

# Lighthouse Capital (HK) Financial Limited

## 光源資本(香港)金融有限公司

### Trading Tariff 交易收費表

Fee and Classification 費用及收費類別	Percentage/Amount 比率/金額
<b>(A) Securities Trading 證券交易服務</b>	
Commission Fee 經紀佣金	0.25% (standard rate per each transaction, minimum HK\$80.00) 0.25% (每宗交易最低收費標準為港幣 80 元) negotiable if transactions volume is sufficient 如交易額多者可面議
Levy (charged by SFC) 交易徵費(證監會收費)	0.0027% on trading amount 交易金額的 0.0027%
Trading Fee (charged by SEHK) 交易費(香港交易所收費)	0.00565% on trading amount 交易金額的 0.00565%
Stamp duty 政府印花稅	0.1% on trading amount 交易金額的 0.1% Note 備註: 1) paid by buyer and seller 買賣雙方均須繳付 2) payment roundup to HK\$1.00 該款項中不足港幣 1 元之數, 須當作港幣 1 元計算
CCASS Settlement Fee 中央結算股份交收費	0.004% (per trade match, minimum HK\$4.00) Each Client transaction is matched with one or more counterparties. Hence CCASS fee is calculated per trade match 每宗聯交所買賣配對宗數之 0.004% (最低收費為港幣 4 元) 按聯交所規定, 客戶每宗交易成交會與一個或多個對手配對, 而中央結算費會按聯交所買賣配對宗數來計算
AFRC Transaction Levy 會財局交易徵費	0.00015% on trading amount (rounded to the nearest cent) 交易金額的 0.00015% (計至最接近的仙位數)
<b>(B) Physical shares and/or Settlement 處理實物股票及交收的服務</b>	
Physical Share Deposit 存入實物股票收費	Stamp duty HK\$5.00 payable to SEHK per each transfer deed 收費支付交易所轉手釐印費, 每張轉手紙收港幣 5 元
Withdrawal of Physical Share 提取實物股票收費	HK\$5.00 per lot and HK\$50.00 handling fee for each share category 每手港幣 5 元, 另每種股票收手續費港幣 50 元
Settlement Instruction (SI)/ Investor Settlement Instruction (ISI) (Apply for share transfer out) 交收指示費(適用於轉出股票)	0.01% on market value of each kind of share (minimum HK\$20.00) 按每種股票上日收市價計之貨值的 0.01%(最低收費為港幣 20 元)
Mandatory Cash Offer 強制性補購股份收費	Handling fee HK\$100.00 and all other charges from Clearing house & related party(ies) 本公司手續費(港幣 100 元)另加上結算公司買入股票有關罰款及費用)
<b>(C) Account Fee 帳戶服務</b>	
Custody Fee 託管費	Waive 豁免
Margin Share Custody Fee 抵押股票託管費	Waive 豁免
<b>(D) Nominee &amp; Corporate Action Fee 代理人服務及企業行動</b>	
Scrip Fee 登記過戶費(在截止過戶日期)	HK\$1.50 per lot 每手港幣 1.5 元
Dividend Payment 代收現金股息費	0.5% on dividend payment (Min. HK\$25.00)& CCASS charge (Dividend paymentx0.12%) 按股息金額 0.5%計算(最低收費為港幣 25 元) 另加上中央結算收費(股息金額x0.12%)
Bonus share 代收紅股收費	Waive 豁免

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Received subscribed shares 代收供股權收費	Waive 豁免
Share split/combine/voting 處理股票拆細、合併、公司 投票收費	Waive 豁免
Rights subscription 代客行使供股權收費	HK\$100.00 for each subscription & CCASS charges (HK\$0.8 per lot) 每次收費港幣 100 元另加上中央結算公司收費 (每手收港幣 0.8 元)
Additional rights subscription 申請額外供股權收費	HK\$100.00 for each subscription & CCASS charges (HK\$0.8 per lot) 每次收費港幣 100 元另加上中央結算公司收費 (每手收港幣 0.8 元)
Warrant exercise/ privatization/share offer 行使認股權證、公司私有化、 收購費	0.25% (min. HK\$100.00) & CCASS charges (HK\$0.8 per lot) 0.25% (最低收費港幣 100 元) 另加上中央結算公司收費(每手收港幣 0.8 元)
Transfer of share ownership in Share registration 在股份登記處辦理轉名收費	HK\$5.00 per lot & handling fee HK\$50.00 on each kind of share 每手港幣 5 元，另每種股票收手續費港幣 50 元
Claim for non-receipt rights 代申請索還未領取權益收費	Minimum HK\$600.00 & CCASS charges 每單手續費至少港幣 600 元 另加上 中央結算公司收費
Handling Fee for B/S Note 代客辦理股份轉讓協議書收費	Handling charges HK\$1,000.00 for each B/S Note 每宗股份轉讓協議書手續費港幣 1,000 元
<b>(E) Others 其他服務</b>	
EIPO subscription (via CCASS) 認購新股手續費(經中央結算系 統)	HK\$50.00 港幣 50 元
IPO subscription (margin finance) 認購新股手續費(貸款認購)	HK\$120.00 港幣 120 元
Interest on margin finance 認購證券的借貸利息收費	according to Market Rate 因市場利率而定
Cash client late settlement interest (p.a.) 現金帳戶過期利息(年息)	Prime rate + 6.5% (Prime rate according to HSBC quoting, update accordingly) 最優惠利率 + 6.5% (不定時變更；最優惠利率以匯豐銀行公報利率為準)
Margin client debt balance interest (p.a.) 保證金帳戶欠款利息(年息)	Prime rate + 6.5% (Prime rate according to HSBC quoting, update accordingly) 最優惠利率 + 6.5% (不定時變更；最優惠利率以匯豐銀行公報利率為準)
Re-print Daily/Monthly statement 重印 成交日結單/月結單	Nearest 3 months - waive (最近 3 個月 - 免費) 3 months before - HK\$100.00(多於 3 個月 100 元)
Withdrawal Fee 提款收費	- Cheque - waive (支票 - 免費) Telegraphic transfer (TT) and local transfer (CHATS) - according to bank charge 海外電匯(TT)及銀行跨行即時轉款(CHATS) - 根據銀行收費 - Exchange rate according to bank rate when execution (limited to currency accepted by bank in Hong Kong) 匯率按當時銀行牌價收取(只限香港銀行可自由對換之外幣)
Real Time Quote Fee 網上串流報價收費	HK\$350.00 per month 月費港幣 350 元
Letter of confirmation on asset 資產證明信函	HK\$200.00 per letter 每封信港幣 200 元
Return Cheque / Stop Cheque Payment 退票費用 / 申請終止支票過戶	HK\$100.00 per cheque 每張支票收費港幣 100 元