AAA SECURITIES
Suite F, 7/F China Overseas Building
139 Hennessy Road, Wanchai, Hong Kong

Hong Kong Stock Trading and Service Fees

Currency: HKD

Fee Item	Charge
1. Standard Trading Fees	
Commission	Negotiable (minimum $100.00 per transaction)
Stamp Duty	0.1% of transaction amount (rounded up to the nearest whole dollar)
SFC Transaction Levy	0.0027% of transaction amount
Trading Fee	0.00565% of transaction amount
Settlement Fee	0.01% of transaction amount (minimum HKD $3.00)
FRC Transaction Levy	0.00015% of transaction amount (effective from 1 January 2022)
2. Stock Settlement Fees	
Settlement Instruction (SI) - Deposit	Free
Settlement Instruction (SI) - Withdrawal	0.25% of the total value of each stock, based on the previous day's closing price, plus a handling fee of $100.00 per stock
Investor Settlement Instruction (ISI)	$100.00 per stock (inward stock transfers are free)
Physical Scrip Deposit	Government stamp duty of $5.00 per transfer deed
Physical Scrip Withdrawal	$5.00 per board lot (less than 1 board lot counts as 1 board lot), plus a handling fee of $100.00 per instruction
3. Nominee Services and Corporate Actions	
Collection of Dividends / Scrip Dividends / Bond Interest	0.30% of dividend / bond amount (minimum $50.00), plus first-time CCASS registration fee of $1.50 per board lot
Collection of Bonus Shares / Warrants / Rights Warrants	$50.00 per item, plus first-time CCASS registration fee of $1.50 per board lot
Recovery of Unclaimed Dividends	0.12% of dividend amount (minimum $50), plus a handling fee of $500.00
Exercise of Rights / Warrants	Handling fee of $100.00
Transfer Fee	$1.50 per board lot (*any fraction of a board lot counts as a full board lot)
Nominee Services and Corporate Actions	$100.00 per item
Cash Offer / Privatisation	$100.00 per item
Share Consolidation / Share Split	$50.00 per item
Bond Redemption at Maturity	$100.00 per item
4. Other Services	
IPO Subscription	$100.00 per application
Telegraphic Transfer Fee	$150.00 - $500.00 per instruction
Reissue of Emailed Daily / Monthly Statements	Free for statements within 3 months; $100.00 per copy for statements older than 3 months
Postal Statement Service	Not available
Overdue Settlement Interest	Interest on the overdue settlement amount at China Construction Bank (Asia) HKD prime rate plus 8%
Capital Investment Entrant Scheme Annual Reporting Fee	$5,000.00 per year

Remarks: The above fees and charges are for reference only. The Company reserves the right to adjust these fees and charges at any time without prior notice.

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US Stock Trading and Service Fees

Currency: USD

1. Standard Trading Fees

Fee Item	Charge
Commission	0.15% (minimum $3.5 per transaction)
Regular Clearing Fee	$0.003 per share (minimum $0.3)
OTC Clearing Fee	$0.004 per share
Fractional Share Clearing Fee (trades of less than 1 share)	Up to 1% of market value (minimum $0.2 per transaction)
Stock Borrowing Fee	Application fee: $0.003 per share, minimum $0.1 per transaction (refunded if unsuccessful); interest: 8% per annum

2. Third-party Charges

Fee Item	Charge	Collecting Institution
SEC Transaction Fee (sell orders only)	0.00278% (minimum $0.01 per transaction)	U.S. Securities and Exchange Commission (SEC)
Trading Activity Fee (sell orders only)	$0.000166 per share; minimum $0.01 and maximum $8.30 per transaction	Financial Industry Regulatory Authority (FINRA)
Dividend Withholding Tax	Mainland China residents: 10% (QI); other countries or regions: 30%	Internal Revenue Service (IRS)
American Depositary Receipt (ADR) Custody Fee	$0.02 - $0.03 per share	Depository Trust Company (DTC)

3. Business Fees

Fee Item	Charge
FOP Transfer	DTC transfer: outward transfers cost 100 USD per stock; inward transfers are free. DRS transfer: negotiable. DWAC transfer: negotiable. (Note: market value is based on the actual transfer completion date.)
IPO Allotment Settlement	1% of the allotted market value; minimum charge negotiable
Share Consolidation / Split Processing	$3 per stock
Dividend Collection Service Fee	0.2% of dividend amount (minimum $0.01)
Financing Interest	Cash account: P+5%; margin account: P+1.5%

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