



西證(香港)證券經紀有限公司
SOUTHWEST SECURITIES (HK) BROKERAGE LIMITED

HONG KONG MARKET

Effect Date : 1 December 2025

SECURITIES SERVICES CHARGES

Trade-related services

HONG KONG SECURITIES			
Particulars	Fees/Charges	Minimun	Maximum
Brokerage (Telephone) *	0.25%	HK\$80 /CNY80	--
Brokerage (Electronic : online and mobile) *	Please contact our Customer Relations Hotline or your Account Executive for further information		
Transaction levy	0.0027%	--	--
Trading fee	0.005%	--	--
FRC Transaction Levy	0.00015% (rounded to the nearest cent)	--	--
Stamp duty	0.13% (Round up to HK\$1)	--	--
CCASS clearing fee	0.0042% on transaction amount(Effective Date: 30 June 2025)	--	--

SHANGHAI-HONG KONG STOCK CONNECT

Items	Fees/Charges	Minimun	Maximum
Brokerage	0.25%	CNY80	--
Handling Fee	0.00487%	--	--
Sec Management Fee	0.002%	--	--
Transfer Fee**	0.004%	--	--
Stamp Duty (Seller)	0.10%	--	--

* 1) Contract consolidation service is provided to same stock and same channel orders.

2) Brokerage is charged per the first placing order channel. Any order is placed / altered / cancelled by telephone afterwards , the order will be charged per telephone channel.

** Transfer Fee: 0.002% payable under ChinaClear's Shanghai-Hong Kong Stock Connect Rules; and 0.002% payable under the General Rules of CCASS for the provision of Stock Connect Northbound Clearing services by HKSCC (Note that HKSCC will waive the payment of this Transfer Fee under the General Rules of CCASS for 6 months from the effective date of the rule change.)

Scrip handling and settlement-related services

HONG KONG SECURITIES			
Particulars	Fees/Charges	Minimun	Maximum
Physical scrip deposit fee	Free	--	--
Physical scrip withdrawal fee	HK\$5 per board lot	HK\$20	--
Settlement instruction fee (Transfer out) : Through CCASS	computed on 0.002% securities value of the previous day closing price on settlement day per stock Plus HK\$30 per stock	HK\$3	HK\$100
Investor settlement instruction fee (Transfer out) : Through Investor Participant	HK\$30 per stock	--	--
Multi-counter Transfer Instruction	HK\$5 per transaction	--	--

Account maintenance

HONG KONG SECURITIES			
Particulars	Fees/Charges	Minimun	Maximum
Account Administration Fee	HKD 100 (or equivalent in foreign currency) per month	--	--
Receive corporate communications from issuer through HKSCC	Free	--	--
Reissue account statement/contract note	HK\$15 per copy (within 1 year) HK\$30 per copy (over 1 year)	--	--
Unidentified Fund Deposit Fee	HK\$150 per transaction (or the whole deposit amount), whichever is lower		
ICBC Smart Account Service Fee	HK\$50 (per year)	--	--
Stock Balance or Account Confirmation Fee	HK\$200 per letter	--	--
Reissue Document Copy Administration Fee	HK\$2.5 per page, Plus Handling Fee HK\$30	--	--
Daily Statement & Monthly Statement	Administrative Fee HK\$50 - Choose statement by mailing method	--	--
Issue Local Cheque	Administrative Fee HK\$50 - Cheque amount is HK\$1,000 or below and require deposit service Free of Charge - Collect cheque in person	--	--

Nominee services and corporate actions

HONG KONG SECURITIES

Particulars		Fees/Charges	Minimun	Maximum
Transfer deed		HK\$5 per transfer deed	--	--
Entitlement	Dividend	0.5% on dividend distribution per event	HK\$10 /CNY10 / US\$1.5	--
		CCASS collection fee 0.12%	--	--
	Distribution, Bonus, Bonus warrants, Open Offer, Rights Issues, Split/Consolidation	HK\$2.5 per board lot (Round up to 1 board lot)	HK\$10 / CNY10 / US\$1.5	HK\$100 / CNY100
Scrip fee		HK\$2.5 per board lot (Round up to 1 board lot)	--	--
Conditional/unconditional cash takeover		HK\$100 per transaction	--	--
		Plus CCASS charge	--	--
Exercise of warrant		0.25% - 0.50% on exercise amount	HK\$100	--
		Plus CCASS charge	--	--
Subscription of rights		HK\$100 per transaction	--	--
		Plus CCASS charge	--	--
Voting Instruction Fee		HK\$50 per instruction	--	--
Application for New Shares	Margin Financing	HK\$100 per transaction	--	--
	Non-Financing	HK\$50 per transaction	--	--

Financing and other services

HONG KONG SECURITIES

Financing charges

Particulars		Note	Fee/Charges (on yearly basis)	
Cash account overdue interest		--	HSBC Prime Rate + 13%	
Margin account financing charge		--	HSBC Prime Rate + 3%	
Currency	Particulars	Note	Fee/Charges (on yearly basis)	
HK Dollars	Credit Interest	Minimum Balance : HK\$50,000	Per financial institution saving rate	
Other services				
Particulars		Note	Fees / Charges	
Return cheque		--	HK\$200 per transaction	
Reissue cheque		--	HK\$100 per transaction	
Stop Payment		--	HK\$150 per transaction	
Remittance Services		Chats Transfer : HK\$280 per transaction	--	--
		Telegraphic Transfer : HK\$350 per transaction	--	--
		Plus relevant bank charges on any instruction changes/returned inwards/telegraphic enquires, if any	--	--
Claim for unclaim entitlement		Plus CCASS charge	HK\$500 per transaction	

Plus Out-of pocket expenses, if any

The above charges are subject to revision from time to time without prior notice. For other products/services are not listed here and for further enquires, please contact your financial consultant or call our Customer Relations Department at hotline: 2238-9115 | email address : swsc_dept_ops@swsc.hk