaction Levy#		0.00015%		Rounded up to the nearest cent
<b>Remarks:</b> For the same securities to be traded on the Internet Platform and the Mobile Platform separately, the trades will not be consolidated for calculation of commission charge.				
# If Client's order is executed on the exchange in multiple tranches (trades), the Fee will be calculated on the bases of each executed trade.				
Global Stocks				
Commission	Shanghai-HK/ Shenzhen-HK Stock Connect Trading Services	Internet Orders	As low as 0.05%	Min. RMB 50
		Phone Orders	As low as 0.15%	Min. RMB 100
	US Stocks	Internet Orders	As low as 0.15%	Min. USD 0.008 per share or USD 15 per order (whichever higher)
		Phone Orders	As low as 0.25%	Min. USD 0.015 per share or USD 25 per order (whichever higher)
	Other Overseas Stocks		As low as 0.25% - 0.5%	
Other Fees and Charges		Subject to overseas counterparties and exchanges		-

### Physical Scrip and CCASS Depository Services

Physical Scrip	Withdrawal	HKD 17.5 per board lot	Min. HKD 250
	Deposit	HKD 5 per certificate / transfer deed	<b>Additional charge of HKD 5 per certificate / transfer deed for deposit of 11 certificates / transfer deeds or more</b>
Settlement Instruction (S.I.)	Withdrawal	0.25% of market value of each stock	Min. HKD 500, (per stock)
	Deposit	Waived	-
Investor Settlement Instructions (ISI)		Waived	-
Compulsory Share Buy-back		HKD 200 per transaction	Exclude other charges from Clearing house
Statement Service Account (SSA)		HKD 50 per month	-

### Nominee Services and Corporate Actions

Scrip Fee	HKD 3 per board lot	-
Transfer Deed Stamp Duty	HKD 5 per transfer deed	-
Collection of Bonus Issue	Waived	-
Share Consolidation / Split	Waived	-
Handling of Rights Issue, Cash/Scrip Offer	HKD 100 per transaction + additional charge of HKD 2 per board lot	-
Collection of Cash/Scrip Dividend	0.5% of cash dividend amount	Min. HKD 30
Dividend Claim	a) 0.5% of dividend amount	Min. HKD 30
	b) HKD 200 per claim + HKD 10 per board lot	Scrip fees are included and non-refundable,
	c) HKD 200 clearing fee	Applicable to shares held until dividend payment day

### IPO Application

IPO Application	Cash	Internet Orders	HKD 50	Non-refundable
		Phone Orders	HKD 100	
	Margin	Internet Orders	HKD 100	
		Phone Orders	HKD 100	
IPO Grey Market	Commission	Phone Orders	As low as 0.15%	Min. HKD 100

# Funds

<u>Items</u>		<u>Fees and Charges</u>
Transfer Fee	Transfer In	Waived
	Transfer Out	HKD 200 + AUM 0.01%
Custodian Fee/Platform Fee		Negotiable and subject to relevant fund's terms and conditions
Subscription Fee		Negotiable and subject to relevant fund's terms and conditions, up to 5%
Redemption Fee		Negotiable and subject to relevant fund's terms and conditions
Switching Fee		Negotiable and subject to relevant fund's terms and conditions, up to 1% (same Fund House)
<p>Notes: Some Fund Houses require Min. Subscription/Redemption/Switching amount.</p> <p>* For payment settled by foreign currency or Telegraph Transfer, bank handling fee may be charged from the redemption proceeds (Subject to Bank charges)</p>		

# Bonds

<u>Items</u>		<u>Fees and Charges</u>
Transaction Fee		According to the Bid-Ask Quotation, no more than 5% of the investment amount
Custodian Fee/Platform Fee		0.05% of nominal value per annum, charged on monthly basis (Min. HKD 100 per month)/Up to 0.3% p.a. (subject to Custodian charges)
Transfer Fee	Transfer In	Waived
	Transfer Out	0.25% of nominal value or USD65 (whichever is higher)
Collection of Coupon Interest		0.5% of Coupon Interest Amount or HKD30 (whichever is higher)
Bond Redemption / Early Redemption / Automatic Redemption		HKD100 per instruction

## Other Service Fees

<u>Items</u>	<u>Fees and Charges</u>		<u>Descriptions</u>
Mailing Statement (Daily/Monthly)	HKD 50 per month		-
Securities balance or account certificate fee	HK 100 per account per certificate		-
Statements Re-print	Last 6 months	Waived	Applicable to statements issued within 7 years
	Over 6 months	HKD 50 for each daily/monthly statement	
Bank service fees	Local Cheque Withdrawal	Waived	
	Local Transfer Withdrawal	Charged according to the actual charges of the relevant bank	
	Local Foreign Currency Withdrawal	Charged according to the actual charges of the relevant bank	
	Local CHATS Withdrawal	Charged according to the actual charges of the relevant bank, Min. HKD 1000 / USD 130	
	International Wire Transfer Withdrawal	Charged according to the actual charges of the relevant bank, Min. HKD 1000 / USD 130	
Currency exchange service charges	No more than 1% (Calculated based on the Bid-Ask Price by the bank at the time of instruction)		
Returned Cheque	HKD 200 per transaction		
Termination of payment fee	HKD 200 per transaction		

## Disclosure of Monetary Benefits

<u>Products</u>	<u>Monetary Benefits / Trading Profits made by GSSL and/or its associate</u>
Bonds (New Issue)	Commission Rebate: Up to 3% of the total nominal value
Bonds (Secondary Market)	Trading Profit: Up to 5% of the investment amount
Funds	Initial Commission Rebate: Up to 3% of the subscription amount
	Trailer Fee: Up to 1% (p.a.) of Fund value (ongoing commission every year throughout the term of investment)
Leveraged and Inverse Products	Commission Rebate: Up to 0.05% of turnover