

Securities Services

Local Securities (The following service fees are charged according to the transaction currency)

(2014.11)

Services	Item		Rate / Fee				Min Charge	Max Charge	Remarks
Trade-related services	Brokerage Fee (Applicable to HKEx Listed Stocks)		Membership tiers of the Securities Club [^]				HKD100.00 / RMB100.00	-	For trading of listed bonds, maximum 0.25%
				<i>Diamond Star</i>	<i>Gold Star</i>	<i>Silver Star</i>			
		Trading through automated trading channels (Mobile Banking / Internet Banking / Automated Stock Trading Hotline)*	Transaction amount per trade	0.18%	0.20%	0.23%			
		Trading through branches / manned trading hotline*		0.25%	0.28%	0.40%			
	Stamp Duty **		0.10% of transaction amount				HKD1.00 / RMB1.00	-	1. Payable by both the buying and selling parties 2. Charges are rounded up to the nearest dollar
	Transaction Levy #		0.0027% of transaction amount				-	-	SFC charge
	Trading Fee #		0.005% of transaction amount				-	-	HKEx charge
	Italian Financial Transaction Tax (IFTT) (For buying shares issued by the companies resident in Italy)		0.2% (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
Scrip handling and settlement - related service	Transaction Charge*	Italian Financial Transaction Tax (IFTT) (For both of the buyer and seller in a financial derivatives transaction)	0.125 Euros for each transaction with Notional Value 0-2,500 Euros; 0.25 Euros for each transaction with Notional Value 2,500-5,000 Euros; 0.50 Euros for each transaction with Notional Value 5,000-10,000 Euros; 2.5 Euros for each transaction with Notional Value 10,000-50,000 Euros; 5 Euros for each transaction with Notional Value 50,000-100,000 Euros; 25 Euros for each transaction with Notional Value 100,000-500,000 Euros; 50 Euros for each transaction with Notional Value 500,000-1,000,000 Euros; 100 Euros for each transaction with Notional Value higher than 1,000,000 Euros Notional Value = Quantity of the financial derivatives purchased or sold X Purchase or Selling price of the financial derivatives Remark: The above IFTT table is only applicable to certain types of the financial derivatives only.				-	-	Collected for Italian Government
		Monthly Stocks Savings Plan ^{^^}	0.25% of contribution amount				HKD50.00 / RMB50.00	-	Charge is computed for each plan
		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	
		Deposit through Central Clearing and Settlement System (CCASS) or physical scrip	Waived				-	-	1. Through CCASS or physical scrip deposited (including shares and bonds) are subject to the charge 2. Plus Scrip Transfer Service Fee, if applicable, for physical scrip deposited 3. Charge is computed for each stock

Services	Item	Rate / Fee				Min Charge	Max Charge	Remarks
Scrip handling and settlement - related service	Stock Withdrawal Fee*	HKD10.00 / RMB10.00 per board lot				HKD100.00 / 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. 4. 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 ^				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.
			<i>Diamond Star</i>	<i>Gold Star</i>	<i>Silver Star</i>	<i>Bright Star</i>		
		Per board lot	HKD2.50 / RMB2.50	HKD2.50 / RMB2.50	HKD5.00 / RMB5.00	HKD5.00 / RMB5.00		
	Corporate Action Service Charge*	HKD2.00 / RMB2.00 per actionable board lot				HKD100.00 / RMB100.00	HKD2,500.00 / RMB2,500.00	1. Corporate actions include special scheme of arrangement, right issues, extra right issues, privatization, offers, change trading board, warrant exercising etc. 2. 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	-	1. Scrip Fee included 2. Debit the Settlement Account on the settlement date
	Stamp Duty Handling Fee*	HKD50.00 / RMB50.00 per instruction				HKD50.00 / RMB50.00	-	1. Excluding Inland Revenue charges 2. Debit the Settlement Account on the settlement date

Services	Item	Rate / Fee			Min Charge	Max Charge	Remarks
Information services (offered by Internet Banking) [®]	Online real-time quote - basic plan	Securities Club Membership Tiers ^A	Diamond Star / Gold Star	Silver Star / Bright Star	HKD10.00	-	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)
		Free stock quotes per month	1,000 quotes	500 quotes			
		HKD0.10 will be charged for each additional quote used for all accounts.					
	Online real-time quote - monthly plan	HKD228.00 per month			-	-	1. Unlimited real-time 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. Effective from the following month after registration
	Online real-time quote - Streaming plan	HKD328.00 per month			-	-	1. Unlimited real-time 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. Effective from the following month after registration
	Price Alert	HKD1.00 for each price alert message			-	-	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

Services	Item	Rate / Fee					Min Charge	Max Charge	Remarks
Financing and other services	Overdue interest	Ref to the O/D interest of Temporary Overdraft of Current Account					-	-	Calculated on the overdue balance
	Loan interest rate of securities margin Trading Account	Membership tiers of the Securities Club ^a					-	-	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
			<i>Diamond Star</i>	<i>Gold Star</i>	<i>Silver Star</i>	<i>Bright Star</i>			
		Our Bank's Prime rate	+1.50%	+1.50%	+2.25%	+2.25%			
	Unclaimed Entitlement Application Fee	HKD150.00 per claim plus HKD20.00 per board lot					-	-	1. Scrip Fee included 2. Application Fee is levied irrespective of result 3. Plus brokers / HKSCC charges
	Unclaimed Entitlement Handling Fee	0.50% on cash dividend claimed, and HKD5.00 per board lot for bonus shares / rights, etc., claimed					HKD20.00	-	Plus brokers / HKSCC charges
	New Issue Subscription Charge*	HKD100.00 / RMB100.00 per application					HKD100.00 / RMB100.00	-	Subscription charge is levied irrespective of result of allotment

Shanghai A shares

Services	Item		Rate / Fee					Min Charge	Max Charge	Remarks
Trade related services	Brokerage Fee		Membership tiers of the Securities Club ^a					RMB100.00	-	
				<i>Diamond Star</i>	<i>Gold Star</i>	<i>Silver Star</i>	<i>Bright Star</i>			
		Trading through automated trading channels (Internet Banking)*	Transaction 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%			
	Handling Fee ##		0.00696% of transaction amount					-	-	SSE charge
	Securities Management Fee ##		0.002% of transaction amount					-	-	CSRC charge
	Transfer Fee ##		0.06% of stock face value					-	-	ChinaClear charge
	Stamp Duty ##		0.1% of transaction amount					-	-	Payable by the selling party
Settlement 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 <u>NOT</u> subject to the charge

Services	Item	Rate / Fee					Min Charge	Max Charge	Remarks
Nomi- nee ser- vices and cor- porate actions	Dividend Collection Fee*	0.50% on each dividend					RMB30.00	RMB2,500.00	
	Receipt of securities*	Membership tiers of the Securities Club ^					RMB30.00	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.
			<i>Diamond Star</i>	<i>Gold Star</i>	<i>Silver Star</i>	<i>Bright Star</i>			
		Per board lot	RMB0.25	RMB0.25	RMB0.50	RMB0.50			
	Corporate Action Service Charge*	RMB0.20 per actionable board lot					RMB100.00	RMB2,500.00	1. Corporate actions include special scheme of arrangement, right issues, extra right issues, privatization, offers, change trading board etc.
	Share Splitting / Consolidation Handling Charge*	RMB30.00 per event					-	-	
Information services (offered by Internet Banking)	Online real-time quote	Waived (No limit)					-	-	
Financing service	Overdue interest	Ref to the O/D interest of Temporary Overdraft of Current Account					-	-	Calculated on the overdue balance
	Loan interest rate of securities margin Trading Account	Membership tiers of the Securities Club ^					-	-	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
		<i>Diamond Star / Gold Star</i>		<i>Silver Star / Bright Star</i>					
		Our Bank's Prime rate - 1%		Our Bank's Prime rate					

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 Take-overs, 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
Account maintenance	Safe Custody Fee	Membership tiers of the Securities Club ^				-	-	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
			<i>Diamond Star</i>	<i>Gold Star</i>	<i>Silver Star</i>			
		Half-yearly	Waived	HKD100.00	HKD150.00			
	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
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.

* Fees are charged according to the transaction currency.

Fees and charges determined and collected by the Government of the Hong Kong SAR, Securities and Futures Commission “SFC” or HKEx are subject to change without prior notice.

Fees and charges determined and collected by Shanghai Stock Exchange “SSE”, China Securities Regulatory Commission “CSRC”, China Securities Depository and Clearing Corporation Limited “ChinaClear” and State Administration of Taxation 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. 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.