



Astrum Capital Management Limited
阿仕特朗資本管理有限公司

**ASTRUM CAPITAL MANAGEMENT LIMITED
SECURITIES TRADING – SCHEDULE OF FEES AND CHARGES**

| Services | Charges | Remark |
|---|---|--|
| 1. <u>HK Stock Trade</u> Commission Stamp duty Transaction levy Trading fee CCASS fee | HKD 0.25% of transaction amount \$1.00 per \$1,000.00 of stock value (rounded up to the nearest dollar) 0.0027% of transaction amount 0.005% of transaction amount 0.01% of transaction amount (rounded up to the nearest dollar) (HK Clearing Min: \$3.00 Max: \$300.00) | HKD Min \$80.00 |
| 2. <u>Settlement Instruction(SI)</u> SI (for settlement only) ISI (for settlement only) | Handling fee : \$10.00 per stock plus 0.01% of stock value (based on previous day closing) Handling fee : \$10.00 per transaction | |
| 3. <u>Withdrawal of shares</u> Physical SI ISI | Handling fee : \$60.00 per stock plus \$5.00 per board lot (Odd lot is charged as a full board lot) Handling fee : \$60.00 per stock or 0.01% of stock value (based on previous day closing) whichever is higher Handling fee : \$60.00 per stock | Min: \$60.00 Max:\$300.00 |
| 4. <u>Deposit of physical shares</u> | Transfer deed stamp duty : \$5.00 for each transfer deed (HK Government) | |
| 5. <u>Collection of Dividends</u> | 0.5% of dividend received plus \$2.50 per board lot for initial registration (Odd lot is charged as full board lot) | Min: \$30.00 |
| 6. <u>Bonus shares collection</u> | Handling fee : \$30.00 plus \$2.50 per board lot (Odd lot is charged as full board lot) | |
| 7. <u>Dividend / Bonus shares claim</u> | Handling fee : \$500.00 per stock claim | |
| 8. <u>Exercise warrants / rights</u> | Handling fee : \$30.00 plus scrip fee \$2.50 per board lot | |
| 9. <u>Share Registration</u> Physical scrip | Handling fee : \$5.00 plus scrip fee \$2.50 per board lot | |
| 10. <u>Corporate actions</u> Cash offer Privatisation & takeover | Scrip fee \$2.50 per board lot Handling fee : \$50.00 per stock plus corporate action fee \$1.00 per board lot Stamp duty : \$1.00 per \$1,000.00 of stock value | |
| 11. <u>IPO application</u> | Handling fee : \$100.00 | |
| 12. <u>Bounced cheque</u> | Handling fee : \$200.00 per cheque plus debit interest | |
| 13. <u>Copies of monthly statement</u> | Handling fee : \$30.00 per month | |
| 14. <u>Annual service fee</u> | No trading, holding and balance below HKD 1,000 in account | \$30.00 per year |
| 15. <u>Shanghai & Shenzhen – Hong Kong Stock Connect</u> | RMB Commission : 0.25% of transaction amount Handling Fee : 0.00487% of the consideration of a transaction per side Securities management fee : 0.002% of the consideration of a transaction per side Transfer fee : 0.004% of the consideration of each transaction Stamp duty : 0.1% of the consideration of a transaction on the seller | Charged by : SSE, SZSE CSRC China Clear & HKSCC SAT |

Above charges are for reference only, there are subject to change without prior notice.

Date : 1 Jun 2020