20. Securities Services

Local Securities (Unless otherwise specified, the following service fees are charged according to the transaction currency)

Services	Item		Rate/Fee					Min Charge	Max Charge	Remarks
			Membership tiers of the Securities Club ^							
				Diamond Star	*Gold Star*	*Silver Star*	*Bright Star*			
Trade – related services	Brokerage Fee (Applicable to HKEx Listed Stocks)	Trading through automated trading channels (Mobile Banking/Internet Banking/ Automated Stock Trading Hotline)*	Transaction amount per trade	0.18%	0.20%	0.23%	0.25%	HKD100.0/ RMB100.0	–	For trading of listed bonds, maximum 0.25%
		Trading through branches/manned trading hotline*		0.25%	0.28%	0.40%	0.50%			
		Buying Odd Lot through Mobile Banking (NotALot)*	0.25% of transaction amount per trade					–	–	Charges are rounded up to the nearest ten cents
	Stamp Duty *#		0.10% of transaction amount per trade					HKD1.00/ RMB1.00	–	Payable by both the buying and selling parties Charges are rounded up to the nearest dollar
	Transaction Levy #		0.0027% of transaction amount per trade					–	–	SFC charge
	Trading Fee #		0.00565% of transaction amount per trade					–	–	HKEx charge
	AFRC Transaction Levy#		0.00015% of transaction amount per trade					–	–	AFRC Charge
	Italian Financial Transaction Tax (IFTT) (For buying shares issued by the companies resident in Italy)#		Subject to the latest Italian Government/authority rules and charges (Tax amount is calculated based on the weighted average purchase price and the net purchase share quantity executed on the same day)							Collected for Italian Government
	Italian Financial Transaction Tax (IFTT) (For both of the buyer and seller in a financial derivatives transaction)#		Subject to the latest Italian Government/authority rules and charges							Collected for Italian Government
	Monthly Stocks Savings Plan^^		0.25% of contribution amount					HKD50.00/ RMB50.00	–	Charge is computed for each plan

Services	Item		Rate/Fee	Min Charge	Max Charge	Remarks
Handling of physical scrip and settlement-related services	Transaction Charge*	Purchase through automated trading channels (Mobile Banking/Internet Banking/ Automated Stock Trading Hotline)	HKD2.50/RMB2.50 per board lot Charge waived if the trading amount of each transaction is HKD1,000,000.00 or above/RMB1,000,000.00 or above	HKD30.00/ RMB30.00	HKD200.00/ RMB200.00	1. Charge is computed for each stock
		Purchase through branches/manned trading hotline	HKD5.00/RMB5.00 per board lot Charge waived if the trading amount of each transaction is HKD1,000,000.00 or above/RMB1,000,000.00 or above	HKD30.00/ RMB30.00	HKD200.00/ RMB200.00	
		Buying Odd Lot through Mobile Banking (NotALot)	Waived	–	–	
	Deposit through Central Clearing and Settlement System (CCASS)		Waived	–	–	Including shares and bonds deposited through CCASS
	Physical Scrip Handling Fee		0.02% of the value of the physical scrip to be deposited (the value of the securities is calculated based on the closing price of the trading day immediately preceding the date on which the customer completes the procedures for depositing physical scrip at branches)	HKD20.00 per securities code	–	1. Applies to physical scrip deposited. 2. Fee (including minimum charge) is calculated for each securities code. 3. If a transfer of ownership is required when depositing physical scrip, a separate transfer fee will be charged.
	Dematerialisation fee (i.e. the conversion of securities from certificated form to uncertificated form)		HKD5.00 per certificate	HKD20.00	–	Only applicable to participating securities under the Uncertificated Securities Market ("USM") regime
	Stock Withdrawal Fee*		HKD10.00/RMB10.00 per board lot	HKD100.00/ RMB100.00	–	Charge is computed for each stock Payable on application Securities sold through our bank are NOT subject to the charge. Applies to "Delivery through CCASS" and "physical withdrawal"
	Transfer Deed Stamp Duty		HKD5.00 per transfer deed/certificate	HKD5.00	–	Charged on the selling of physical scrip
Nominee services and corporate actions	Dividend Collection Fee*		0.50% on each dividend	HKD30.00/ RMB30.00	HKD2,500.00/ RMB2,500.00	
	Receipt of securities*		Membership tiers of the Securities Club ^ *Diamond Star* / *Gold Star* / *Silver Star* / *Bright Star* Per board lot: HKD2.50/ RMB2.50 / HKD2.50/ RMB2.50 / HKD5.00/ RMB5.00 / HKD5.00/ RMB5.00	HKD30.00/ RMB30.00	HKD200.00/ RMB200.00	Applies to receipt of securities, such as bonus issues, scrip in lieu of cash dividends, initial public offer, offers, rights issues, placement etc.
	Corporate Action Service Charge*		HKD2.00/RMB2.00 per actionable board lot	HKD100.00/ RMB100.00	HKD2,500.00/ RMB2,500.00	Corporate actions include special scheme of arrangement, right issues, extra right issues, privatization, offers, change trading board, warrant exercising etc. Plus Share Registrars charges
	Share Splitting/Consolidation Handling Charge*		HKD30.00/RMB30.00 per event	–	–	
	Scrip Transfer (to nominee's or client's own name) Service Fee*		HKD10.00/RMB10.00 per board lot	HKD100.00/ RMB100.00	–	Scrip Fee included Debit the Settlement Account on the settlement date
	Stamp Duty Handling Fee*		HKD50.00/RMB50.00 per instruction	HKD50.00/ RMB50.00	–	Excluding Inland Revenue charges Debit the Settlement Account on the settlement date

<table>
<tr><th>Services</th><th>Item</th><th>Rate/Fee</th><th>Min Charge</th><th>Max Charge</th><th>Remarks</th></tr>
<tr><td rowspan="6">Information services (offered by Mobile Banking/ Internet Banking) @</td><td rowspan="3">Online real-time quote – basic plan</td><td>SecuritiesClub Membership Tiers^ | Diamond Star /Gold Star | Silver Star/ Bright Star
Free stock quotes per month | 1,000 quotes | 500 quotes
HKD0.10 will be charged for each additional quote used for all accounts.</td><td rowspan="3">HKD10.00</td><td rowspan="3">–</td><td rowspan="3">1. Free realtime auto-update top price level stock quote (only applicable to Mobile Banking)
2. If you successfully buy/sell securities through any of our trading channels, 200 bonus quotes will be granted to you for each transaction or every accumulated transaction amount of HKD50,000.00* or equivalent, whichever is higher. (*Only applicable to HKD denominated stock transaction)</td></tr>
<tr><td>Online real-time quote – monthly plan</td><td>HKD228.00 per month</td><td>–</td><td>–</td><td>1. Unlimited realtime stock quote
2. During the service period, if the monthly accumulated transaction amount reaches HKD1,000,000.00* or more, your service fee of the following month will be waived. (*Only applicable to HKD denominated stock transaction)
3. Service becomes effective from the following month after registration</td></tr>
<tr><td>Online real-time quote – Streaming plan</td><td>HKD328.00 per month</td><td>–</td><td>–</td><td>1. Unlimited realtime auto-update stock quote
2. During the service period, if the monthly accumulated transaction amount reaches HKD1,000,000.00* or more, your service fee of the following month will be waived. (*Only applicable to HKD denominated stock transaction)
3. Service becomes effective from the following month after registration</td></tr>
<tr><td>Price Alert</td><td>HKD1.00 for each price alert message</td><td>–</td><td>–</td><td>1. Effective from the following day after registration
2. Sole name account holders under the Securities Club Diamond Star and Gold Star Membership tiers can enjoy this service
3. Sole name account holders under the Securities Club Silver Star and Bright Star Membership tiers can register for the service for 3 months if their accumulated transaction amounts to HKD1,000,000.00 equivalent or above in the month</td></tr>
<tr><td rowspan="5">Financing and other services</td><td>Overdue interest</td><td>Ref to the O/D interest of Temporary Overdraft of Current Account</td><td>–</td><td>–</td><td>Calculated on the overdue balance</td></tr>
<tr><td>Loan interest rate of securities margin Trading Account</td><td>Membership tiers of the Securities Club ^
| | Diamond Star | Gold Star | Silver Star | Bright Star
Our Bank's Prime rate | +1.50% | +1.50% | +2.25% | +2.25%</td><td>–</td><td>–</td><td>1. Calculated on the debit balance of the cash balance of the account
2. Interest charge will be posted on the last working day on a monthly basis</td></tr>
<tr><td>Unclaimed Entitlement Application Fee</td><td>HKD150.00 per claim plus HKD20.00 per board lot</td><td>–</td><td>–</td><td>1. Scrip Fee included
2. Application Fee is levied irrespective of result
3. Plus brokers/HKSCC charges</td></tr>
<tr><td>Unclaimed Entitlement Handling Fee</td><td>0.50% on cash dividend claimed, and HKD5.00 per board lot for bonus shares/rights, etc., claimed</td><td>HKD20.00</td><td>–</td><td>Plus brokers/HKSCC charges</td></tr>
<tr><td>New Issue Subscrip - tion Charge*</td><td>HKD100.00/RMB100.00 per application</td><td>HKD100.00/ RMB100.00</td><td>–</td><td>Subscription charge is levied irrespective of result of allotment</td></tr>
</table>

A shares (Shanghai/Shenzhen)

Services	Item		Rate/Fee					Min Charge	Max Charge	Remarks
Trade related ser – vices	Brokerage Fee			Membership tiers of the Securities Club ^				RMB100.00	–	
				Diamond Star	*Gold Star*	*Silver Star*	*Bright Star*			
		Trading through automated trading channels (Mobile Banking/Internet Banking)*	Trans – action amount per trade	0.18%	0.20%	0.23%	0.25%			
		Trading through branches/manned trading hotline*		0.25%	0.28%	0.40%	0.50%			
					A Shares	ETF				
	Handling Fee ##		Transaction amount per trade		0.00341%	0.004%		–	–	SSE/SZSE charge
	Securities Management Fee ##		Transaction amount per trade		0.002%			–	–	CSRC charge
	Transfer Fee ##		Transaction amount per trade		0.003%	0.002%		–	–	A Shares: 1. ChinaClear Shanghai/ChinaClear Shenzhen charges 0.001% 2. HKSCC charges 0.002% ETF: HKSCC charges 0.002%
	Stamp Duty ##		0.05% of transaction amount per trade					–	–	Payable by the selling party
Settle – ment related service	Transaction Charge*	Purchase through automated trading channels (Internet Banking)	RMB0.25 per board lot Charge waived if the trading amount of each transaction is RMB1,000,000.00 or above					RMB30.00	RMB200.00	1. Charge is computed for each stock
		Purchase through branches/manned trading hotline	RMB0.50 per board lot Charge waived if the trading amount of each transaction is RMB1,000,000.00 or above					RMB30.00	RMB200.00	
		Deposit through BOCHK	Waived					–	–	1. Scrip deposited 2. Charge is computed for each stock
	Stock Withdrawal Fee*		RMB1.00 per board lot					RMB100.00	–	1. Charge is computed for each stock 2. Payable on application 3. Securities sold through our bank are NOT subject to the charge

<table>
<tr><th>Services</th><th>Item</th><th colspan="6">Rate/Fee</th><th>Min Charge</th><th>Max Charge</th><th>Remarks</th></tr>
<tr><td rowspan="4">Nomi – nee ser – vices and cor – porate actions</td><td>Dividend Collection Fee*</td><td colspan="6">0.50% on each dividend</td><td>RMB30.00</td><td>RMB2,500.00</td><td></td></tr>
<tr><td rowspan="3">Receipt of securities*</td><td colspan="6">Membership tiers of the Securities Club ^</td><td rowspan="3">RMB30.00</td><td rowspan="3">RMB200.00</td><td rowspan="3">Applies to receipt of securities, such as bonus issues, scrip in lieu of cash dividends, initial public offer, offers, rights issues, placement etc.</td></tr>
<tr><td></td><td>Diamond Star</td><td>Gold Star</td><td>Silver Star</td><td>Bright Star</td></tr>
<tr><td>Per board lot</td><td>RMB 0.25</td><td>RMB 0.25</td><td>RMB 0.50</td><td>RMB 0.50</td></tr>
<tr><td>Corporate Action Service Charge*</td><td colspan="6">RMB0.20 per actionable board lot</td><td>RMB100.00</td><td>RMB2,500.00</td><td>Corporate actions include special scheme of arrangement, right issues, extra right issues, priva – tization, offers, change trading board etc.</td></tr>
<tr><td>Share Splitting/Consolidation Handling Charge*</td><td colspan="6">RMB30.00 per event</td><td>–</td><td>–</td><td></td></tr>
<tr><td>Infor – mation services (offered by Internet Banking)</td><td>Online real-time quote</td><td colspan="6">Waived (No limit)</td><td>–</td><td>–</td><td></td></tr>
<tr><td rowspan="3">Financing service</td><td>Overdue interest</td><td colspan="6">Ref to the O/D interest of Temporary Overdraft of Current Account</td><td>–</td><td>–</td><td>Calculated on the overdue balance</td></tr>
<tr><td rowspan="3">Loan interest rate of securities margin Trading Account</td><td colspan="6">Membership tiers of the Securities Club ^</td><td rowspan="3">–</td><td rowspan="3">–</td><td rowspan="3">1. Calculated on the debit balance of the cash balance of the account
2. Interest charge will be posted on the last working day on a monthly basis</td></tr>
<tr><td colspan="3">Diamond Star/Gold Star</td><td colspan="3">Silver Star/Bright Star</td></tr>
<tr><td colspan="3">Our Bank's Prime rate – 1%</td><td colspan="3">Our Bank's Prime rate</td></tr>
</table>

US Securities

Services	Item		Rate/Fee	Min Charge		Max Charge	Remarks
Trade-related services	Brokerage Fee (Applicable to US Stocks)	Trading through automated trading channels (Mobile Banking /Internet Banking)	USD$0.02 per Share	Private Wealth/Wealth Management /Enrich banking customers	Other Customers	–	
				USD16	USD18		
	SEC Fee #		Subject to the latest The U.S. Securities and Exchange Commission ("SEC") rules and charges				1. Only applicable to sell transaction 2. The SEC and FINRA fee are subject to review by external parties from time to time.
	FINRA Fee #		Subject to the latest The Financial Industry Regulatory Authority ("FINRA") rules and charges				
	Italian Financial Transaction Tax (IFTT) (For buying shares issued by the companies resident in Italy) #		Subject to the latest Italian Government/authority rules and charges (Tax amount is calculated based on the weighted average purchase price and the net purchase share quantity executed on the same day)				Collected for Italian Government
	Italian Financial Transaction Tax (IFTT) (For both of the buyer and seller in a financial derivatives transaction) #		Subject to the latest Italian Government/authority rules and charges				Collected for Italian Government
	French Financial Transaction Tax (FTT) (For buying shares issued by the French companies headquartered in France and with market capitalization exceeding one billion euros.)		Subject to the latest French Government rules and charges	–		–	Collected for French Government
Scrip handling and settlement – related service	Stock Deposit/Withdrawal Fee		Waived	–		–	Customers will need to pay if there is any out of pocket cost incurred.

Services	Item	Rate/Fee	Min Charge	Max Charge	Remarks
Nominee services and corporate actions	Dividend Collection Fee and other Corporate Actions	Waived	–	–	1. US withholding tax will be deducted when dividends are paid 2. Customers will need to pay if there is any out of pocket cost incurred.
	American Depository Receipt (ADR) Fee	USD0.01 – 0.05 per share	–	–	Customers holding ADRs may be charged ADR fee regularly (e.g. annually) by the Depository Receipts Agent through BOCHK. ADR fee is subject to the final confirmation from the Depository Receipts Agent and the captioned price range is for reference only.
Information services (offered by Internet/ Mobile Banking)	Online real-time quote – basic plan	Waived (No limit)	–	–	Customers need to apply for real-time quote via online/mobile banking.

Singapore Securities – Jardine Group Stocks and other bonus issue

Item	Rate/Fee	Minimum/Maximum Charge
Brokerage Fee	0.50% of the transaction amount per trade	Minimum: USD20.00
Clearing Fee §	0.0325% of the transaction amount per trade	–
Securities deposit/withdraw	Except our Bank charges, plus out-of-pocket expenses. Please contact our Bank for details.	

US Securities listed in Hong Kong

Item	Rate/Fee
Dividend Collection Fee	30% of dividend deducted as US government withholding tax Remaining dividend charged at the same rate as local securities
Withdrawal Fee for Physical Scrip	HKD100.00 handling charge per instruction, plus HKD600.00 CCASS and Depositor Trust Company (DTC) fee per instruction, as well as out-of-pocket expenses incurred by HKSCC
Cross Border Transfer Fee for Receipt/ Delivery of Securities	HKD100.00 handling charge per instruction, plus HKD200.00 CCASS and Depository Trust Company (DTC) fee per instruction, as well as out-of-pocket expenses incurred by HKSCC
Warrant Conversions, Voluntary Takeovers, Tender Offers & Open Offers Service Fee	HKD100.00 handling charge per instruction, plus HKD600.00 CCASS and Depository Trust Company (DTC) fee per instruction, as well as out-of-pocket expenses incurred by HKSCC

Account Maintenance

Services	Item	Rate/Fee					Min Charge	Max Charge	Remarks
		Membership tiers of the Securities Club ^							
			Diamond Star	*Gold Star*	*Silver Star*	*Bright Star*			
Account main-tenance	Safe Custody Fee	Half – yearly	Waived	HKD 100.00	HKD 150.00	HKD 150.00	–	–	1. Applies to all types of securities (e.g. shares, notes and bonds etc.) 2. Applies to customers who have securities transaction record (s) or securities holdings in the six month period on or before 31 May and 30 November each year 3. The fee is payable when the account is closed before the above payment dates 4. Safe custody fee will only be charged once even though the securities account holds both shares and bonds, whichever is higher 5. If there are securities from different markets in the account, safe custody fee is charged once only
	Singapore Good and Services Tax# (For Singapore Person)	Subject to the latest The Inland Revenue Authority of Singapore (IRAS) rules and charges					–	–	IRAS charge
	Stock Balance Confirmation	Refer to the charges of "Bank Certification" in Deposit and General Banking Services					–	–	
	Reprint Statement	HKD50.00 per statement					–	–	Up to seven years

^ Requirements of each Securities Club membership:

Membership tier	Required accumulated securities transaction amount or Required Investment Assets Value in each membership period
Diamond Star	HK$30 million or above/Being a Private Wealth customer
Gold Star	HK$3 million or above to below HK$30 million
Silver Star	HK$300,000.00 or above to below HK$3 million
Bright Star	Below HK$300,000.00

Please contact staff of the bank to enquire about the details of the Securities Club.

* Fee and charges are calculated based on the transaction currency.

\# Fees and charges determined and collected by the Government of the Hong Kong SAR, the US Government, Securities and Futures Commission "SFC", HKEx, Accounting and Financial Reporting Council "AFRC" or other governments and/or public bodies are subject to change without prior notice.

\## Fees and charges determined and collected by Shanghai Stock Exchange "SSE", Shenzhen Stock Exchange "SZSE", China Securities Regulatory Commission "CSRC", China Securities Depository and Clearing Corporation Limited, Shanghai Branch "ChinaClear Shanghai", China Securities Depository and Clearing Corporation Limited, Shenzhen Branch "ChinaClear Shenzhen", State Administration of Taxation and Hong Kong Securities Clearing Company Limited (HKSCC) are subject to change without prior notice.

@ Unused free basic quotes on Basic Plan cannot be carried forward to the next month. Service fee for Monthly Plan will not be partially refunded. The fees will be debited from the Internet Banking settlement account in the following month. If there is insufficient fund to settle the fees, the real-time quote service will be suspended. The number of free real-time quotes entitled will be determined by your sole-name account type. If you only hold a joint-name account, the number of free real-time quotes entitled will be equivalent to a General Account.

§ Fees and charges determined and collected by the authorized organization in Singapore are subject to change without prior notice.

^^ The currency of the fee will be charged depends on the currency of the monthly contribution. If both HKD and RMB denominated stock are chosen in the same Monthly Stocks Saving Plan, the service fee will be charged in HKD.

Remarks:

1. Odd lot is treated as one board lot in the calculation of fees and charges.
2. Except otherwise mentioned, all charges are charged on the "per transaction", "per stock", and "per day" basis.
3. Except the charges listed above, all other charges for overseas securities are the same as for local securities.
4. Charges for specific services and out-of-pocket expenses may not be listed in the above table. For details, please contact our staff.
5. Customers are required to bear the relevant charges, levies, taxes or interests received and derived by relevant service providers, governments or regulatory agencies on the designated securities or securities trading services provided by the Bank. For details, please contact our staff.
6. Fees will be adjusted at any time without prior notice.
7. The above charges are for reference only. Bank of China (Hong Kong) Limited reserves the right to revise the service fee from time to time.