



**NCB** 南洋商業銀行

中國信達全資附屬公司 Wholly owned subsidiary of China Cinda

## **Fees and Charges of Securities Services (Effective from 12<sup>th</sup> Nov 2018)**

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)		Membership tiers of the Securities Club <sup>^</sup>				HKD100/ CNY100	-	1. For trading of listed bonds, maximum 0.25% 2. Calculation based on the original channel of placing order
			<i>Diamond Star</i>	<i>Gold Star</i>	<i>Silver Star</i>	<i>Bright Star</i>			
		Trading through automated trading channels (Mobile Banking / Internet Banking / Automated Stock Trading Hotline)*	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/ CNY1	-	1. Payble by both the buying and selling parties 2. Charges are rounded up to the nearest dollar	
	Transaction Levy#	0.0027% of transaction amount				-	-	1. SFC charge 2. Payable by both the buying and selling parties	
	Trading Fee#	0.005% of transaction amount				-	-	1. HKEx charge 2. Payable by both the buying and selling parties	
	Italian Financial Transaction Tax (IFTT) (For buying shares issued by the companies resident in Italy)	0.2% (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; 0.25 Euros for each transaction with Notional Value 2,500-5,000 Euros; 0.50 Euros for each transaction with Notional Value 5,000-10,000 Euros; 2.5 Euros for each transaction with Notional Value 10,000-50,000 Euros; 5 Euros for each transaction with Notional Value 50,000-100,000 Euros; 25 Euros for each transaction with Notional Value 100,000-500,000 Euros; 50 Euros for each transaction with Notional Value 500,000-1,000,000 Euros; 100 Euros for each transaction with Notional Value higher than 1,000,000 Euros  * Notional Value = Quantity of the financial derivatives purchased or sold X Purchase or Selling price of the financial derivatives  Remark: The above IFTT table is only applicable to certain types of the financial derivatives only.				-	-	Collected for Italian Government		
Monthly Stocks Savings Plan <sup>AA</sup>	0.25% of contribution amount				HKD50/ CNY50	-	Charge is computed for each plan		

Services	Item		Rate / Fee				Min Charge	Max Charge	Remarks
Scrip handling and settlement-related service	Transaction Charge*	Purchase through automated trading channels (Mobile banking / Internet Banking / Automated Stock Trading Hotline)	HKD2.5/ CNY2.5 per board lot Charge waived if the trading amount of each transaction is HKD1,000,000 or above / CNY1,000,000 or above				HKD30/ CNY30	HKD200/ CNY200	1. Charge is computed for each stock
		Purchase through branches / manned trading hotline	HKD5/ CNY5 per board lot Charge waived if the trading amount of each transaction is HKD1,000,000 or above / CNY1,000,000 or above				HKD30/ CNY30	HKD200/ CNY200	
		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 2. Plus Scrip Transfer Service Fee, if applicable, for physical scrip deposited 3. Charge is computed for each stock
	Stock Withdrawal Fee*	HKD10/ CNY10 per board lot				HKD100/ CNY100	-	1. Charge is computed for each stock 2. Payable on application 3. Securities sold through our bank are <b>NOT</b> subject to the charge 4. Applies to "Delivery through CCASS" and "physical withdrawal"	
	Transfer Deed Stamp Duty		HKD5 per transfer deed/certificate				HKD5	-	Charged on the selling of physical scrip
Nominee services and corporate actions	Dividend Collection Fee*		0.50% on each dividend				HKD30/ CNY30	HKD2,500/ CNY2,500	
	Receipt of securities*	Membership tier of Securities Club ^					HKD30/ CNY30	HKD200/ CNY200	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	HKD2.5/ CNY2.5	HKD2.5/ CNY2.5	HKD5/ CNY5	HKD5/ CNY5			
	Corporate Action Service Charge*		HKD2/ CNY2 per actionable board lot				HKD100/ CNY100	HKD2,500/ CNY2,500	1. Corporate actions include special scheme of arrangement, right issues, extra right issues, privatization, offers, change trading board, warrant exercising etc. 2. Plus Share Registrars charges
	Share Splitting / Consolidation Handling Charge*		HKD30/ CNY30 per event				-	-	
	Scrip Transfer (to nominee's or client's own name) Service Fee*		HKD10/ CNY10 per board lot				HKD100/ CNY100	-	1. Scrip Fee included 2. Debit the Settlement Account on the settlement date
Stamp Duty Handling Fee*		HKD50/ CNY50 per instruction				HKD50/ CNY50	-	1. Excluding Inland Revenue charges 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	-	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* or equivalent, whichever is higher (*Only applicable to HKD denominated stock transaction)
		Free stock quotes per month	1,000 quotes	500 quotes			
		HKD0.1 will be charged for each additional quote used for all accounts					
	Online real-time quote – monthly plan	HKD228 per month			-	-	<ol style="list-style-type: none"> <li>1. Unlimited real-time stock quote</li> <li>2. During the service period, if the monthly accumulated transaction amount reaches HKD1,000,000* 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 per month			-	-	<ol style="list-style-type: none"> <li>1. Unlimited real-time auto-update stock quote</li> <li>2. During the service period, if the monthly accumulated transaction amount reaches HKD1,000,000* 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 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 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 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 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	0.50% on cash dividend claimed, and HKD5 per board lot for bonus shares / rights, etc., claimed				HKD20	-	Plus brokers / HKSCC charges	
New Issue Subscription Charge*	HKD100/ CNY100 per application				HKD100/ CNY100	-	Subscription charge is levied irrespective of result of allotment	

### Shanghai A shares / Shenzhen A shares

Services	Item	Rate / Fee				Min Charge	Max Charge	Remarks	
Trade re-lated services	Brokerage Fee	Membership tiers of the Securities Club ^				CNY100	-		
			<i>Diamond Star</i>	<i>Gold Star</i>	<i>Silver Star</i>				<i>Bright Star</i>
		Trans-act-ion amount per trade	0.18%	0.20%	0.23%				0.25%
		Trading through automated trading channels (Internet Banking)*	0.25%	0.28%	0.40%	0.50%			
		Trading through branches / manned trading hotline*							
		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% 2. HKSCC charges 0.002%	
	Stamp Duty ##	0.1% of transaction amount				-	-	Payable by the selling party	
Settlement re-lated service	Transaction Charge*	Purchase through automated trading channels (Internet Banking)	CNY0.25 per board lot Charge waived if the trading amount of each transaction is CNY1,000,000.00 or above			CNY30	CNY200	1. Charge is computed for each stock	
		Purchase through branches /manned trading hotline	CNY0.50 per board lot Charge waived if the trading amount of each transaction is CNY1,000,000.00 or above			CNY30	CNY200		
		Deposit through NCB	Waived			-	-	1. Scrip deposited 2. Charge is computed for each stock	
	Stock Withdrawal Fee*	CNY1 per board lot			CNY100	-	1. Charge is computed for each stock 2. Payable on application 3. Securities sold through our bank are NOT subject to the charge		

Services	Item	Rate / Fee				Min Charge	Max Charge	Remarks
Nominee services and corporate actions	Dividend Collection Fee*	0.50% on each dividend				CNY30	CNY2,500	
	Receipt of securities*	Membership tiers of the Securities Club ^				CNY30	CNY200	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	CNY 0.25	CNY 0.25	CNY 0.50	CNY 0.50			
Corporate Action Service Charge*	CNY0.2 per actionable board lot				CNY100	CNY2,500	1. Corporate actions include special scheme of arrangement, right issues, extra right issues, privatization, offers, change trading board etc.	
	Share Splitting / Consolidation Handling Charge*	CNY30 per event				-	-	
Information services (offered by Internet Banking)	Online real-time quote	Waived (No limit)				-	-	
Financing 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 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	Our Bank's Prime rate		Our Bank's Prime rate + 1%					

### 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
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 Remaining dividend charged at the same rate as local securities
Withdrawal Fee for Physical Scrip	HKD100 handling charge per instruction, plus HKD600 CCASS and Depository 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 handling charge per instruction, plus HKD200 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 handling charge per instruction, plus HKD600 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.) 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 3. The fee is payable when the account is closed before the above payment dates 4. Safe custody fee will only be charged once even though the securities account holds both shares and bonds, whichever is higher 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	HKD150	HKD150			
	Stock Balance Confirmation	Refer to the charges of "Bank Certification" in Deposit and General Banking Services							
	Reprint Statement	HKD50 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 or above to below HK\$3 million
Bright Star	Below HK\$300,000

Please contact staff of the bank to enquire about the details of the Securities Club.

## Debt Securities Services

Services	Item	Rate / Fee	Min Charge	Max Charge	Remarks
Custody Services	Safe Custody Fee	Waived	-	-	-
Receipt and Delivery	Transfer In / Out Request	HKD300 per transaction	-	-	Plus any charge of other institutions and relevant tax
Nominee Services	Collection of interest and other corporate actions	Waived	-	-	-

## Fund

Item	Rate / Fee	Min Charge	Remarks
Transfer In / Out Request	HKD300 per fund	-	Plus any charge of other institutions and relevant tax

## Structured Products (including Equity Linked Investments and Equity Linked Notes)

Services	Item	Rate / Fee	Remarks
Fees charged and payable to third parties	Stamp Duty#	0.1% of the transaction amount of the delivery stock	1. Stamp duty is payable prior to the delivery of the stock 2. Charges are rounded up to the nearest dollar 3. The actual rate of stamp duty is determined by the Government of HKSAR and is subject to change without prior notice

- \* Fees are charged according to the transaction currency.
- # Fees and charges determined and collected by the Government of the HKSAR, 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" and State Administration of Taxation 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 CNY denominated stock are chosen in the same Monthly Stocks Savings 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. The above charges are for reference only. Nanyang Commercial Bank, Ltd. reserves the right to revise the service fee from time to time.