

Basic Transaction Cost

Hong Kong Shares	
Brokerage	0.25% of Transaction Amount (Min HKD 100)
Stamp Duty	HKD 1 per HKD 1,000 Transaction Amount
Transaction Levy	0.0027% of Transaction Amount
Trading Fee	0.005% of Transaction Amount
CCASS Fee	0.01% of Transaction Amount, 0.002% is collected by HK Clearing (MinHKD 3, MaxHKD 300)
Stock Custody Fee ⁵ (Effective on OCT 2018)	Waived (All clients with Hong Kong stocks holding less than 5,000 board lots are eligible to this waiver. Ineligible clients: HKD0.012 per board lot per month. Fee collected on behalf of CCASS)

Shanghai-Hong Kong Stock Connect/ Shenzhen-Hong Kong Connect¹	
Brokerage (Online Trading) ⁵	0.08% of Transaction Amount (Min CNY 60)
Brokerage (Offline Trading)	0.25% of Transaction Amount (Min CNY 100)
Handling Fee	0.00487% of the consideration of a transaction per side
Management Fee	0.002% of the consideration of a transaction per side
Transfer Fee (ChinaClear)	0.002% of the consideration of a transaction per side
Transfer Fee (CCASS)	0.002% of the consideration of a transaction per side
Stamp Duty	0.1% of the consideration of a transaction on the seller
Portfolio Fee	Daily Stock Portfolio Value x 0.008% / 365 (Accrued daily and collected on a monthly basis)
Interest for Late Payment	6.5% p.a.

Stock Options Transaction Cost

Stock Option	
Brokerage (Commission rebate will process on next month within 5 working days)	Waived
Covered Call Open ⁵	Waived (with the corresponding stock in stock option account for covered)
Covered Put Open ⁵ (Effective on 11 Mar 2019)	Waived (Should deposit 100% proceed for stock assignment in Stock Option Account for cover put)
Transaction of monthly commission above HKD 30,000 ⁵	Waived (Excluding stock assignment/exercise's commission. Maximum monthly commission is HKD 30,000)
Long Open Contracts (6 lots or below)	
Long Call/Put Open or Short Call/Put Close ⁹	HKD 15 per Lot (For each trade less than 6 Lots)
Other	Premium x share quantity x 0.25% (Min. HKD 100)
Transaction Levy	HKD 3 per Lot or HKD1 or HKD 0.5 per Lot (Determined and collected by Options Clearing House)

SBL Transaction Cost

SBL	
IRO Registration Fee	HKD 270 (Charge once only)
Loan Fee	Depend on borrowing value and annual interest rate agreed. Minimum loan fee (Hong Kong Shares: HKD200, Shanghai-Hong Kong Stock Connect: CNY200)
Borrowing Value	No minimum requirement (at least one lot)

Investment Funds Transaction Cost

Subscription/ Redemption/ Switching/ Management/ Other fees	Please refer to respective prospectus of the fund (Some Fund House requires Min. Subscription/Redemption/Switch Amount)
Transfer Fee	From other company to Phillip - Waive From Phillip to other company - HKD200 + Market value of the fund 0.1%

Bonds Transaction Cost

Bonds	
Custody fee	Minimum HKD25 per month, equivalent to 0.05% of nominal value / annum
Handling fee	0.15% of Consideration (Except 0.10% of Consideration, for Investment Grade)
Handling of Delivery	HKD 400
Interest Collection & Maturity Redemption Fee	Waived

Futures Transaction Cost (Negotiable Commission)

Hang Seng Index Futures	
Commission	Day Trade: HKD 50.5 per Lot per Side Over Night: HKD 90.5 per Lot per Side Night Session Promotion ⁵ : HKD18 per Lot per Side (Online Trading)
Exchange Fee & Levy	HKD 10.54 per Lot per Side
Settlement Fee	HKD 100 per Lot
Mini Hang Seng Index Futures	
Commission	Day Trade: HKD 30 per Lot per Side Over Night: HKD 50 per Lot per Side Night Session Promotion ⁵ : HKD5 per Lot per Side (Online Trading)
Exchange Fee & Levy	HKD 3.6 per Lot per Side
Settlement Fee	HKD 53.5 per Lot

Futures Transaction Cost (Negotiable Commission)

Hang Seng Index Options	
Commission	Premium x 2% - HKD 9.5 (Min HKD 40.5, Max HKD 90.5) Night Session Promotion ⁵ : Long: HKD 10 per Lot per Side; Short: HKD 30 per Lot per Side (Online Trading)
Exchange Fee & Levy	HKD 10.54 per Lot
Settlement Fee	In the Money: HKD 10 per Lot Out of Money: Free
Mini Hang Seng Index Options	
Commission	Premium x 2% (Min HKD 30, Max HKD 60) Night Session Promotion ⁵ : Long: HKD 5 per Lot per Side; Short: HKD 15 per Lot per Side (Online Trading)
Exchange Fee & Levy	HKD 2.1 per Lot
Settlement Fee	In the Money: HKD 2 per Lot Out of Money: Free
H - Share Index Futures	
Commission	Day Trade: HKD 48 per Lot per Side Over Night: HKD 88 per Lot per Side Night Session Promotion ⁵ : HKD8 per Lot per Side (Online Trading)
Exchange Fee & Levy	HKD 4.04 per Lot per Side
Settlement Fee	HKD 87.5 per Lot
Mini H - Share Index Futures	
Commission	Day Trade: HKD 12 per Lot per Side Over Night: HKD 20 per Lot per Side Night Session Promotion ⁵ : HKD5 per Lot per Side (Online Trading)
Exchange Fee & Levy	HKD 2.1 per Lot per Side
Settlement Fee	HKD 27 per Lot
H - Share Index Options	
Commission	Online Trading: Premium x 1% (Long: HKD 10 per Lot per Side; Short: HKD 30 per Lot per Side) Office Trading: Premium x 2% (Min HKD 47, Max HKD 97)
Exchange Fee & Levy	HKD 4.04 per Lot
Settlement Fee	In the Money: HKD 3.5 per Lot Out of Money: Free
Mini H - Share Index Options	
Commission	Online Trading - Premium x 2% (Min HKD5, Max HKD20) Offline Trading - Premium x 2% (Min HKD20, Max HKD40) Night Session Promotion ⁵ : Long: HKD 5 per Lot per Side; Short: HKD 15 per Lot per Side (Online Trading)
Exchange Fee & Levy	HKD 1.54 per Lot
Settlement Fee	In the Money: HKD 1 per Lot Out of Money: Free
Stock Futures	
Commission	Day Trade: HKD 30 per Lot per Side Over Night: HKD 30 per Lot per Side
Exchange Fee	HKD 3.6 per Lot per Side
Settlement Fee	HKD 53.5 per Lot
RMB Currency Futures	
Commission	Day Trade: RMB 40 per Lot per Side Over Night: RMB 70 per Lot per Side
Exchange Fee & Levy	RMB 8 per Lot
Physical Delivery Fee	RMB 500 per Lot
CES China 120 Index Future (CHH)	
Commission	Day Trade: HKD12 per Lot per Side Over Night: HKD20 per Lot per Side
Exchange Fee & Levy	HKD10.54 per Lot per Side
Settlement Fee	HKD27 per Lot
Sector Index Futures	
Commission	Day Trade: HKD20 per Lot per Side Over Night: HKD10 per Lot per Side
Exchange Fee & Levy	HKD2.54 per Lot per Side
Settlement Fee	HKD42 per Lot
EUR/CNH Futures, JPY/CNH Futures, AUD/CNH Futures	
Commission	Day Trade: RMB30 per Lot per Side Over Night: RMB50 per Lot per Side
Exchange Fee & Levy	RMB5 per Lot per Side
Settlement Fee	RMB50 per Lot
CNH/USD Futures	
Commission	Day Trade: USD3 per Lot per Side Over Night: USD5 per Lot per Side
Exchange Fee & Levy	USD0.6 per Lot per Side
Settlement Fee	USD5 per Lot
CNH/USD Option	
Commission	Day Trade: RMB70 per Lot per Side Over Night: RMB70 per Lot per Side
Exchange Fee & Levy	RMB8 per Lot per Side
Physical Delivery Fee	RMB500 per Lot
Gold Futures (CNH/USD)	
Commission	Day Trade: RMB 38/ USD 6 per Lot per Side Over Night: RMB 50/ USD 8 per Lot per Side
Exchange Fee*	RMB 6/ USD 1 per Lot per Side
Levy*	RMB 0.5/ USD 0.07 per Lot per Side
Settlement Fee*	RMB 12/ USD 2 per Lot per Side
Physical Delivery Fee	We do not support physical delivery at the moment

Other Fees & Charges

Dividend Collection / Scrip Dividend Collection (Local Stock)²		Dividend Claim	
Collection Fee	0.5% of Total Div. Amount (0.12% collected by HK Clearing) (Min. HKD 30, Max. HKD 2,500)	Handling Charges	1) Mini HKD 400/ Case + 2) 0.5% of Total Div. Amount (Min. HKD 30, Max. HKD 2,500) (HKD 200 is collected by HK Clearing; Additional fees may be applied in special cases)
Scrip Fee	HKD 2.5/ Lot (HKD 1.5 is collected by HK Clearing)	Penalty Compulsory Buyback	
Dividend Collection / Scrip Dividend Collection (Local Stock Option)		Handling Charges	0.5% of Transaction Amount and other fees (Collected by HK Clearing)
Collection Fee	0.5% of Total Div. Amount (Min. HKD 30, Max. HKD 2,500)	IPO Application/ Stop Cheque	
Handling Charges	HKD 30	Handling Charges	HKD 100
Scrip Fee	HKD 2.5/ Lot (HKD 1.5 is collected by HK Clearing)	Returned Cheque	
Rights Collection		Handling Charges	HKD 100 and related bank interest
Scrip Fee	HKD 2.5/ Lot (HKD 1.5 is collected by HK Clearing)	Duplicate Copy of Statement	
Rights Subscription		Within 3 months	Free
Handling Charges	HKD 30	Beyond 3 months	HKD 30/ Set
Corporation Action Fee	HKD 1.2/ Lot (HKD 0.8 is collected by HK Clearing)	Interest Rate on Credit Balance	
Warrant / Covered Warrant Conversion		Credit Balance	0%
Handling Charges	HKD 30	Interest for Late Payment	
Corporation Action Fee	HKD 1.2/ Lot (HKD 0.8 is collected by HK Clearing)	Cash Account	HKD Prime Rate ² + 5%
Accept Cash Offer		Margin Account	HKD Prime Rate ² + 3%
Handling Charges	HKD 30	Custodian Account	HKD Prime Rate ² + 10%
Corporation Action Fee	HKD 1.2/ Lot (HKD 0.8 is collected by HK Clearing)	Grade Based Margin Interest¹	
Stamp Duty	HKD 1 per HKD 1,000 Transaction Amount	Grade 1 Stock Margin Value	On the First HKD50,000 2.875% (HKD Prime Rate ² - 2.5%) On the Next HKD50,000 or above 4.875% (HKD Prime Rate ² - 0.5%)
SI Fee – via CCASS		Other Stock Margin Value	8.375% (HKD Prime Rate ² + 3%)
Stock Deposit	Free	Call For Deposit	10.375% (HKD Prime Rate ² + 5%)
Stock Withdrawal	1) Stock Value 0.01% or Min. HKD 3 (0.002% collected by HK Clearing) 2) Handling Charges HKD 200 per stock	Reference Letter	
ISI Fee – via Investor Participant		Handling Charges	HKD 100
Stock Deposit	Free	CCASS Stock Segregation Account	
Withdrawal	HKD 20/ Stock	Handling Charges	HKD 120 (Annual)
Italian Financial Transaction Tax (Collected for Italian Government)		Multi-counter Transfer Instruction	
Government Tax	0.10% (Italian companies with market capitalization of more than Euro 500m and listed in Hong Kong)	Handling Charges	HKD 10 per each effected (HKD 5 is collected by HK Clearing)
US Person - FATCA Administration Fee (On account basis)		Remittance	
Handling Charges	HKD 5500 (per calendar year)	CHATS	HKD 150
Stock Deposit – Physical		Telegraphic Transfer ¹⁰	HKD 400
Stamp Duty	HKD 5/ Pcs (For beneficial owner only, collected by HK Revenue Department)	Hong Kong Shares Proxy Voting³	
Deposition Fee	Free	Handling Charges	HKD 100 per stock
Stock Withdrawal – Physical		Statement Administrative Fee	
Handling Charges	HKD 100	Administrative Fee	Paper statement : HKD 20 per month ⁴ (Each Category will charged quarterly ⁶) E-statement : Free
Action Charges	HKD5/ Lot (HKD 3.5 is collected by HK Clearing)		

PHILLIP SECURITIES GROUP

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Remark:

- Fees are charged in CNY for the Hong Kong shares settled in CNY
- Standard Chartered Hong Kong Dollar Prime Rate
- The handing charge of Hong Kong Shares Proxy voting fee will be effective on 1 AUG 2018
- Charges will be waived for existing customers aged 65 or above.
- For online trading and E-statement clients only
- HK Stocks, Global Stocks, Stock Options, Futures, Foreign Futures and Forex will be each deemed as one category.
- For local stock and Grade Based Margin client only.
- Please visit our website for transaction cost of Bonds, Investment Funds and Regular Saving Plan.
- All new pricing above with effective on 2nd May 2019, for online trading and E-statement clients only
- The administration fees will be applied if clients withdraw fund except to the local bank in HKD, CNY and USD; or the transfer will be taken by Telegraphic Transfer.

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Global Network : Singapore Hong Kong China US Japan UK France Australia Malaysia Thailand Indonesia Sri Lanka Turkey India Cambodia UAE

AMERICAS			ASIA PACIFIC & SOUTH ASIA REGIONS		
U.S. Shares			Singapore Shares		
Item	Exchange	Description of fees	Item	Description of fees	
Brokerage	NYSE NASDAQ	(Electronic Trading Platforms) 0.18% of Transaction Amount or Minimum commission USD18 per order (Phone Dealing) 0.25% of Transaction Amount(Below USD 15,000) 0.20% of Transaction Amount (Equal or above USD 15,000) or Minimum commission USD 20 per order	Brokerage	0.35% per transaction amount less than or equal to 30,000 0.28% per transaction amount greater than 30,000 Or (Min. SGD 33 or USD 23 or HKD 150), whichever higher	
	OTC Bulletin Board, OTC	0.25% of Transaction Amount, Number of Traded shares x USD 0.015 or Min. commission USD 20 per order, whichever is higher. [Effective from 1 March 2017 (trade date)]	Clearing Fee	0.0325% of Transaction Amount (Unlimited)	
SEC Fees	NYSE NASDAQ OTC Bulletin Board, OTC	Rate subject to change irregularly per calendar year based on US SEC policy Minimum USD 0.01 (No maximum limit) Applicable per SELL trade only	Trading Fee	0.0075% of Transaction Amount	
Non DTC eligible Stock clearing Fees	OTC Bulletin Board, OTC	Calculation is based on the different types of OTC stocks; Maximum amount is USD 75 per trade. The chargeable fees may exceed the order consideration.	On-Exchange Transactions - B2C Settlement Fee*	SGD 0.35/ USD 0.26/ EUR 0.32/ HKD 2.00/ AUD 0.36 (depending on denominated currency) per Settlement Instruction	
ADRs Fee	USD 0.01 - 0.05 (Per share per book close collected by the ADR issuers)		On-Exchange Transactions - C2C Settlement Fee*	SGD 30 per Settlement Instruction	
Custody Fee	Free		Off-exchange transactions - Settlement Fee	0.015% of Settlement Amount, minimum of SGD 75 per Settlement Instruction	
Canada Shares			Off-exchange transactions - Settlement Fee	SGD 5 per Settlement Instruction	
Item	Description of fees		Custody Fee		
Brokerage	0.33 % of Transaction Amount Minimum commission CAD 38 per trade, whichever higher (Applicable for all the major stock exchanges inside Canada)		Guarantee Fee for DVP Orders*	1.00 by denominated trade currency per Settlement Instruction (Only applied to DVP orders)	
Custody Fee	Free		Goods and Services Tax (for Singapore Person Announcement)	Subject to Inland Revenue Authority of Singapore(IRAS)	
PAN-EUROPEAN REGION & MIDDLE EAST			*Effective on 01 Feb 2019		
U.K. Shares			Australia Shares		
Item	Description of fees		Item	Description of fees	
Brokerage	0.50% per transaction amount less than or equal to 30,000 0.45% per transaction amount greater than 30,000 or Min. commission (GBP 48 or USD 78 or EUR 60) per trade, whichever higher		Brokerage	0.38% of Transaction Amount, Min. AUD 35, whichever higher	
Stamp Duty	0.5% of Transaction Amount (For BUY trade only)		Custody Fee	Free	
Other transaction fees(if applicable)	PTM Levy, if applicable Flat rate GBP 1.00 (applicable for some U.K. stock with transaction amount more than GBP 10,000) Securities clearing system settlement fees, if applicable		Japan Shares		
Custody Fee	Free		Item	Exchange	Description of fees
NYSE EURONEXT Shares			Brokerage	Tokyo, Mothers, JASDAQ, Osaka, Hercules	0.50% of Transaction Amount (less than or equal to JPY 1,000,000) 0.4% of Transaction Amount (Over JPY 1,000,000) Min. JPY 3,000 whichever higher
Item	Exchange	Description of fees		Sapporo, Nagoya	0.50% of Transaction Amount Min. JPY 3,300 whichever higher.
Brokerage	Netherlands, Belgium France, Portugal	0.30% of Transaction Amount or Min. commission EUR 20 or GBP 17 per trade		For all stock exchanges in Japan	Trading Japan odd-lot shares requires for an additional item of transaction handling fee. For more details, please contact Foreign Stock Department (852) 2277 6678
Other transaction fees(if applicable)	Different based on the policy per country above; Please contact our Foreign Stock Department (852) 22776678 for details.		Custody Fee	Free	
Custody Fee	Free		Thailand Shares		
Germany Shares			Item	Description of fees	
Item	Exchange	Description of fees	Brokerage	0.40% of Transaction Amount (Min. THB 700, whichever higher)	
Brokerage	XETRA Frankfurt Stuttgart, Munich, Berlin, Dusseldorf, Hannburg, Hannover	0.29% of Transaction Amount or Min. commission EUR 30 per trade* 0.40% of Transaction Amount or Min. commission EUR 38 per trade*	VAT Fee & Other Transaction Fees	7.0 % of Brokerage amount as above	
Other transaction fees(if applicable)	Different based on the policy per exchange in Germany; Please contact our Foreign Stock Department (852) 22776678 for details.		Custody Fee	Free	
Custody Fee	Free		South Korea Shares		
* standard pricing not applicable for clients with special agreement			Item	Description of fees	
Switzerland Shares (SIX)			Brokerage	0.35% of Transaction Amount (Min. KRW 20,000 whichever higher)	
Item	Description of fees		Sales Tax	0.25% of Transaction Amount (SELL side only) (Effective from trade date May 30, 2019)	
Brokerage	0.30% of Transaction Amount or Min. commission CHF 45 per trade		Custody Fee	Free	
Other transaction fees(if applicable)	Please contact our Foreign Stock Department (852) 22776678 for details		China Shanghai B Shares (Trading Currency: USD)		
Custody Fee	Free		Item	Description of fees	
Turkey Shares (IMKB)#			Brokerage	0.30% of Transaction Amount (Min. USD 30 whichever higher)	
Item	Description of fees		Stamp Duty	0.1% of Transaction Amount (SELL trade only)	
Brokerage	0.30% of Transaction Amount or Min. commission Turkish Lira(TRY) 33 per trade		Levy	0.026% of Transaction Amount	
VAT Fee	5.0 % of Brokerage amount as above		Settlement Fee	0.05% of Transaction Amount	
Custody Fee	Free		Administration Fee	0.002% of Transaction Amount	
Finland Shares (NASDAQ OMX Nordic)			Custody Fee	Free	
Item	Description of fees		China ShenZhen B Shares (Trading Currency: HKD)		
Brokerage	0.30% of Transaction Amount or Min. commission EUR 28 per trade		Item	Description of fees	
Other transaction fees(if applicable)	Please contact our Foreign Stock Department (852) 22776678 for details		Brokerage	0.30% of Transaction Amount (Min. HKD 150 whichever higher)	
Custody Fee	Free		Stamp Duty	0.1% of Transaction Amount (SELL trade only)	
Ireland Shares (ISE)			Levy	0.0341% of Transaction Amount	
Item	Description of fees		Settlement Fee	0.05% of Transaction Amount (Max. HKD 500)	
Brokerage	0.30% of Transaction Amount or Min. commission EUR 28 per trade		Custody Fee	Free	
Other transaction fees(if applicable)	Please contact our Foreign Stock Department (852) 22776678 for details		Malaysia Shares		
Custody Fee	Free		Item	Description of fees	
Sweden Shares (NASDAQ OMX Nordic)#			Brokerage	0.30% of Transaction Amount (Min. MYR75, whichever higher)	
Item	Description of fees		Stamp Duty	0.1% of Transaction Amount (Max. MYR200) Effective from 01 Mar 2018, some securities are exempted by Malaysia Government from paying stamp duty	
Brokerage	0.30% of Transaction Amount or Min. commission Swedish Krona(SEK) 180 per trade		Clearing Fee	0.03% of Transaction Amount (Max. MYR1,000)	
Other transaction fees(if applicable)	Please contact our Foreign Stock Department (852) 22776678 for details		Custody Fee	Free	
Custody Fee	Free		* Goods and Services Tax imposed by Malaysia Government dated 01 Apr 2015		
#New broking service above effective on 15 OCT 2012			Indonesia Shares		
Remark:			Item	Description of fees	
Other transaction fees include the fees collected by the overseas stock exchange or overseas securities clearing system or securities transaction sales tax chargeable by the overseas Government plus any other fees that may occur without prior notice in advance. Notice may not be available in advance for fees changed by the third party.			Online Brokerage	0.35% of Transaction Amount (Min. IDR 200K whichever higher)	
			Offline Brokerage	0.40% of Transaction Amount (Min. IDR 200K whichever higher)	
			Exchange Fees	0.0430% of Transaction Amount	
			VAT Tax	10% of Brokerage amount as above	
			Withholding Tax	0.10% of Transaction Amount (SELL side only)	
			Custody Fee	Free	
			Philippine Shares		
			Item	Description of fees	
			Brokerage	0.60 % of Transaction Amount (Min. PESO 2,000 whichever higher)	
			VAT Tax	12 % of Brokerage amount as above (Min. PESO 20)	
			Sales Tax	0.6 % of Transaction Amount (SELL trade only)	
			SCCP Fee	0.01% of Transaction Amount	
			Custody Fee	Free	
			Bangko Sentral Registration	flat rate 1,000 PHP	
			Document (BSRD) Fee	(To be charged per side per stock each trading day)	
			Taiwan Shares		
			Item	Description of fees	
			Brokerage	0.25% of Transaction Amount (Min. commission TWD 600)	
			Sales Tax(Only limit to sell orders)	0.3% of Transaction Amount for ordinary shares 0.1% of Transaction Amount for Exchange Traded Fund listing at Taiwan Exchange	
			Trading Fee	TWD 250 (To be charged per side per stock each trading day)	
			(Custodian Bank)		
			Custody Fee	Portfolio amount x 0.12% / 12 (Min. charge HKD 50 per month)	