

Fee Schedule

(Effective from 23 December 2022)

I. General Banking Services

Remittance / Transfers	
Outward Remittance - Telegraphic Transfer / Express Transfer (RTGS/CHATS) - Cancellation / Amendment / Request for Return	HKD 200 per transaction HKD 200 per transaction
Inward Remittance	Waived
Account Service Fee	
Account Service Fee ¹ (applicable to accounts with AUM below USD 3 million)	Up to USD 1,000 (half-yearly)
Other Services	
Request for copy of account statements (from 1 month up to 7 years preceding the date of request)	HKD 50 per statement cycle

II. Securities Services ²

The following service fees are charged according to the transaction currency.

Services	Hong Kong Securities	A Shares (Shanghai/Shenzhen)
Trade-related Services ¹⁴		
Brokerage Fee	0.4% of transaction amount, minimum HKD 400 or equivalent	0.4% of transaction amount, minimum RMB 400 or equivalent
Stamp Duty ³	0.13% of transaction amount (collected for HKSAR Government)	0.1% of transaction amount (collected for State Administration of Taxation & payable by the selling party)
Transaction Levy (collected for the Securities & Futures Commission of Hong Kong)	0.0027% of transaction amount	N/A
Trading Fee (collected for The Stock Exchange of Hong Kong Limited)	0.005% of transaction amount	N/A
FRC Transaction Levy (collected for Financial Reporting Council)	0.00015% of transaction amount	N/A
Handling Fee (collected for the Shanghai Stock Exchange / Shenzhen Stock Exchange)	N/A	0.00487% of transaction amount
Securities Management Fee (collected for the China Securities Regulatory Commission)	N/A	0.002% of transaction amount
Transfer Fee (China Securities Depository and Clearing Corporation Limited, Shanghai/Shenzhen Branch charges 0.001% & Hong Kong Securities Clearing Company Limited charges 0.002%)	N/A	0.003% of transaction amount

Services	Hong Kong Securities	A Shares (Shanghai/Shenzhen)
Scrip Handling and Settlement-related Services		
Transaction Charge (for purchase transactions only & charge is computed for each stock)	Waived	Waived
Stock Deposit Fee	Waived	Waived
Stock Withdrawal Fee	HKD 650 per stock transaction ⁴	RMB 650 per stock transaction ⁵
Transfer Deed Stamp Duty (charged on the selling of physical scrip)	HKD 5 per transfer deed / certificate	N/A
Stamp Duty Handling Fee	HKD 1,000 per instruction	N/A
Account Maintenance		
Safe Custody Fee ⁶	HKD 1,000 (half-yearly)	
Nominee Services and Corporate Actions		
Receipt of securities ⁷	HKD 3.50 or equivalent per board lot, minimum HKD 40 and maximum HKD 250 or equivalent	RMB 0.35 or equivalent per board lot, minimum RMB 40 and maximum RMB 250 or equivalent
Dividend Collection Fee	0.5% on each dividend, minimum HKD 75 and maximum HKD 6,500 or equivalent	0.5% on each dividend, minimum RMB 75 and maximum RMB 6,500 or equivalent
Corporate Action Service Charge ⁸	HKD 3.50 or equivalent per actionable board lot, minimum HKD 150 and maximum HKD 3,200 or equivalent (plus Share Registrars charges)	RMB 0.35 or equivalent per actionable board lot, minimum RMB 150 and maximum RMB 3,200 or equivalent
Share Splitting / Consolidation Handling Charge	HKD 150 or equivalent per event	RMB 150 or equivalent per event
Cross Border Transfer Fee for Receipt / Delivery of Securities	<i>(Applicable to US Securities listed in Hong Kong)</i> HKD 100 handling charge per instruction, plus HKD 200 CCASS and Depository Trust Company (DTC) fee per instruction, as well as out-of-pocket expenses incurred by HKSCC. The charge levied by other relevant exchange(s) / clearing house(s) (where applicable) will be collected separately.	N/A
Financing and Other services		
New Issue Subscription Charge	HKD 100 / RMB 100 per application (subscription charge is levied irrespective of result of allotment)	N/A
Financing Charge for Subscription of Securities	Subject to the charges announced for each IPO	N/A

Services	US Securities (Digital Channel) ^{13 16}	US Securities (Manned Channel) ^{13 16}
Trade-related Services¹⁴		
Brokerage Fee	USD 0.02 per stock per transaction, minimum USD 16 or equivalent	1% of transaction amount, minimum USD 300 or equivalent
SEC Fee ⁹ (for sell transactions only)	Subject to the latest rules and charges by the U.S. Securities and Exchange Commission ("SEC")	Subject to the latest rules and charges by the U.S. Securities and Exchange Commission ("SEC")
FINRA Fee ⁹ (for sell transactions only)	Subject to the latest rules and charges	Subject to the latest rules and charges
Script Handling and Settlement-related Services (No physical scrip deposit or withdrawal service is available)		
Stock Deposit Fee	Waived	Waived
Stock Withdrawal Fee ⁵	Waived	USD 100 per stock transaction
Account Maintenance		
Safe Custody Fee	HKD 1,000 (half-yearly) ⁶	USD 75 (half-yearly) ¹²
Nominee Services and Corporate Actions		
Dividend Collection Fee and other Corporate Actions ¹⁰	Waived	Waived
American Depository Receipt (ADR) Fee ¹¹	USD 0.01 – 0.05 per share	USD 0.01 – 0.05 per share

Services	Singapore Securities ¹³	Japan Securities ¹³
Trade-related Services		
Brokerage Fee	0.5% of transaction amount, minimum USD 300 or equivalent	0.5% of transaction amount, minimum USD 300 or equivalent
SGX Trading Fee (collected for Singapore Exchange Limited)	Subject to the latest rules and charges	N/A
Clearing Fee (collected for Singapore Exchange Limited)	Subject to the latest rules and charges	N/A
Script Handling and Settlement-related Services (No physical scrip deposit or withdrawal service is available)		
Stock Deposit Fee	Waived	Waived
Stock Withdrawal Fee ⁵	USD 100 per stock transaction	USD 100 per stock transaction
Account Maintenance		
Safe Custody Fee ¹²	USD 75 (half-yearly)	USD 75 (half-yearly)
Nominee Services and Corporate Actions		
Dividend Collection Fee and other Corporate Actions ¹⁰	Waived	Waived

III. Bonds

Trade-related Services	
Commission (for Bank acting as agent only)	1% of the notional amount of the transaction (to be rounded to the nearest percentage point)
Settlement-related Services	
Deposit Fee	Waived
Withdrawal Fee	HKD 700 per issue transaction
Account Maintenance	
Safe Custody Fee ⁶	0.05% of average daily balance within the period (half-yearly), minimum HKD 500 and maximum HKD 5,000 or equivalent
Nominee Services and Corporate Actions	
Coupon Collection Fee and other Corporate Actions ¹⁵	Waived

IV. Structured Notes

Trade-related Services	
Commission (for Bank acting as agent only)	1% of the notional amount of the transaction for Structured Notes with maturity up to 1 year; and 3% of the notional amount of the transaction for Structured Notes with maturity longer than 1 year (to be rounded to the nearest percentage point)
Settlement-related Services	
Deposit Fee	Waived
Withdrawal Fee	HKD 700 per issue transaction
Account Maintenance	
Safe Custody Fee ⁶	0.05% of average daily balance within the period (half-yearly), minimum HKD 500 and maximum HKD 5,000 or equivalent
Nominee Services and Corporate Actions	
Coupon Collection Fee and other Corporate Actions	Waived
Fees Charged and Payable to Third Parties	
Stamp Duty ³	0.13% of transaction amount of the settled stock (collected for HKSAR Government)

V. Funds / Alternative Investments

Trade-related Services	
Subscription Fee	Subject to the terms and conditions of the fund
Redemption Fee	Subject to the terms and conditions of the fund
Switching Fee	Subject to the terms and conditions of the fund
Settlement-related Services	
Deposit Fee	Waived
Withdrawal Fee	USD 100 per issue transaction

General Information

- This schedule sets out the fees and charges for transactions and services that the Private Banking of Bank of China (Hong Kong) Limited (“us”, “we” or “Bank”) may make available to you and is to be read in conjunction with the General Banking Services Charges of the Bank (please refer to the Bank’s website <http://www.bochk.com>). Fees and charges for transactions and services not listed above can be referred to the General Banking Services Charges of the Bank and/or will be quoted upon application. In case the same item of fees and charges is listed in the General Banking Services Charges of the Bank, the fees and charges in this schedule shall prevail.
- This schedule applies to standard transactions and services. Fees and charges for non-standard transactions and services will be handled on a case-by-case basis and subject to negotiation.
- Out-of-pocket expenses, such as stamp duty, postage, cable charge, correspondent’s charge, etc., if any, will be charged additionally.
- For unusual handling, a special handling charge may be charged for the amount of work involved.
- We reserve the right to amend or withhold the above fees and charges.

Remarks

1. The Account Service Fee will only be applicable 6 months after the initial account opening.
2. (a) Odd lot is treated as one board lot in the calculation of fees and charges.
(b) Except otherwise mentioned, all charges are charged on the “per transaction”, “per stock”, and “per day” basis.
(c) Customers are required to bear the relevant charges, levies, taxes or interests received and derived by relevant services providers, governments or regulatory agencies on the designated securities or securities trading services provided by the Bank. For details, please contact our staff.
3. Charges are rounded up to the nearest dollar.
4. (a) Charge is computed for each stock.
(b) Payable on application.
(c) Securities sold through the Bank are NOT subject to the charge.
(d) Applies to “Delivery through CCASS” and “physical withdrawal”.
5. (a) Charge is computed for each stock.
(b) Payable on application.
(c) Securities sold through the Bank are NOT subject to the charge.
6. (a) Applies to all types of securities (e.g. stocks, notes and bonds etc.), except for US stocks (Manned Channel), Singapore stocks and Japan stocks (please refer to remark 12 or contact our staff for details).
(b) Applies to customers who have securities transaction record(s) or securities holdings in the six months period on or before 31 May and 30 November each year.
(c) The fee is payable when the account is closed before the above payment dates.
(d) Safe custody fee will only be charged once even though the securities account holds securities from different stock markets (except US stocks (Manned Channel), Singapore stocks and Japan stocks), bonds, structured notes, whichever is higher.
(e) If there are US stocks (Manned Channel), Singapore stocks and/or Japan stocks in the account, its relevant safe custody fee will be charged separately. For details, please refer to remark 12.
7. Applies to receipt of securities, such as bonus issues, scrip in lieu of cash dividends, initial public offer, offers, rights issues, placement etc.
8. Corporate actions include special scheme of arrangement, right issues, extra right issues, privatization offers, change trading board, warrant exercising etc.
9. The SEC Fee and FINRA Fee are subject to review by external parties from time to time.
10. Withholding tax (if any) will be deducted when dividends are paid.
11. Customers holding ADRs may be charged ADR fee regularly (e.g. annually) by the Depository Receipts Agent through the Bank. ADR fee is subject to the final confirmation from the Depository Receipts Agent and the captioned price range is for reference only.
12. (a) Applies to customers who have securities transaction record(s) or securities holdings in US stocks (Manned Channel), Singapore stocks and/or Japan stocks in the six months period on or before 31 May and 30 November each year.
(b) If there are securities from US stocks (Manned Channel) and/or Singapore stocks and/or Japan stocks in the account, safe custody fee is charged once only.
(c) If there is the securities specified in remark 6(a), the relevant safe custody fee will NOT be charged in aggregation of the securities stipulated in remark 12(a). Clients would be levied for both applicable safe custody fee.
13. There may be other fees, charges, levies, tax and interest that apply to certain securities or particular security trading services provided by the Bank that are introduced and/or charged by the relevant service providers, government or regulatory bodies. Customer is fully responsible for such fees, charges, levies, tax and interest. Please make enquiry with the Bank for details.
14. For the Italian Financial Transaction Tax (IFTT) and the French Financial Transaction Tax (FFTT) related charges, please refer to the General Banking Services Charges of the Bank for details.
15. The waiver of Coupon Collection Fee and other Corporate Actions is not applicable to the out-of-pocket charges levied by relevant issuer, clearing agent and/ or trustee.
16. Manned Channel refers to trading through Investment Consultant / Relationship Manager and Dealing Hotline. Digital Channel refers to trading through Mobile Banking / Internet Banking.