

**The Charges of Securities Services**  
(Shanghai-Hong Kong Stock Connect / Shenzhen-Hong Kong Stock Connect - Northbound Trades Only)

Item	Charge
<b>Trading-related Services</b>	<b>(RMB)</b>
a. Brokerage Commission	
i. Non-electronic channels	Min. RMB100 and in accordance with the following tiers of transaction amount per trade: Below RMB300,000: 0.25% RMB300,000 - below RMD1,000,000: 0.20% RMB1,000,000 or above: 0.10%
ii. Electronic channels	Min. RMB88 and in accordance with the following tiers of transaction amount per trade: Below RMD1,000,000: 0.15% RMB1,000,000 or above: 0.10%
b. Handling Fee	0.00487% of the consideration of a transaction per side and charged by SSE/ SZSE
c. Securities Management Fee	0.002% of the consideration of a transaction per side and charged by CSRC
d. Transfer Fee	0.002% of the consideration of a transaction per side and charged by ChinaClear 0.002% of the consideration of a transaction per side and charged by HKSCC
e. Stamp Duty	0.100% of the consideration of a transaction on the seller and charged by SAT
<b>Scrip Handling and Settlement-related Services (Via CCASS)</b>	
a. Deposit transaction charge (free of payment)	Waived
b. Withdrawal transaction charge	RMB3.5 per board lot (min. RMB30 and max. RMB2,500)
<b>Information Services</b>	
a. Internet real-time quote service fee	HKD0.1 per quote used in excess of the monthly free quote entitlement (rounded up to the nearest dollar, min. HKD5 per month)
- Private Banking Customers: Unlimited free real time quote	
- Elite Club Banking Customers: 500 free real time quote per month	
- e-Age Banking Customers: 400 free real time quote per month	
- Others Customers: 300 free real time quote per month	
b. SMS stock watch price alert service fee	HKD1 per quote (min. HKD5 per month)

Item	Charge
<b>Nominee Services and Corporate Actions</b>	
a) Collection fee of	0.5% of amount collected (min. RMB20, max. RMB2,500)
- Cash dividend	
- Cash offer	
- Privatization	
- Conversion of warrants (cash settled)	
b) Collection fee or handling charge of	RMB2 per board lot (min. RMB30, max. RMB2,500)
- Scrip dividend	
- Bonus issue	
- Excess rights application	
- Tendering shares under a takeover bid	
- Conversion of warrants/ rights (receipt of shares)	

Fees and taxes to be confirmed with the relevant regulators/ authorities:

Items	Description	Charged by
New CCASS Fee	◆ A new fee for providing depository and nominee services to CPs for SSE/ SZSE Securities ◆ Subject to SFC' s approval	HKSCC
Dividend Tax	◆ Applicable to cash dividend and bonus issue ◆ Subject to clarification with SAT	SAT
Capital Gain Tax	◆ Applicable to share disposal ◆ Subject to clarification with SAT	SAT

Remarks:

- All fees and charges determined by the Government of Hong Kong Special Administrative Region/ HKEx/ SSE/ SZSE/ SFC/ CSRC/ HKSCC/ ChinaClear /SAT may be changed from time to time. The Bank will give notice of charges as soon as reasonably practicable.
- Odd lots will be counted as board lots for above fees charged per board lot.

Abbreviations:

HKEx	- Hong Kong Exchanges and Clearing Limited
SSE	- Shanghai Stock Exchange
SZSE	- Shenzhen Stock Exchange
SFC	- Securities and Futures Commission of Hong Kong
CSRC	- China Securities Regulatory Commission
HKSCC	- Hong Kong Securities Clearing Company Limited
ChinaClear	- China Securities Depository and Clearing Corporation Limited
SAT	- State Administration of Taxation of China

Last update : 2016-12-05