

**NANYANG COMMERCIAL BANK LIMITED Fees and Charges of Securities Services**  
Effective June 29 , 2009

**Local Securities**

Item	Rate / Fee	Min Charge	Remarks																				
<b>Securities Trading</b>																							
Brokerage Fee																							
1. Trading through automated trading channels ( <i>Mobile Banking / Internet Banking / Phone Banking</i> )	0.25% for all transaction amounts	HK\$100	1. For trading of HKMA EFN, HKMC and Hong Kong Link 2004 Ltd. bonds, 0.25% for all transaction amounts. 2. Calculation based on the original channel of placing order.																				
2. Trading through branches and manned trading hotline	<table border="0"> <tr> <td><u>Transaction amount</u></td> <td><u>Brokerage fee</u></td> </tr> <tr> <td>per trade</td> <td></td> </tr> <tr> <td>Below HK\$50,000</td> <td>0.50%</td> </tr> <tr> <td>HK\$50,000 to below HK\$100,000</td> <td>0.35%</td> </tr> <tr> <td>HK\$100,000 or above</td> <td>0.25%</td> </tr> </table>	<u>Transaction amount</u>	<u>Brokerage fee</u>	per trade		Below HK\$50,000	0.50%	HK\$50,000 to below HK\$100,000	0.35%	HK\$100,000 or above	0.25%	HK\$100	3. For "Wealth Management VIP" and "Wealth Management Prime" accounts, brokerage fee is 0.25% for all transaction amounts. 4. For i-Free account, brokerage fee is calculated as follows: <table border="0"> <tr> <td><u>Transaction amount</u></td> <td><u>Brokerage fee</u></td> </tr> <tr> <td>per trade</td> <td></td> </tr> <tr> <td>Below HK\$50,000</td> <td>0.40%</td> </tr> <tr> <td>HK\$50,000 to below HK\$100,000</td> <td>0.30%</td> </tr> <tr> <td>HK\$100,000 or above</td> <td>0.25%</td> </tr> </table>	<u>Transaction amount</u>	<u>Brokerage fee</u>	per trade		Below HK\$50,000	0.40%	HK\$50,000 to below HK\$100,000	0.30%	HK\$100,000 or above	0.25%
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Stamp Duty	0.1% of transaction amount	HK\$1	1. Payable by both the buying party and the selling party. 2. Charges are rounded up to the nearest dollar.																				
Transaction Levy	0.004% of transaction amount	—	1. SFC Charge 2. Payable by both the buying party and the selling party.																				
Trading Fee	0.005% of transaction amount	—	1. HKEX Charge 2. Payable by both the buying party and the selling party.																				
Monthly Stocks Savings Plan	0.25% of Contribution amount	HK\$50	Charge is computed for each plan																				
<b>Securities Buying, Deposit / Receipt, and Withdrawal</b>																							
Transaction Charge																							
1. Purchase through automated trading channels ( <i>Mobile Banking / Internet Banking / Phone Banking</i> )	HK\$2.5 per board lot purchased for all transaction amounts Charge waived if the transaction amount is HK\$1,000,000 or above	HK\$ 30	1. Securities purchased through our bank or securities transferred in through CCASS or physical scrip deposited are subject to the charge. 2. Max. charge HK\$200 3. Plus Scrip Transfer Service Fee, if applicable, for physical scrip deposited																				
2. Purchase through branches/manned Trading Hotline; or Deposit or Receipt in Nominee Service	HK\$5 per board lot purchased or deposited Charge waived if the transaction amount (or the equivalent amount of stocks deposited) is HK\$1,000,000 or above		4. For Wealth Management VIP and Wealth Management Prime accounts, HK\$2.5 per board lot purchased for all transaction amounts. Charge waived if the transaction amount is HK\$1,000,000 or above 5. Charge is computed for each stock																				
Stock Withdrawal Fee	HK\$5 per board lot	HK\$30	1. Payable on application. 2. Securities sold through our bank are <u>NOT</u> subject to the charge. 3. Applies to "Delivery through CCASS" and "Physical withdrawal". 4. Charge is computed for each stock																				
Transfer Deed Stamp Duty	HK\$5 per transfer deed/certificate	HK\$5	Charged on the selling of physical scrip.																				
<b>Custody Service</b>																							
Safe Custody Fee																							
	HK\$150 half-yearly	HK\$150	1. Applies to all types of securities 2. HK\$150 half-yearly for 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 upon closure of accounts where the account is closed before the above payment dates 4. HK\$100 half-yearly for "Wealth Management VIP" and "Wealth Management Prime" accounts																				
<b>Nominee Services, Corporate Actions and other services</b>																							
Dividend Collection Fee	0.5% on each dividend	HK\$30	Max charge HK\$2,500.																				
Receipt of securities	HK\$5 per board lot	HK\$30	1. Applies to receipt of securities, such as bonus issues, scrip in lieu of cash dividends, initial public offer, cash offers, rights issues etc. 2. Max charge HK\$200.																				
Corporate Action Service Charge	HK\$2 per board lot	HK\$100	1. Corporate actions include special scheme of arrangement, right issues, extra right issues, privatization, cash offers, change trading board, warrant exercising etc. 2. Plus Share Registrars charges. 3. Max charge HK\$2,500.																				
Share Splitting / Consolidation Handling Charge	HK\$30 per event	—	—																				
Scrip Transfer (to nominee's or client's own name) Service Fee	HK\$10 per board lot	HK\$100	Scrip Fee included																				

Item	Rate / Fee	Min Charge	Remarks
Unclaimed Entitlement Application Fee	HK\$150 per claim plus HK\$20 per board lot	—	1. Scrip Fee included 2. Application Fee is levied irrespective of result 3. Plus brokers / HKSCC charges
Unclaimed Entitlement Handling Fee	0.5% on cash dividend claimed, and HK\$5 per board lot for bonus shares / rights, etc., claimed	HK\$20	Plus brokers / HKSCC charges.
New Issue Subscription Charge	HK\$100 per application	HK\$100	Subscription charge is levied irrespective of result of allotment
Stamp Duty Handling Fee	HK\$50 per instruction	HK\$50	Plus Inland Revenue charges.

**Information Services**

Item	Rate / Fee
<b>Online real-time stock quote</b>	
Basic plan	1. 300 free quotes per month for securities account, 700 free quotes per month for i-Free account, 1,000 free quotes per month for Wealth Management VIP and Wealth Management Prime accounts 2. Securities trading through our bank: 200 bonus quotes will be granted for each transaction or every accumulated transaction amount of HK\$50,000 or equivalent, whichever is higher. 3. HK\$0.1 will be charged for each additional quote used. Min. charge HK\$10.
Monthly Plan	1. HK\$228 per month. 2. Unlimited real-time stock quote. 3. If the monthly accumulated transaction amount reaches HK\$1,000,000.00 or more, your service fee of the following month will be waived.
Streaming Plan	1. HK\$328 per month. 2. Unlimited real-time auto-update stock quote. 3. If the monthly accumulated transaction amount reaches HK\$1,000,000.00 or more, your service fee of the following month will be waived.
Price Alert	1. HK\$1 for each price alert message Remarks: 3 month service for securities account with accumulated transaction amount reaches HK\$1,000,000.00 or more.

**Equity Linked Deposit**

Item	Rate / Fee	Remarks
Ad valorem stamp duty	0.1% of transaction amount	1. No service charge for placing the ELD, as all fees and charges incurred by the bank are already inherently contained in and subsumed into the calculation of the interest rate and other variables 2. Payable upon exercise of contract 3. Ad valorem stamp duty: Charges are rounded up to the nearest dollar
Exercise fee	0.2% of transaction amount	

**Fund/Debt Securities**

Item	Rate / Fee	Remarks
Withdrawal / Transfer	HK\$300 per fund / debt securities	Plus any charge of other institutions and relevant tax.

**Singapore Securities----Jardine Group Stocks\***

Item	Rate / Fee	Minimum/Maximum Charge
Brokerage Fee	0.5% on transaction amount per trade	Minimum: US\$20
Settlement Fee	0.04% on transaction amount per trade	Maximum US\$393
SGX Trading Access Fee	0.0075% of the transaction amount per trade	Minimum US\$0.01
Physical deposit / withdrawal	Bank charges plus any charge of other institutions	

**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	HK\$100 handling charge per instruction, plus HK\$600 CCASS fee per instruction, plus Out-of-pocket expenses incurred by HKSCC
Cross Border Transfer Fee for Receipt / Delivery of Securities	HK\$100 handling charge per instruction, plus HK\$200 CCASS fee per instruction, plus Out-of-pocket expenses incurred by HKSCC
Warrant Conversions, Voluntary Take-overs, Tender Offers & Open Offers Service Fee	HK\$100 handling charge per instruction, plus HK\$600 CCASS fee per instruction, plus Out-of-pocket expenses incurred by HKSCC

\*Except the listed charges, all other charges are the same as for Local securities.

- 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. Nanyang Commercial Bank Limited reserves the right to revise the service fee from time to time.