



NANYANG COMMERCIAL BANK LIMITED Fees and Charges of Securities Services
Effective from 16th April, 2012

Local Securities

Item	Rate / Fee	Min Charge	Remarks
Securities Trading			
Brokerage Fee 1. Trading through automated trading channels (<i>Internet Banking / Mobile Banking / Phone Banking</i>) 2. Trading through branches and manned trading hotline	0.25% for all transaction amounts <u>Transaction amount</u> <u>Brokerage fee</u> <u>per trade</u> Below \$50,000 0.50% \$50,000 to 0.35% below \$100,000 \$100,000 or above 0.25%	HKD100 CNY100 HKD100 CNY100	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. 3. For “NCB Wealth Management” accounts, brokerage fee is 0.25% for all transaction amounts. 4. For i-Free account, brokerage fee is calculated as follows: <u>Transaction amount</u> <u>Brokerage fee</u> <u>per trade</u> Below \$50,000 0.40% \$50,000 to 0.30% below \$100,000 \$100,000 or above 0.25%
Stamp Duty	0.10% of transaction amount	HKD1 CNY1	1. Payable by both the buying party and the selling party. 2. Charges are rounded up to the nearest dollar.
Transaction Levy	0.003% 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	HKD50	Charge is computed for each plan
Securities Buying, Deposit / Receipt, and Withdrawal			
Transaction Charge 1. Purchase through automated trading channels (<i>Internet Banking / Mobile Banking / Phone Banking</i>) 2. Purchase through branches/ manned Trading Hotline; or Deposit or Receipt in Nominee Service	Charge according to the transaction currency of the stocks purchased/deposited 2.5 dollars per board lot purchased for all transaction amounts Charge waived if the transaction amount is \$1,000,000 or above 5 dollars per board lot purchased or deposited Charge waived if the transaction amount (or the equivalent amount of stocks deposited) is \$1,000,000 or above	HKD30 CNY30	1. Securities purchased through our bank or securities transferred in through CCASS or physical scrip deposited (including shares and bonds) are subject to the charge. 2. Max. charge HKD200 / CNY200 3. Plus Scrip Transfer Service Fee, if applicable, for physical scrip deposited 4. For “NCB Wealth Management” accounts, 2.5 dollars per board lot purchased. Charge waived if the transaction amount is \$1,000,000 or above 5. Charge is computed for each stock
Stock Withdrawal Fee	Charge according to the transaction currency of the stocks : 5 dollars per board lot	HKD30 CNY30	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	5 dollars per transfer deed/certificate	HKD5	Charged on the selling of physical scrip.
Custody Service			

Item	Rate / Fee	Min Charge	Remarks
Safe Custody Fee	Debt securities: 0.015% of average daily balance within the period	HKD100	1. Max Charge HKD2,500 for Debt securities 2. Applies to all types of securities 3. HKD150 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. 4. The fee is payable upon closure of accounts where the account is closed before the above payment dates 5. HKD100 half-yearly for "NCB Wealth Management" accounts' Listed Securities 6. Safe custody fee will only be charged once even though the securities account hold both shares and bonds, whichever is higher
	Listed Securities:HKD150 half-yearly	HKD150	
Nominee Services, Corporate Actions and other services			
Dividend Collection Fee	0.50% on each dividend according to the dividend currency	HKD30 CNY30	Max charge HKD2,500 / CNY2,500.
Receipt of securities	5 dollars per board lot according to the transaction currency	HKD30 CNY30	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 HKD200 / CNY200. 3. For "NCB Wealth Management" accounts, 2.5 dollars per board lot
Corporate Action Service Charge	2 dollars per board lot according to the transaction currency	HKD100 CNY100	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 HKD2,500 / CNY2,500.
Share Splitting / Consolidation Handling Charge	30 dollars per event according to the transaction currency	HKD30 CNY30	—
Scrip Transfer (to nominee's or client's own name) Service Fee	10 dollars per board lot according to the transaction currency	HKD100 CNY100	Scrip Fee included
Unclaimed Entitlement Application Fee	HKD150 per claim plus HKD20 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 HKD5 per board lot for bonus shares / rights, etc., claimed	HKD20	Plus brokers / HKSCC charges.
New Issue Subscription Charge	100 dollars per application according to the stock subscription currency	HKD100 CNY100	Subscription charge is levied irrespective of result of allotment
Stamp Duty Handling Fee	50 dollars per instruction according to the transaction currency	HKD50 CNY50	Plus Inland Revenue charges.

Information Services

Item	Rate / Fee
Online real-time stock quote	
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 "NCB Wealth Management" accounts 2. Securities trading through our bank: 200 bonus quotes will be granted for each transaction or every accumulated transaction amount of HKD50,000 or equivalent, whichever is higher. 3. HKD0.10 will be charged for each additional quote used. Min. charge HKD10.
Monthly Plan	1. HKD228 per month. 2. Unlimited real-time stock quote. 3. If the monthly accumulated transaction amount reaches HKD1,000,000.00 or more, your service fee of the following month will be waived.

Streaming Plan	1. HKD328 per month. 2. Unlimited real-time auto-update stock quote. 3. If the monthly accumulated transaction amount reaches HKD1,000,000.00 or more, your service fee of the following month will be waived.
Price Alert	1. HKD1 for each price alert message Remarks: 3 month service for securities account with accumulated transaction amount reaches HKD1,000,000.00 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	HKD300 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: USD20
Settlement Fee	0.04% on transaction amount per trade	Maximum USD393
SGX Trading Access Fee	0.0075% of the transaction amount per trade	Minimum USD0.01
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	HKD100 handling charge per instruction, plus HKD600 CCASS fee per instruction, plus Out-of-pocket expenses incurred by HKSCC
Cross Border Transfer Fee for Receipt / Delivery of Securities	HKD100 handling charge per instruction, plus HKD200 CCASS fee per instruction , plus Out-of-pocket expenses incurred by HKSCC
Warrant Conversions, Voluntary Take-overs, Tender Offers & Open Offers Service Fee	HKD100 handling charge per instruction, plus HKD600 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.