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Charles Schwab Hong Kong Pricing Guide for Individual Investors 香港嘉信理財個人投資者收費指引

Pricing information in this Guide amends and supersedes prior versions you may have received.

本指引的收費資料為修改及取代您或已在較早前收到的收費指引。

The most recent pricing information is available at schwab.com/hkpricingguide.

最新的收費資料在schwab.com/hkpricingguide上提供。

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Charles Schwab, Hong Kong, Ltd. (“Schwab Hong Kong”) reserves the right to change or waive fees at our discretion, subject to notification in accordance with applicable laws and regulations.

Introduction

Schwab Hong Kong and its affiliate “Schwab U.S.” provide a broad range of value-added services, some of which have associated fees. This document provides you with an overview of standard pricing for commission rates, transaction fees and key account charges and service fees.

Information detailed in this Guide applies to Charles Schwab, Hong Kong, Ltd. clients. Commissions and fees described in this Guide are stated in U.S. dollars. Not all products and services are available in all countries, and may be subject to country-specific restrictions.

Certain clients may have a different pricing structure based on assets or activities in their accounts at Schwab Hong Kong.

Definitions

Accounts of Your Household—Accounts that have been linked in accordance with Schwab’s householding guidelines. Schwab makes a reasonable effort to automatically link qualified accounts of persons with the same last name at the same home address.

Schwab aggregates the balances and activities of Accounts of Your Household to determine for your brokerage accounts: commission rates, whether those accounts may qualify for certain fee waivers, and whether those accounts may qualify for certain benefits or features (“Household Calculations”).

Schwab may consider other accounts to be in your household upon your request if account holders are in the same family, there is a dependent relationship, or in certain other similar instances at Schwab’s discretion. You are responsible for identifying accounts that should be linked for purposes of determining Accounts of Your Household and Household Calculations. For example, if you or other members of your family who reside at your home address have a different last name (including a spouse, if applicable), you need to contact Schwab to request that we combine your accounts for purposes of Household Calculations. If an account is added to Accounts of Your Household, any impact on Household Calculations may not take effect until the following quarter.

Direct Access Trading—A feature that allows trades to be placed directly through an electronic communications network, market maker or exchange.

Household Balance—The total combined value, over a given period of time, of the assets in Accounts of Your Household, including margin balances. In order to determine qualification for any fee waiver, rate and/or commission price, Schwab will add up your daily Household Balances for the applicable time period, and then divide this total by the number of days in the period.

Minimum Deposit Requirement—The minimum amount that must be deposited and maintained in an account to avoid account closure.

Online Trades—Trades placed through schwab.com.hk, StreetSmart Edge®, thinkorswim® desktop, thinkorswim® web, thinkorswim® mobile, Schwab Mobile, or Schwab software.

Minimum Deposit Requirement

Account Type	Minimum Deposit Requirement
Schwab Hong Kong U.S. Dollar Account	Schwab Hong Kong U.S. Dollar accounts require \$0 to open and maintain. Please contact Schwab for details.

Commissions and Transaction Fees¹

U.S. Exchange-Listed Securities per Executed Trade ⁶	
Online ²	\$0
Broker-Assisted	\$25
Preferreds or REITs	Stock commissions and minimums apply for secondary transactions.

U.S. Over-the-Counter (OTC) Market Securities Commissions per Executed Trade*	
Online ²	\$6.95
Broker-Assisted	Online commission plus \$25

*Applies to Non-NMS Securities.

Canadian Stock Transactions*	
Online ²	\$6.95
Broker-Assisted	Online commission plus \$25

*Applies to Non-NMS Securities.

Schwab introduced online trading for foreign ordinary shares that are traded on the U.S. over-the-counter market. The commissions and applicable fees for foreign stock transactions are as follows:

Foreign Stock Transactions ³	
Trades placed on the U.S. over-the-counter (OTC) market	
Online ²	\$50 foreign transaction fee ⁴
Broker-Assisted	\$75 (\$25 for broker assistance, plus a \$50 foreign transaction fee ⁴)
Trades placed directly on a foreign exchange	
Online	Not available
Broker-Assisted ⁵	The greater of \$100 or 0.75% of principal, with no maximum

¹ Excluding mutual funds, commissionable trades that execute over more than one day will be charged a separate commission for each additional day; each separate commission will apply to the portion of the trade executed on the corresponding additional day. Trade orders for which price or quantity are changed by the client and, as a result, execute over multiple trades on the same day, are each charged a separate commission.

² Up to 999,999 shares can be placed per trade.

³ These fees apply to trades of foreign ordinary shares placed directly on a foreign exchange or on the U.S. over-the-counter (OTC) market.

⁴ Transactions for foreign ordinary shares that take place on the U.S. over-the-counter (OTC) market incur additional custody, clearing, and settlement expenses. A foreign transaction fee is added to trades placed on the U.S. over-the-counter (OTC) market for these shares through all channels. The commission and foreign transaction fees will be combined and will appear as one line item, labeled "Commission," on your trade confirmation.

⁵ For broker-assisted trades of foreign stock placed exclusively on a foreign exchange or on a foreign exchange and on the U.S. over-the-counter market simultaneously: The fee is the greater of \$100 or 0.75% of principal, with no maximum.

⁶ Limited to National Market System (NMS) securities, excluding standardized options.

Fixed Income Investments

Schwab Hong Kong acts in agency capacity for all trades. Schwab U.S. reserves the right to act as principal on any fixed income transaction, public offering, or securities transaction. When Schwab U.S. acts as principal, the bond price includes their transaction fee (outlined below) and can also include a markup that reflects the bid-ask spread and is not subject to a minimum or maximum. When trading as principal, Schwab U.S. may also be holding the security in its own account prior to selling it to you and, therefore, may make (or lose) money depending on whether the price of the security has risen or fallen while Schwab U.S. has held it. When Schwab U.S. acts as agent, a commission will be charged on the transaction.

Product Type	Online Pricing	Broker-Assisted Pricing
Treasury Bills, Notes, Bonds and TIPS (Secondary and Auction)	\$0	\$25
Secondary transactions for Corporate Bonds, Government Agencies, Zero-Coupon Treasuries (including STRIPS)	\$1 per bond (\$10 minimum/\$250 maximum)	Online pricing, plus \$25 per trade
Commercial Paper, Foreign Bonds	These are specialty products—please call us for information.	

Note: New issues and certificates of deposit are not available to Schwab Hong Kong clients.

- Large block transactions (orders of more than 250 bonds) can be eligible for special handling and/or pricing—please call Schwab Hong Kong for information.
- Commissions and markups charged can be slightly less than published schedule shown above due to rounding.

Account Activity Fees

Fee	Amount
Late settlement	\$25
Offshore mutual fund short-term redemption fee:*	
Online	\$49.95
Broker-Assisted	\$49.95, plus \$25 service fee
Mutual fund redemption fee:	
Online	\$0
Broker-Assisted	\$25
Mutual fund short-term redemption fee:**	
Online	\$49.95
Broker-Assisted	\$49.95, plus \$25 service charge
Order out of certificates (for U.S. and Canadian securities):	
Physical certificates***	\$100 per certificate. Additional charges may apply for rush requests.
Book entry held at transfer agent	\$0 per issue for ordering out securities held electronically through Direct Registration System.
Order out of certificates (for foreign securities):	
Physical certificates	Variable fee (based on the location of the transfer agent)
Security reorganization:	
Voluntary, Mandatory, and Post-effective***	\$0
Transfer (out) of assets:	
Full	\$50 per account
Partial	\$0 per account
Transfer of title for certificates (re-registering securities held in certificate form)	\$25 per position

*Schwab's short-term redemption fee will be charged on redemption of funds held for 90 days or less. Schwab reserves the right to exempt some funds from this fee, such as funds that accommodate short-term trading.

**Schwab's short-term redemption fee will be charged on redemption of funds purchased through Schwab's Mutual Fund OneSource® service (and certain other funds with no transaction fee) and held for 90 days or less. Schwab reserves the right to exempt some funds from this fee, including certain Schwab Funds®, which can charge a separate redemption fee, and funds that accommodate short-term trading.

***See Special Service Fee Waivers.

Custody Fees

- There is no fee to custody physical certificates, except for the following fees that apply to non-publicly traded securities.

Description	Amount
Annual custody fee for other non-publicly traded securities	\$250 annually per position Maximum of \$500 per account

Note: Certain Non-Publicly Traded Securities can be exempt from certain fees. Custody fees for Non-Publicly Traded Securities are billed annually in arrears.

Special Stock Transactions

- Large block transactions (orders of 10,000 or more shares, or orders over \$500,000): May be eligible for special handling and/or pricing—please call us for information.
- Restricted stock transactions: Broker-assisted commission pricing schedule applies for all restricted stock trades. Single orders that include restricted and unrestricted shares of the same security will be charged the broker-assisted rate.

Note: Standard commission schedules apply to vested equity awards issued by an employer and corporate stock plan.

Cashiering and Administrative Services

Fee	Amount
Overnight and/or bulk deliveries	\$15 or more, subject to delivery speed and/or package size
Non-sufficient funds/returned item	\$25
Wire transfer:	
Outgoing [†]	\$25 per transfer; \$15 per transfer if submitted online
Incoming	No fee
Foreign Currency Conversion	Up to 300 basis points (3%) of principal*

[†] See Special Service Fee Waivers.

*When converting United States Dollars (USD) to a foreign currency, or when converting a foreign currency to USD, Schwab will charge a markup fee of up to 3% of the principal amount of the transaction. This does not include any additional fees that may be charged by intermediary financial institutions. With a foreign exchange transaction, you are buying or selling foreign currency at rates that may change at any time.

Special Service Fees

Industry Fee—For certain securities transactions, Schwab U.S. collects an Industry Fee to offset an array of charges assessed on us directly or indirectly by self-regulatory organizations (“SROs”) (including national securities exchanges, clearing agencies, and a national securities association) and foreign governments. The amount of such charges incurred by Schwab depends on the nature of the transaction and the security purchased or sold. The Industry Fee is in addition to any commissions we may charge and is identified on your trade confirmation and account statements as Industry Fee.

The Industry Fee is collected to offset, as applicable, some or all the following SRO and foreign government fees:

- Section 31 Fee^l
- FINRA Trading Activity Fee^{ll}
- Options Regulatory Fee^{lll}
- Proprietary Index Options Fee^{lv}
- Foreign Transaction Tax on ADRs^v

Schwab’s Industry Fee may rise or fall periodically depending upon the fee rates set by the SEC, SROs, or foreign governments.

Schwab will determine the amount of its Industry Fee in its sole and reasonable discretion, and such fee may differ from or exceed the actual fees properly paid by Schwab in connection with any transaction or series of transactions. Differences may be caused by various internal and external factors, including, among other things, the rounding methodology used, the use of allocation accounts, transactions or settlement movements for which a fee may not be assessed, timing differences in fee changes, third-party rate caps and floors, calculation errors, and various other anomalous reasons.

Please note that Schwab does not notify clients when it increases or decreases the Industry Fee or when the component fees change.

American Depositary Receipt (ADR) Fee—Banks that custody ADRs are permitted to charge ADR holders a fee. Fees collected from Schwab by the Deposit Trust Company for an ADR will be automatically deducted from your Schwab Hong Kong account(s) and shown on your account statement(s) as “ADR Pass-Thru Fee.”

Transaction Fee—This fee is charged for purchasing U.S. Treasury obligations via the auction process. The amount of this fee will appear on your trade confirmation.

Special Service Fee Waivers

- The fee for ordering out physical certificates of all U.S. and some Canadian securities can be waived for households that meet certain asset levels.
- Wire transfer fee: With \$100,000 or more in Household Balances, you will receive three free online wire transfers within the U.S. per quarter. With \$500,000 or more in Household Balances, you will receive three free wire transfers within the U.S. per quarter regardless of submission channels.

Any interpretation of the language in this document is governed by the English version.

^l The SEC assesses transaction fees on each national securities exchange and FINRA based on the aggregate dollar amount of sales of certain securities. The SEC recalculates the amount of this fee periodically—at least once per year but sometimes more often. This fee is ultimately intended to cover the costs incurred by the government, including the SEC, for supervising and regulating the securities markets and securities professionals. Each national securities exchange and FINRA offsets these transaction fees by charging their member broker-dealers. Schwab U.S. may be assessed these fees directly from SROs of which it is a member, and indirectly from other broker-dealers to whom we route orders.

^{ll} FINRA, a national securities association, charges this fee to its member firms, such as Schwab U.S., to recover the costs of supervision and regulation. This fee is set by rule and is specified in Schedule A of FINRA’s By-Laws.

^{lll} The Options Clearing Corporation collects an Options Regulatory Fee (“ORF”) that is assessed by each options exchange. The amount of the ORF varies by options exchange, where an options trade executes, and whether the broker who’s responsible for the trade is a member of a particular exchange.

^{lv} An options exchange, such as Cboe, may charge a proprietary index option fee on select index options (such as on the SPX®, OEX®, and VIX®) that only trade on their exchange.

^v The governments of some countries, such as France, Italy and Spain, have implemented foreign transaction taxes on the purchase of certain securities they deem as being connected to their country, including U.S.-issued ADRs. These taxes are imposed extraterritorially, without regard to where an investor or financial firm is located, and are calculated as a percentage of the purchase amount of a covered security.

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嘉信理財香港有限(「嘉信香港」)公司保留更改或豁免收費之決定權，並將根據有關法律及規例而給予通知。

簡介

嘉信香港及其聯屬機構(「嘉信美國」)提供多項增值服務，部分須收取相關費用。本指引為您提供佣金收費、交易費、主要帳戶收費及服務費用的資料。

本指引的資料適用於嘉信理財香港有限公司的客戶。本指引所列之佣金及收費以美元為單位。產品及服務可能受個別國家之限制所約束，並非於所有國家均有提供。

因部分客戶之嘉信香港帳戶資產或活動有所不同，其收費模式亦可能有所分別。

釋義

您的住戶帳戶—根據嘉信理財住戶指引連結的帳戶。嘉信理財盡可能自動連結同一住址、同一姓氏的客戶的合資格帳戶。

嘉信理財合計您的住戶帳戶的結餘和活動以決定您經紀帳戶的以下事宜：佣金收費、帳戶是否合資格享有部分費用豁免、帳戶是否合資格享有部分優惠或服務(「住戶計算」)。

如帳戶持有人於同一家庭或有供養關係，或為嘉信理財決定之同類例子，嘉信理財可能根據您的要求把其他帳戶納入您的住戶。您須確認應連結之帳戶以決定您的住戶帳戶及住戶計算。例如，如您或居於您住址的其他家庭成員有不同姓氏(包括配偶，如適用)，您需要聯絡嘉信理財，讓我們連結您的帳戶以便作住戶計算。如帳戶已加入您的住戶帳戶，任何對住戶計算的影響將於下一季方開始生效。

直接交易—此功能讓您直接透過電子網絡、市場莊家或市場交易所進行買賣。

住戶結餘—在特定時間內，您的住戶帳戶資產的總結合價值，包括保證金結餘。為決定是否合資格享有任何收費豁免、及/或佣金，嘉信理財將把有關時間內您的每日住戶結餘加起來，並把此金額除以期限內的日數計算。

最低存款要求—為避免帳戶結束而必須存入並維持之最低金額。

網上交易—通過 schwab.com.hk, StreetSmart Edge®, thinkorswim® 桌面版、thinkorswim® 網絡版、thinkorswim® 移動版、嘉信理財移動程式，或以嘉信軟件進行的交易。

最低存款要求

帳戶種類	最低存款要求
香港嘉信理財美元帳戶	開設及維持「香港嘉信理財美元帳戶」均沒有最低存款要求。請與嘉信理財聯絡了解詳情。

佣金及交易費¹

美國交易所掛牌上市的每筆執行交易的證券 ⁶	
網上交易 ²	\$0
經紀輔助	\$25

優先股或房地產投資信託基金 (REITs)	股票佣金及最低收費適用於第二手交易。
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每筆執行交易的美國場外交易 (OTC) 證券市場佣金 *	
線上 ²	\$6.95
經紀商輔助	線上佣金加 \$25

*適用於非全國市場系統證券。

加拿大股票交易 *	
線上 ²	\$6.95
經紀商輔助	線上佣金加 \$25

*適用於非全國市場系統證券。

嘉信理財就美國場外市場交易的外國一般股票提供網上交易服務。這些外國證券交易的佣金及適用的交易費用如下：

外國股票交易 ³	
美國場外市場進行的交易	
網上交易 ²	\$50外國交易費用 ⁴
經紀協助	\$75(\$25經紀協助費用, 另加 \$50外國交易費用 ⁴)
直接於外國交易市場進行的交易	
網上交易	尚未提供
經紀協助 ⁵	\$100或本金的 0.75%, 以較高者為準, 不設上限

¹ 互惠基金除外, 收取佣金的交易如執行多於一日, 嘉信理財將對每一額外日收取各別的佣金收費, 而每項各別的佣金收費將適用於在相關額外日執行的交易部分。如客戶更改交易指示的價錢或數量, 導致數項交易於同一日執行, 則每項交易將收取各別的佣金。

² 每次交易可買賣最多 999,999 股股票。

³ 此等費用適用於直接在外國交易市場或於美國場外市場進行的外國普通股的交易。

⁴ 在美國場外市場上進行的外國普通股的交易涉及額外的託管、結算及交收費用。股份在美國場外市場上進行的此等股份交易則另收取外國交易費。佣金和外國交易費將合併, 並於您的交易確認書上顯示為一項「佣金」。

⁵ 僅於外國交易市場, 或同時於外國交易市場及美國場外市場進行的經紀協助外國股票交易: 費用為 \$100 或本金的 0.75% (以較高者為準及不設上限)。

⁶ 僅限於全國市場系統 (NMS) 證券, 不包括標準期權。

定息投資

嘉信香港以代理人身分執行所有交易。嘉信美國保留權利擔任任何定息交易、公開發行或證券交易的主事人。若嘉信美國擔任主事人, 債券價格包括他們的交易費 (以下列出), 也會包含佣金, 此佣金反應買賣差價, 不受最小金額或最大金額的限制。在作為主事人交易時, 嘉信美國有可能向您出售之前以自己的帳戶持有的證券, 因此, 有可能賺錢或賠錢, 取決於該證券在嘉信美國持有期間是否升值或貶值。當嘉信美國作為代理人時, 會就交易收取佣金。

產品種類	網上價格	經紀輔助價格
國庫債券、票據、債券及 TIPS (第二手及拍賣)	\$0	\$25
公司債券、政府機構債券、零息國庫債券、(包括離拆單售債券本息票)	每張債券 \$1 (最低 \$10 / 最高 \$250)	網上收費, 交易另收 \$25
商業票據、外國債券	此為特殊產品 — 請致電我們查詢詳情。	

註: 新發行及存款證不適用於嘉信香港投資客戶。

- 大量交易 (超過 250 張債券的訂單) 符合特別處理與/或佣金優惠的資格。查詢有關詳情, 請與嘉信香港聯絡。
- 收取的佣金及增價因進位而較以上列出之費用稍為低。

帳戶服務費用

費用	金額
延遲結算	\$25
離岸共同互惠基金短期贖回費用:*	
網上交易	\$49.95
經紀商輔助	\$49.95加\$25服務費用
共同基金贖回費用:	
線上	\$0
經紀商輔助	\$25
共同基金短期贖回費用:**	
線上	\$49.95
經紀商輔助	\$49.95加\$25服務收費
訂購海外證券 (美國及加拿大證券):	
實體證券***	每張證書100美元。緊急請求可能需要額外收費。
轉讓代理人留存的帳面記錄	訂購由「直接註冊系統」持有的電子證券的費用為 \$0。
訂購憑證 (外國證券):	
實體憑證	費用變化 (依轉讓代理人所在位置而定)
證券重組:	
自願、強製和後效***	\$0
轉出資產:	
全部	每個帳戶\$50
部分	每個帳戶\$0
轉讓證書持有人名義 (重新登記以證書方式持有之證券)	每項\$25

*對於持有天數為90天或更短的基金，嘉信仍將收取短期贖回費。嘉信保留權利，可免收一部份基金的這筆費用，例如容許短期交易的基金。

**嘉信理財會就透過Schwab's Mutual Fund OneSource® 服務所購入並持有90日或以下的基金 (和若干其他無需交易費用的基金) 的贖回徵收短期贖回費用。嘉信理財保留豁免某些基金繳交該費用的權利，包括若干嘉信理財基金 (Schwab Funds®) (其可另外徵收贖回費用) 及允許短期買賣的基金。

***見特定服務費用免收規則。

託管費

- 除下列適用於非公開交易證券的費用外，保管實體憑證不收取費用。

說明	金額
其他非公開交易證券每年的託管費用	每年每筆庫存\$250 每個帳戶的上限是\$500

請注意：特定非公開交易證券免付特定費用。非公開交易證券的託管費用為每年事後請款。

特殊股票交易

- 大宗交易 (交易股數達10,000股或以上，或訂單金額超過\$500,000)：可能符合特殊處理及/或費率的規定。請致電與我們聯絡瞭解詳情。
- 限制性股票交易：經紀人協助的佣金定價表適用於所有受限制的股票交易。包含同一股票的受限制和非受限制的股份的單一交易訂單將按照同一經紀人協助佣金定價表收費。

註：標準佣金定價表適用於從雇主和公司股票計劃交易中發行的既得股權獎勵。

出納服務及行政服務

收費	金額
翌日及/或大量快速的收費	\$15 或以上，視乎快速速度及/或包裝尺寸而定
資金不足/退回項目	\$25
電匯轉帳:	
匯出†	每次轉帳 \$25；如果線上提交，每次轉帳 \$15
匯入	不設收費
外幣兌換	最高可達本金的300 個基點 (3%) *

†請參閱特別服務費豁免。

*當美元兌換成外幣，或外幣兌換成美元時，嘉信理財將收取最高為交易本金的3%的手續費。此金額並不包含中介金融機構可能收取的任何額外費用。外匯交易意味著您以隨時可能變動的匯率買賣外幣。

特別服務費

行業費用—對於某些證券交易，嘉信美國會收取行業費用，用以抵消自行規管組織（“SRO”）（包括國家證券交易所、清算機構和國家證券協會）和外國政府直接或間接向我們收取的一系列費用。嘉信理財收取的此類費用金額取決於交易的性質以及購買或出售的證券。行業費用是我們可能收取的任何佣金之外的費用，在您的交易確認和帳戶對帳單中標明為「行業費用」。

收取的行業費用是用以抵消（如適用）以下 SRO 和外國政府的部分或全部費用：

- 證券交易法第31條費¹
- FINRA 交易活動費²
- 期權監管費³
- 專有指數期權費⁴
- 美國存託憑證 (ADR) 的外國交易稅⁵

嘉信理財的行業費用可能會定期上升或下降，具體取決於 SEC、SRO 或外國政府設定的費率。

嘉信理財將自行決定其行業費用的金額，該費用可能不同於或超過嘉信理財就任何交易或一系列交易實際支付的費用。上述差異可能由各種內部及外部因素導致，其中包括所使用的四捨五入方法、所使用的分配帳戶、可能無法評估費用的交易或結算活動、費用變動的時間差異、第三方費率上限及下限、計算錯誤及各種其他異常原因。

請注意，嘉信理財在增加或減少行業費用或變更其組成部分費用時不會通知客戶。

美國存託憑證收費 — 託管美國存託憑證的銀行獲允許向美國存託憑證持有人收費。存款信託公司 (Deposit Trust Company) 向嘉信理財收取的美國存託憑證費用將自動從您的嘉信香港帳戶扣除並於您的月帳戶單上顯示為「美國存託憑證費用」(“ADR Pass-Thru Fee”)。

交易費用 — 此費用經拍賣購買美國國庫債券的費用。此等費用將於您的交易確認書上列明。

特別服務費豁免

- 達到特定資產水平，獲豁免所有美國及部分加拿大證券的實物證明書提取費用。
- 如住戶結餘達\$100,000或以上，每季可獲三次免費美國本地網上交易電匯轉帳服務。如住戶結餘達\$500,000或以上，無論您是通過該渠道提交電匯申請，您每季度將可豁免3筆美國境內電匯手續費。

若英文版內容與中文翻譯有任何分歧和異議，當以英文版為準。

¹ 美國證券交易委員會 (SEC) 根據某些證券的銷售總額評估各國家證券交易所和 FINRA 的交易費用。SEC 定期重新計算該費用的金額——至少每年一次，但有時更頻繁。這筆費用最終旨在支付包括美國證券交易委員會在內的政府為監督和規範證券市場和證券專業人士而產生的費用。各國家證券交易所和 FINRA 透過向其成員經紀交易商收取費用來抵消這些交易費用。嘉信美國可能會直接從其所屬的 SRO 收取這些費用，也可能間接從我們向其發送訂單的其他經紀自營商收取這些費用。

² 全國性證券協會 FINRA 向其成員公司（例如嘉信美國）收取該費用，以收回監管成本。該費用由規則設定，並在 FINRA 章程附表 A 中詳細說明。

³ 期權清算公司收取期權監管費（“ORF”），該費用由每個期權交易所評估。ORF 的金額因期權交易所、期權交易執行地點以及負責交易的經紀公司是否是特定交易所的成員而異。

⁴ 期權交易所（例如 Cboe）可能會對僅在其交易所交易的特定指數期權（例如 SPX[®]、OEX[®]和VIX[®]）收取專有指數期權費。

⁵ 一些國家的政府，例如法國、義大利和西班牙對購買他們認為與其國家有關的某些證券（包括美國發行的美國存託憑證）徵收外國交易稅。這些稅項是境外徵收的，並不考慮投資者或金融公司所在地，並按照涵蓋證券購買金額的百分比計算。



Not all products and services are available in all countries, and may be subject to country-specific restrictions.

並非所有產品及服務均於所有國家提供，亦可能受限於該國特定的規定。

Charles Schwab, Hong Kong, Ltd. is registered with the Securities and Futures Commission (“SFC”) to carry out the regulated activities in dealing in securities and advising on securities under registration CE number ADV256.

嘉信理財香港有限公司已在香港證券及期貨事務監察委員會(「證監會」)註冊，在其監管下進行證券交易、就證券提供意見等活動，其中央編號為ADV256。