

SECURITIES TRADING – SCHEDULE OFF FEES AND CHARGES

Services	Charges	Remark
1. <u>HK Stock Trade</u> Commission Stamp Transaction levy Trading fee CCASS fee	<u>HKD</u> 0.25% of transaction amount \$1.30 per \$1,000.00 of stock value 0.0027% of transaction amount 0.005% of transaction amount 0.01% of transaction amount (HK Clearing Min: \$3.00 , Max: \$300.00)	<u>HKD</u> Min: \$100.00
2. <u>Settlement Instruction(SI)</u> SI (for settlement only)  ISI (for settlement only)	Handling fee: \$10.00 per stock plus 0.01% of stock value (based on previous day closing)  Handling fee: \$10.00 per transaction	
3. <u>Withdrawal of shares</u> Physical  SI  ISI	Handling fee: \$60.00 per stock plus \$5.00 per board lot (Odd lot is charged as a full board lot)  Handling fee: \$60.00 per stock or 0.01% of stock value (based on previous day closing) Whichever is higher Handling fee: \$60.00 per stock	Min: \$60.00 Max: \$300.00
4. <u>Deposit of physical shares)</u>	Transfer deed stamp duty: \$5.00 for each transfer deed (HK Government)	
5. <u>Collection of Dividends</u>	0.5% of dividend received plus \$2.00 per board lot for initial registration (Odd lot is charged as full board lot)	Min: \$30.00 Max: \$10,000.00
6. <u>Bonus shares collection</u>	Handling fee: \$30.00 plus \$2.50 per board lot (Odd is charged as full board lot)	
7. <u>Dividend/Bonus shares claim</u>	Handling fee: \$500.00 per stock claim	
8. <u>Exercise warrants/rights</u>	Handling fee: \$30.00 plus \$2.50 per board lot	
9. <u>Share Registration</u> Physical scrip	Handling fee: \$50.00 plus scrip fee \$2.50 per certificate	
10. <u>Corporate actions</u> Cash offer  Privatisation & takeover	Scrip fee \$2.50 per board lot  Handling fee: \$50.00 per stock plus corporate action fee \$1.00 per board lot Stamp duty: \$1.00 per \$1,000.00 of stock value	
11. <u>IPO application</u>	Handling fee: \$100.00	
12. <u>Bounced cheque</u>	Handling fee: \$200.00 per cheque plus debit interest	
13. <u>Copies of monthly statement</u>	Handling fee: \$30.00 per month)	
14. <u>Shanghai – Hong Kong Stock Connect</u>	<u>RMB</u> Commission: 0.25% of transaction amount Handling fee: 0.00696% of the consideration of a transaction per side Securities management fee: 0.002% of the consideration of a transaction per side Transfer fee: 0.06% of the face value of a transaction per side Stamp duty: 0.1% of the consideration of a transaction on the seller	