

### 3. Securities Services

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

| Services                                      | Item   |   | Rate / Fee  |   |                  |                    | Min Charge            | Max Charge            | Remarks  |  |
|---|--|---|---|---|------------------|--------------------|-----------------------|-----------------------|--|--|
| Trade-related services                        | Brokerage Fee (Applicable to HKEx Listed Stocks)   | Trading through automated trading channels (Mobile Banking / Internet Banking / Automated Stock Trading Hotline)* | 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> |                       |                       |  | <i>Bright Star</i>   |
|   |  | 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%                 |                       |  |  |
|   |  | Stamp Duty *#   |   | 0.10% of transaction amount   |                  |                    |                       | HKD1.00 / RMB1.00     | -  | 1. Payable by both the buying and selling parties<br>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)            |   | 0.1% (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) |   | 0.125 Euros for each transaction with Notional Value 0-2,500 Euros;<br>0.25 Euros for each transaction with Notional Value 2,500-5,000 Euros;<br>0.50 Euros for each transaction with Notional Value 5,000-10,000 Euros;<br>2.5 Euros for each transaction with Notional Value 10,000-50,000 Euros;<br>5 Euros for each transaction with Notional Value 50,000-100,000 Euros;<br>25 Euros for each transaction with Notional Value 100,000-500,000 Euros;<br>50 Euros for each transaction with Notional Value 500,000-1,000,000 Euros;<br>100 Euros for each transaction with Notional Value higher than 1,000,000 Euros<br><br>Notional Value = Quantity of the financial derivatives purchased or sold X Purchase or Selling price of the financial derivatives<br><br>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   |  |
| Scrip handling and settlement-related service | Transaction Charge*  | Purchase through automated trading channels (Mobile Banking / Internet Banking / Automated Stock Trading Hotline) | HKD2.50 / RMB2.50 per board lot<br>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<br>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<br>2. Plus Scrip Transfer Service Fee, if applicable, for physical scrip deposited<br>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<br>2. Payable on application<br>3. Securities sold through our bank are NOT subject to the charge.<br>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.<br>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<br>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<br>2. Debit the Settlement Account on the settlement date |   |  |

| Services  | Item                                  | Rate / Fee   |                          |                           | Min Charge | Max Charge  | Remarks  |
|---|---------------------------------------|--|--------------------------|---------------------------|------------|---|--|
| Information services (offered by Internet Banking) <sup>®</sup> | Online real-time quote - basic plan   | Securities Club Membership Tiers <sup>^</sup>                            | 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  |                          |                           | -          | -   | <ol style="list-style-type: none"> <li>1. Unlimited realtime stock quote</li> <li>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)</li> <li>3. Effective from the following month after registration</li> </ol> |
| Online real-time quote - Streaming plan                         | HKD328.00 per month                   |  |                          | -                         | -          | <ol style="list-style-type: none"> <li>1. Unlimited realtime auto-update stock quote</li> <li>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)</li> <li>3. Effective from the following month after registration</li> </ol>  |  |
| Price Alert   | HKD1.00 for each price alert message  |  |                          | -                         | -          | <ol style="list-style-type: none"> <li>1. Effective from the following day after registration</li> <li>2. Sole name account holders under the Securities Club Diamond Star and Gold Star Membership tiers can enjoy this service</li> <li>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</li> </ol> |  |

| 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 ^  |                     |                  |                       | -          | -   | 1. Calculated on the debit balance of the cash balance of the account<br>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>    |            |   |   |
|                                |   | 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<br>2. Application Fee is levied irrespective of result<br>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 |   |

### A shares (Shanghai / Shenzhen)

| Services                   | Item                         | Rate / Fee   |  |                  |                    | Min Charge | Max Charge   | Remarks   |                    |
|----------------------------|------------------------------|--|--|------------------|--------------------|------------|--|---|--------------------|
| Trade related services     | Brokerage Fee                | Membership tiers of the Securities Club ^                      |  |                  |                    | 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%              |
|                            |                              | Trading through branches / manned trading hotline*             |  |                  |                    |            |  |   |                    |
|                            |                              |  | 0.25%  | 0.28%            | 0.40%              | 0.50%      |  |   |                    |
|                            | Handling Fee ##              | 0.00487% of transaction amount                                 |  |                  |                    | -          | -  | SSE / SZSE charge   |                    |
|                            | Securities Management Fee ## | 0.002% of transaction amount                                   |  |                  |                    | -          | -  | CSRC charge   |                    |
| Transfer Fee ##            | 0.004% of transaction amount |  |  |                  | -                  | -          | 1. ChinaClear Shanghai / ChinaClear Shenzhen charges 0.002%<br>2. HKSCC charges 0.002% |   |                    |
| 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<br>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<br>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<br>2. Charge is computed for each stock  |                    |
|                            |                              | Stock Withdrawal Fee*  | RMB1.00 per board lot  |                  |                    | RMB100.00  | -  | 1. Charge is computed for each stock<br>2. Payable on application<br>3. Securities sold through our bank are <u>NOT</u> subject to the charge |                    |

| Services   | Item  | Rate / Fee  |                     |                                  |                    | Min Charge  | Max Charge   | Remarks   |
|--|---|---|---------------------|----------------------------------|--------------------|-------------|--|---|
| Nomin-<br>nee<br>ser-<br>vices<br>and<br>cor-<br>porate<br>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> |             |  |   |
|  | 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 | Corporate actions include special scheme of arrangement, right issues, extra right issues, priva-tization, offers, change trading board etc. |   |
|  | Share Splitting / Consolidation Handling Charge*        | RMB30.00 per event  |                     |                                  |                    | -           | -  |   |
| Inform-<br>ation<br>ser-<br>vices<br>(offered<br>by<br>Internet<br>Bank-<br>ing) | Online real-time quote                                  | Waived (No limit)   |                     |                                  |                    | -           | -  |   |
| Financ-<br>ing<br>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<br>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   |                     |                                  |                    |             |  |   |

## 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   | Wealth Management / Enrich banking customers | Other Customers | -                               |  |
|   |  |  |   | US\$16                                       | US\$18          |                                 |  |
|   | SEC Fee  |  | 0.0013% of sell transaction amount  | US\$0.01                                     |                 | -                               | 1. Only applicable to sell transaction<br>2. The SEC and FINRA fee is subject to review by external parties from time to time. |
|   | FINRA Fee  |  | 0.0119% of sell transaction shares  |  |                 |                                 |  |
|   | Italian Financial Transaction Tax (IFTT) (For buying shares issued by the companies resident in Italy)             |  | 0.1% (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) |  | <p>0.125 Euros for each transaction with Notional Value 0-2,500 Euros;<br/>0.25 Euros for each transaction with Notional Value 2,500-5,000 Euros;<br/>0.50 Euros for each transaction with Notional Value 5,000-10,000 Euros;<br/>2.5 Euros for each transaction with Notional Value 10,000-50,000 Euros;<br/>5 Euros for each transaction with Notional Value 50,000-100,000 Euros;<br/>25 Euros for each transaction with Notional Value 100,000-500,000 Euros;<br/>50 Euros for each transaction with Notional Value 500,000-1,000,000 Euros;<br/>100 Euros for each transaction with Notional Value higher than 1,000,000 Euros</p> <p>Notional Value = Quantity of the financial derivatives purchased or sold X Purchase or Selling price of the financial derivatives</p> <p>Remark: The above IFTT table is only applicable to certain types of the financial derivatives only.</p> | -  | -               | -                               | 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.) |  | 0.2% of transaction amount   | -   | -  | -               | 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<br>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 BÖCHK. 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<br>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   |                    |
|---------------------|----------------------------|--|---------------------|------------------|--------------------|------------|------------|---|--------------------|
| 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.)<br>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<br>3. The fee is payable when the account is closed before the above payment dates<br>4. Safe custody fee will only be charged once even though the securities account holds both shares and bonds, whichever is higher<br>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> |            |            |   | <i>Bright Star</i> |
|                     |                            | Half-yearly  | Waived              | HKD100.00        | HKD150.00          |            |            |   | 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", 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.