

## 上海浦東發展銀行香港分行

### 私人銀行業務收費表

版本 4.0 生效日期：2020 年 3 月 18 日

項目	收費
<b>港股證券交易服務</b>	<b>按每項指示之成交金額計算</b>
港股經紀佣金	0.25% 最低：港幣200元
印花稅	0.1% (印花稅金額不足港幣1元亦作港幣1元計)
交易徵費(由證監會收取)	0.0027%
聯交所交易費(由香港交易所收取)	0.005%
香港結算公司結算費	0.002% 最低：港幣 2 元 最高：港幣 100 元
<b>股票處理及交收有關服務</b>	
股票存入費 - 實物股票	轉手紙厘印費, 每張轉手紙港幣 5 元
提取證券費用 - 實物股票	每手港幣 5, 最低收費港幣 30 元
股票經中央結算轉入	豁免
股票經中央結算轉出	中央結算費 0.002% 最低收費港幣 2元, 最高收費港幣 100元 手續費, 每只股票港幣 70 元
股票經中央結算投資者戶口轉入	豁免
股票經中央結算投資者戶口轉出	每一指示港幣 1 元
<b>代理人服務及企業行動</b>	
代收股息 / 以股代息	服務費, 總現金股息的 0.12%, 每只股票最高收費港幣 10,000元 股票過戶費(中央結算所), 每手及每張港幣 1.5元 手續費, 總現金股息的 0.5%, 最低收費港幣 20 元, 最高收費港幣 200 元
代收紅股	手續費, 每只股票港幣 20元 股票過戶費(中央結算所), 每手及每張港幣 1.5元
代履行權責	服務費, 每手港幣 0.8元, 最高收費港幣 10,000元 手續費, 每單港幣 100 元
現金收購	手續費, 每單港幣 100 元
代追收股息	中央結算所費, 每追一期息港幣 200元 手續費, 每追一期息港幣 200 元
股票轉名註冊費用	提貨轉名註冊費, 每手及每張港幣 2.5元 政府印花稅, 每張轉手紙港幣 5元 手續費, 每單港幣 100 元

滬股通	按每項指示之成交金額計算
滬股通經紀佣金	0.25% 最低：人民幣160元
經手費	成交金額 0.00487%
證管費	成交金額 0.002%

過戶費	成交金額的 0.002%，根據中國結算的滬港通規則支付；及 成交金額的 0.002%，根據中央結算系統一般規則支付，作為香港結算提供滬股結算服務之收費
交易印花稅	只收賣方成交金額 0.1%
<b>交收服務費用</b>	
股票經中央結算轉入 (SI)	豁免
股票經中央結算轉出 (SI)	0.002% 最低收費人民幣 2 元，最高收費人民幣 100 元 手續費，每只股票人民幣 70 元

<b>深股通</b>	<b>按每項指示之成交金額計算</b>
深股通經紀佣金	0.25% 最低：人民幣 160 元
經手費	成交金額 0.00487%
證管費	成交金額 0.002%
過戶費	成交金額的 0.002%，根據中國結算的深港通規則支付；及 成交金額的 0.002%，根據中央結算系統一般規則支付，作為香港結算提供深股結算服務之收費
交易印花稅	只收賣方成交金額 0.1%
<b>交收服務費用</b>	
股票經中央結算轉入 (SI)	豁免
股票經中央結算轉出 (SI)	0.002% 最低收費人民幣 2 元，最高收費人民幣 100 元 手續費，每只股票人民幣 70 元

<b>美國證券交易服務</b>	<b>按每項指示之成交金額計算</b>
美股經紀佣金	0.5% 最低：美元\$30
證券費 (只限於銷售交易)	成交金額之 0.00218%，最低收費美元\$0.01
FINRA 交易徵費 (只限於銷售交易)	每股 0.0119%，最低收費美元\$0.01，最高收費美元\$5.95
Envelope Settlement Service (ESS) 收費	每個交易日每隻股票的每邊交易收取美元\$100 (適用於美股名單： <a href="http://www.viewtrade.com/ess">http://www.viewtrade.com/ess</a> )
美國預託憑證 (美國存託憑證) 託管費用#	每股美元\$0.01-\$0.05 (每次截止過戶日收取) #交易美國預託證券(ADR)需支付 ADR 托管費用，是 ADR 監護代理商向 ADR 持有人所收取的費用。此收費不會在交易時收取，但會在 ADR 監護代理商指定日子扣除，不限當時賬戶是否仍持有這股票。
其他收費	每股每宗交易美元\$0.0002 只適用於《場外柜台交易系統 OTCBB》、《美國粉紅單市場 Pink Sheet》及《BATS 交易所》之交易並買入或沽出多於 100,000 股細價股股票 (細價股指股票價格低於美元\$1 之股票)

處理實物股票、交收服務及企業行動	
存入實物股票費	不提供實物股票提存服務
提取實物股票費	
交收指示費 (轉倉撥出)	每隻股票美元\$100 Envelope Settlement Service (ESS) 收費：每隻股票美元\$100 (適用於美股名單： <a href="http://www.viewtrade.com/ess">http://www.viewtrade.com/ess</a> )
交收指示費 (轉倉存入)	豁免 Envelope Settlement Service (ESS) 收費：每隻股票美元\$100 (適用於美股名單： <a href="http://www.viewtrade.com/ess">http://www.viewtrade.com/ess</a> )
代履行權責(手續費)	每單美元\$10
現金收購(手續費)	每單美元\$10
股息稅	總現金股息的 30%
收取股息手續費	按股息金額之 1.25%，最低收費美元\$5
紅股服務費	每單美元\$10

其他戶口服務	
託管費	每季按投資組合季度末市場價值之 0.025% 每季度收取
代申請索還未領取權益費	每份申請港幣300元，另加香港結算所收取之費用
重印日結單 / 月結單	每份港幣 50 元
新股認購服務	
申請手續費	每筆申請港幣 100 元/人民幣 100 元*
經紀佣金	申請金額之 1%
交易徵費(由證監會收取)	申請金額之 0.0027%
聯交所交易費(由香港交易所收取)	申請金額之 0.005%
	*費用以計價貨幣收取
基金投資服務	
認購費 / 轉換費 / 贖回費 / 管理費 / 其他	不高於成交金額之 2%
轉入手續費	豁免
轉出手續費	按每隻基金市值之 0.1% 收取 (最低港幣 200 元)
債券	
買賣交易費	不高於成交金額之 2%
轉入手續費	豁免
轉出手續費	按每隻債券市值之 0.1% 收取 (最低港幣 200 元)

<b>结构性产品</b>	
交易费	年期於一年內之產品 - 不高於成交金額 2%收費 年期高於一年之產品 - 不高於成交金額 2%收費
轉入手續費	豁免
轉出手續費	本行保留權利收取費用或手續費
提早贖回費用	每份申請港幣 200 元
<b>私人銀行戶口收費</b>	
<b>一般客戶</b>	
每月平均在本行金融資產低於 HKD7,800,000	每年度港幣 8,000 元(首年豁免)
每月平均在本行金融資產等於或高於 HKD7,800,000	豁免
<b>資本投資者入境計劃</b>	
每年賬戶管理費	每年港幣 10,000 元

# Shanghai Pudong Development Bank Hong Kong Branch

## Private Banking Service Charges

Ver 4.0 Effective Date: 18 Mar 2020

Item	Fee
<b>HK Securities trading-related Service Fees</b>	<b>% of transaction amount of each instruction</b>
Brokerage Commission for HK Market	0.25% Min. HK\$200
Stamp Duty	0.1% (round up to dollars)
Transaction Levy (charged by SFC)	0.0027%
Trading Fee (charged by HKEX)	0.005%
CCASS Fee	0.002% (Min. HK\$2.00, Max. HK\$100.00)
<b>Scrip Handling and Settlement-Related Services</b>	
Physical Script Deposit Fee	Transfer deed stamp duty, HK\$5.00 per transfer deed
Physical Script Withdrawal Fee	HK\$5.00 per board lot (Min. HK \$30.00)
Receipt (SI)	Waived
Withdrawal (SI)	CCASS Fee 0.002% of transaction value (Min. HK\$2.00, Max. HK\$100.00) Handling Fee, HK\$70.00 per stock
Receipt through Investor Participant (ISI)	Waived
Withdrawal through Investor Participant (ISI)	HK\$1.00 per instruction
<b>Nominee Service &amp; Corporate Action Charges</b>	
Collection of cash and scrip dividend	Service Charges, 0.12% of dividend amount (Max. HK \$10,000 per stock) CCASS Scrip Fees, HK \$1.50 per board lot Handling fees, 0.5% of dividend amount (Min. HK\$20.00, Max. HK \$200.00)
Collection of bonus issue	Handling Fees, HK \$20.00 per stock CCASS scrip fees, HK \$1.50 per board lot
Corporate Action	Service Charges, HK \$0.80 per board lot (Max. HK \$10,000.00) Handling Fees, HK \$100.00 per transaction
Cash Offer	Handling Fees, HK \$100.00 per transaction
Collection Fee of dividend claim	CCASS Charges, HK \$200.00 per uncollected claim Handling Fees, HK \$200.00 per uncollected claim
Registration Fees	Withdrawal scrip fee, HK \$2.50 per board lot/ scrip Stamp Duty, HK \$5.00 per transfer deed

	Handling Fees, HK \$100.00 per transaction
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<b>Shanghai-Hong Kong Stock Connect</b>	<b>% of transaction amount of each instruction</b>
Brokerage Commission	0.25% of transaction amount (Min. RMB160)
Handling Fee	0.00487% of the consideration of a transaction
Securities Management Fee	0.002% of the consideration of a transaction
Transfer Fee	0.002% of the consideration of each transaction per side payable under ChinaClear's Shanghai-Hong Kong Stock Connect Rules; and 0.002% of the consideration of each transaction per side payable under the General Rules of CCASS for the provision of Stock Connect Northbound Clearing services by HKSCC
Stamp Duty	0.1% of the consideration of a transaction on the seller
<b>Settlement-Related Services</b>	
Receipt (SI)	Waived
Withdrawal (SI)	0.002% (Min. RMB 2, Max. RMB 100) Handling Fee, RMB70 per stock

<b>Shenzhen - Hong Kong Stock Connect</b>	<b>% of transaction amount of each instruction</b>
Brokerage Commission	0.25% of transaction amount (Min. RMB160)
Handling Fee	0.00487% of the consideration of a transaction
Securities Management Fee	0.002% of the consideration of a transaction
Transfer Fee	0.002% of the consideration of each transaction per side payable under ChinaClear's Shenzhen-Hong Kong Stock Connect Rules; and 0.002% of the consideration of each transaction per side payable under the General Rules of CCASS for the provision of Stock Connect Northbound Clearing services by HKSCC
Stamp Duty	0.1% of the consideration of a transaction on the seller
<b>Settlement-Related Services</b>	
Receipt (SI)	Waived
Withdrawal (SI)	0.002% (Min. RMB 2, Max. RMB 100) Handling Fee, RMB70 per stock

<b>US Securities trading-related Service Fees</b>	<b>% of transaction amount of each instruction</b>
Brokerage Commission	0.5%, Min. USD30
Clearing Fee (For Sale Trade Only)	0.00218% , Min. USD0.01
FINRA Trading Activity Fee (For Sale	0.0119% per share, Min. USD0.01, Max. USD5.95

Trade Only)	
Envelope Settlement Service (ESS) Fee	USD100 per stock per trade side per trade date (Applicable to securities in <a href="http://www.viewtrade.com/ess">http://www.viewtrade.com/ess</a> )
American Depositary Receipts (ADRs) Custody Fee#	USD0.01 – USD0.05 per share (per book close)  # American Depositary Receipts (ADRs) Custody Fee are Pass-Thru Charges that charged by ADR custody agents and passed through to ADR holders. These fees are not collected during trading, but will be deducted by ADR custody agents at a scheduled time, no matter if the account is still holding such stocks.
Other Charges	USD0.0002 per executed share *  *Applicable to OTCBB, PinkSheet & BATS of US trading markets with the transaction quantity more than 100,000 share of US Penny Stocks( Penny Stock means those stocks with Stock Price below USD 1).
<b>Nominee Service &amp; Corporate Action Charges</b>	
Physical Scrip Deposit Fee	No physical scrip deposit / withdrawal services provided.
Physical Scrip Withdrawal Fee	
Settlement instruction fee (Delivery)	USD100 per stock Envelope Settlement Service (ESS) Fee : USD100 per stock (Applicable to securities in <a href="http://www.viewtrade.com/ess">http://www.viewtrade.com/ess</a> )
Settlement instruction fee (Receipt)	Waived Envelope Settlement Service (ESS) Fee : USD100 per stock (Applicable to securities in <a href="http://www.viewtrade.com/ess">http://www.viewtrade.com/ess</a> )
Corporate Action (Handling Charge)	USD10 per case
Cash Offer(Handling Charge)	USD10 per case
Dividend Tax	30% of the dividend amount
Collection of Dividend (Handling Charge)	1.25% of dividend amount, Min. USD5
Collection fee of Bonus Share (Handling Charge)	USD10 per case

<b>Other Account Service</b>	
Custody Fee	0.025% of a quarter end market value of the portfolio (The charge will be collected quarterly)
Handling Charge for Unclaimed Entitlement	HK\$300 per claim per stock, plus other charges incurred
Account Statement Duplicate	HK\$50 per statement

<b>Initial Public Offering (IPO) Application</b>	
Handling Fee	HK\$100/RMB100* per application
Brokerage Fees	1% of the Application Money
SFC Transaction Levy	0.0027% of the Application Money
Trading fee (charged by HKEX)	0.005% of the Application Money
	*Service charges are subject to denominated currency
<b>Investment Funds Services</b>	
Subscription, switching, redemption, annual management fee and other charges	Up to 2% of gross consideration of each transaction
Transfer – in	Waived
Transfer – out	0.1% of market value of each fund with a minimum of HK\$200(or equivalent)
<b>Bond Services</b>	
Buy/Sell Transaction	Up to 2% of investment amount of each transaction
Transfer – in	Waived
Transfer – out	0.1% of market value of each bond with a minimum of HK\$200(or equivalent)
<b>Structured Notes Services</b>	
Transaction Fee	Up to 1 year tenor – up to 2% of transaction amount Over 1 year tenor – up to 2% of transaction amount
Transfer – in	Waived
Transfer – out	Subject to the bank’s discretion and penalty
Early Redemption Fee	HK\$200 per instruction
<b>Private Banking Account Service Fee</b>	
<b>General Customers</b>	
AUM (Monthly average) below HKD7,800,000	HK\$8,000 per year (waived for 1 <sup>st</sup> year)
AUM (Monthly average) HKD7,800,000 or above	Waived
<b>Capital Investment Entrant Scheme</b>	
Annual Account Maintenance Fee	HK\$10,000 / Year