道口證券
DAOKOU SECURITIES
證監會中央編號 SFC CE NO. ABS418

**DaoKou Securities Limited ("DKSL") (CE number: ABS418) 道口證券有限公司（「道口證券」）（中央編號：ABS418）**
**Securities Trading Fees and Other Services Charges 證券交易費用及其他服務收費**
**The charges below effects on 29 Sep 2026 以下收費由2026年09月29日生效**

# DaoKou Securities Limited Schedule of Fees and Charges (Hong Kong Securities Market)

## Securities Trading Services*

(Calculated in HKD)

| Item | Charge | Payable To |
|---|---|---|
| Commission Fee | General: 0.5% (Minimum $100) | DaoKou Securities Limited |
| Stamp Duty<br>(Except for stamp duty exempt securities) | 0.1% (rounded up to the nearest $1) | The Government of the HKSAR |
| Transaction Levy | 0.00270% (Minimum HKD 0.01) | Securities and Futures Commission (SFC) |
| Trading Fee | 0.00565% (Minimum HKD 0.01) | Hong Kong Exchanges and Clearing Limited (HKEX) |
| FRC Transaction Levy | 0.00015% (Minimum HKD 0.01) | Financial Reporting Council (FRC) |
| Settlement Fee | 0.0042% | Hong Kong Securities Clearing Company (HKSCC) |

## New Issue Subscription Fees

(Calculated in HKD)

| Item | Charge | Payable To |
|---|---|---|
| Handling Fee | HKD 200 per application | DaoKou Securities Limited |
| Transaction Levy, Trading Fee, Brokerage Commission, FRC Levy | 1.0085% (Only charged upon successful allotment) | SFC, HKEX, Broker |

## Stock Transfer, Physical Share Deposit/Withdrawal, Corporate Actions Services

(Calculated in HKD)

| Item | Charge |
|---|---|
| Transfer-in of Stocks | Free |
| Transfer-out of Stocks | 0.5% of stock value, Minimum HKD 500 |
| Deposit of Physical Shares | HKD 100 |
| Withdrawal of Physical Shares | HKD 6 per board lot per certificate, Minimum HKD 300 per certificate |
| Stamp Duty on Deed of Transfer | HKD 5 per transfer deed |
| CCASS Investor Account (ISI) | Deposit: Free / Withdrawal: HKD 100 per item |
| CCASS Registration Fee | HKD 1.5 per board lot |
| Stock Rejection | HKD 50 per stock |
| Express Share Registration | 0.1% of stock market value + Registrar's service fee at that time |

## Nominee Services

(Calculated in HKD)

| Item | Charge |
|---|---|
| Application for Excess Rights Issue | HKD 2 per board lot, Minimum HKD 50 |
| Collection of Cash/Scrip Dividend | 0.5% of dividend amount, Min HKD 30, plus HKEX fee of 0.12% |
| Collection of Bonus Shares | HKD 1 per board lot, plus handling fee HKD 30, plus HKEX fee HKD 1.5 per board lot |
| Handling of Rights Issue / Warrants | HKD 2 per board lot, Minimum HKD 50 |
| Unclaimed Dividend / Bonus Share Claim | HKD 500 per case + 0.5% of dividend amount per period, Min HKD 20 |
| CCASS Registration Fee | HKD 1.5 per board lot |
| Stock Rejection | HKD 50 per stock |
| Cash/General/Special/Unconditional Offer | 0.5% of offer value, Min HKD 30 (RMB 25, USD 4). Plus HKSCC corporate actions service fee of HKD 0.8 per board lot. Fractional lots counted as one board lot. |
| Share Registration | HKD 7.5 per board lot, Minimum HKD 50 |
| Re-print of Consolidated Daily/Monthly Statement | HKD 400 per copy |

**Notes:**

1. For the services above, less than one board lot is counted as one board lot.
2. Physical share withdrawal fee includes registration fee.

## Hong Kong Stock Financing Interest Charges

(Calculated in HKD)

| Item | Charge |
|---|---|
| Margin Clients | 港幣 HKD : 12% p.a.<br>人民幣 RMB : 12% p.a.<br>美元 USD : 12% p.a. |
| Cash Clients | 港幣 HKD : 15% p.a.<br>人民幣 RMB : 15% p.a.<br>美元 USD : 15% p.a. |
| Overdue Settlement | |

## Other Charges

(Calculated in HKD)

| Item | Charge | Remarks |
|---|---|---|
| Postal administrative fee | HKD$ 400<br>Per month | Postal communication, the Company will charge an administrative fee of HKD 500 per month. |
| Fee for inactive accounts | HKD$2,000<br>Per month | (This applies if the account has had no active transactions—such as order placement, deposits, or stock transfers—within the past 12 months; the receipt or payment of interest and dividends is excluded from this definition.) In accordance with the client agreement, a monthly fee of HK$2,000 will be charged once the account is classified as inactive. |

| | | |
|---|---|---|
| Fee for providing additional supporting documents | HKD$ 500 | Minimum HKD 500 |
| Fee for securities balance or account confirmation | HKD$ 500 | Minimum HKD 500 |

## Banking Service Charges

(Calculated in HKD)

| Item | Charge |
|---|---|
| Cheque Return Fee | HKD 500 per occurrence |
| Withdrawal Handling Fee | HK$100 or US$13 per transaction<br>Local CHATS is required for withdrawal amounts exceeding HK$1,000,000 or US$125,000 per transaction. |
| Local CHATS Fee | Handling fee HKD 250 or US$33 |
| Telegraphic Transfer Fee | Handling fee HKD 500 (China & Overseas) or US$63 or at the Company's cost, whichever is higher. |

- Please refer to the "Buy/Sell Notice" and "Fee" sections of the relevant service online for any changes to service standards and fees. No further notice will be given.

# (US Securities Market)

## Securities Trading Services*

(Calculated in USD)

| Item | Charge |
|---|---|
| Trading Commission (Online Order) | USD 0.1 per share |
| Minimum per Order | USD 5 |
| Trading Commission (Phone/Email Order) | USD 0.1 per share |
| Minimum per Order | USD 500 |

## Clearing Fees

(Calculated in USD)

| Item | Charge | Payable To |
|---|---|---|
| Platform Fee | USD 0.002 per share, Minimum USD 0.99 per order | DaoKou Securities Limited |
| Trading Activity Fee (Sold shares only) | USD 0.000195 * Number of shares sold, Min USD 0.01, Max USD 9.79 | FINRA |

| | | |
|---|---|---|
| SEC Fee | 0.00206% * Total Transaction Value, Min USD 0.01 | U.S. Securities and Exchange Commission (SEC) |
| Clearing Fee | USD 0.003 * Transaction Volume, Min USD 0.01 | NSCC |
| OTC Clearing Fee | Not Applicable | |
| Consolidated Audit Trail Fee | USD 0.000003 per share, Minimum USD 0.01 per order | FINRA |

## Other US Stock Service Charges

(Calculated in USD)

| Item | Charge | Payable To |
|---|---|---|
| American Depositary Receipt (ADR) Custody Fee | USD 0.01 - 0.05 per share, charged to investors on a specified date. | Trust Company (DTC) |
| Withholding Tax on Dividends | 30% * Dividend (automatically withheld upon payment) | U.S. Internal Revenue Service (IRS) |
| Corporate Actions | USD 10 per transaction | DaoKou Securities Limited |
| DTC (FOP) General US Stock SI Transfer-out | 0.1% of the transferring stock's market value, Minimum USD 150 (This fee applies even if the transfer-out fails) | DaoKou Securities Limited |
| DTC (FOP) General US Stock SI Transfer-in | Free | DaoKou Securities Limited |
| Asset Transfer-in ( DRS / ACAT ) | 5% - 11% of the total asset value per transfer, Minimum USD 1,000 | DaoKou Securities Limited |

Remark :

1. The above charges were correct at the time of release but remain subject to change, DKSL reserves the right to introduce charges not included. For your own interest, please seek confirmation of the prevailing charge related to the service you need at anytime.

2. DKSL may convert monies, at any time at such exchange rate and for such amount as DKSL deems fit, into and from any currency at such rate of exchange as DKSL shall in its sole discretion determine as being the then prevailing market rate of exchange.

* Service standards and fees are subject to change. Please refer to the "Trading Notification" and "Charges" sections on our website for the latest information. No further notice will be given.