

Service Charges on Investment Services

Service Item	Rates / Fees	Minimum Charge	Remarks
TRADE-RELATED SERVICES			
1. Brokerage Commission			
(a) Hong Kong Securities			
<u>Local Customers</u>			
- Internet Channel	0.2% of transaction amount	HK\$68	
- Non-internet Channel	0.25% of transaction amount	HK\$100	
<u>Overseas Customers</u>			
- All Trading Channels	0.5% of transaction amount	HK\$100	
(b) Foreign Securities	Negotiable	--	
2. Transaction levy	0.003% of transaction amount	--	
3. Investor compensation levy	Fee suspended	--	
4. Trading fee	0.005% of transaction amount	--	
5. Stamp duty	0.1% of transaction amount	HK\$1	Rounded up to the nearest dollar, collected by HKSAR Government
6. CCASS transaction fee	0.002% of transaction amount	HK\$2	Maximum HK\$150
7. Deposit fee	Waived	--	
SCRIP HANDLING & SETTLEMENT-RELATED SERVICES			
1. CCASS stock settlement fee (Settlement instruction)	0.002% of transaction amount	HK\$2	Maximum HK\$150
2. Money settlement fee	Waived	--	
3. Physical scrip deposit fee / share deposit via CCASS	HK\$5 per board lot	HK\$30	Applicable to shares deposit including bonus shares / warrants / scrip dividend and others; Maximum HK\$1,000, Not Applicable to ELN conversion
4. Physical scrip withdrawal fee	HK\$5 per board lot	HK\$100	
5. Settlement instruction fee (IN)			
- Local securities	Waived	--	
- Foreign securities	HK\$200 per transaction	--	Plus counterparty charges
6. Settlement instruction fee (OUT)			
- Local securities	HK\$100 per transaction	--	
- Foreign securities	HK\$200 per transaction	--	Plus counterparty charges
7. Compulsory share buy-back fee	Based on CCASS charge	--	
8. Transfer deed	HK\$5 for each transfer deed	--	
ACCOUNT MAINTENANCE			
1. Custody fee			
- Local securities	HK\$0.15 per board lot or odd lot charged half-yearly	HK\$80	Applicable to every securities account with balance on portfolios as at June 30 and December 31 every year. Maximum HK\$2,500
- Foreign securities	Waived	--	Subject to charges levied by custodian/counterparty
2. Stock balance or account confirmation fee			
- Copies of account statement	HK\$50 per statement	--	
- Audit confirmation	HK\$350 per report	--	
3. Dormant account fee	Waived	--	
NOMINEE SERVICES AND CORPORATE ACTIONS			
1. Scrip fee			
- CCASS stock	HK\$1.5 per board lot	--	Stock clearing under CCASS system
- Non-CCASS stock	HK\$2.5 per board lot	--	Physical scrip registered through the Bank
2. Collection fee of cash dividend / interest			
- Local securities	0.5% of dividend / interest amount	HK\$20	Maximum HK\$2,500

- Foreign securities	0.5% of dividend / interest amount	HK\$100	Maximum HK\$2,500
3. Collection fee of scrip dividend			
- Local securities	HK\$5 per board lot	HK\$30	Maximum HK\$1,000
- Foreign securities	HK\$200 per board lot	--	Plus counterparty charges
4. Collection fee of bonus issue			
- Local securities	HK\$5 per transaction	HK\$30	Maximum HK\$1,000
- Foreign securities	HK\$200 per transaction	--	Plus counterparty charges
5. Rights issue entitlement charge	HK\$30 per transaction	--	
6. Fee for rights exercise	HK\$100 per transaction	--	Applicable to subscription for open offer, rights and warrants, etc.
7. Fee for excess rights application	HK\$100 per transaction	--	
8. Corporate action fee	HK\$1 per lot	--	Applicable to subscription for open offer, rights and warrants, etc.
9. Fee for covered warrants exercise	0.5% on consideration	HK\$20	
10. Fee for tendering shares under a takeover bid			
- Cash offer / Privatization	0.5% on consideration	HK\$20	Maximum HK\$2,500
11. Fee for change of registration at share registrar	HK\$50 per transaction	--	Applicable to name change for physical scrip. For re-registration, plus a scrip fee of HK\$2.5 per board lot
12. Fee for handling share consolidation / split	HK\$30 per transaction	--	Applicable to consolidation, slip, conversion, etc.

FINANCING AND OTHER SERVICES

1. Margin account financing charge	HKD Prime Rate or Cost of Fund Rate plus 2% p.a. (but subject to case by case basis)	--	
2. Securities subscription handling charge			
- Application for new issue	HK\$100 per application	--	Applicable to initial public offer, and will be levied irrespective of whether the application is successful or not
3. Cash account overdue interest	HKD Prime Rate or Cost of Fund Rate plus 8% p.a.	HK\$100	Plus interest
4. Financing charge for subscription of securities	Case by case basis	--	
5. Banking service charges			
- Application for margin account opening	HK\$200 per application	--	Payable upon submission of securities margin account application form
6. Fee for claiming unclaimed benefit entitlements			
- Dividends claim	HK\$200 per claim plus 0.5% dividend commission	--	Plus counterparty charges
- Bonus claim	HK\$200 per claim plus shares deposit fee	--	Plus counterparty charges

(III) DEBTS / BONDS

Service Item	Rates / Fees	Minimum Charge	Remarks
<u>Trade-Related Services</u> Brokerage Commission	Waived	--	
<u>Scrip Handling & Settlement-Related Services</u>			
1. Settlement instruction fee (IN)	HK\$200 per transaction	--	Plus counterparty charges
2. Settlement instruction fee (OUT)	HK\$200 per transaction	--	Plus counterparty charges
<u>Account Maintenance</u> Cedel custody fee	Charge monthly at 0.018% p.a. on nominal value	US\$5	Or HKD equivalent

<u>Nominee Services and Corporate Actions</u> Collection of interest	0.5% of interest amount	HK\$100	Maximum HK\$2,500 or its equivalent plus counterparty charges
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(III) STRUCTURED NOTES

Service Item	Rates / Fees	Minimum Charge	Remarks
<u>Trade-Related Services</u> Brokerage Commission	Waived	--	
<u>Scrip Handling & Settlement-Related Services</u> 1. Settlement instruction fee (IN) 2. Settlement instruction fee (OUT)	HK\$200 per transaction HK\$200 per transaction	-- --	Plus counterparty charges Plus counterparty charges
<u>Account Maintenance</u> Cedel custody fee	Charge monthly at 0.018% p.a. on nominal value	US\$5	Or HKD equivalent
<u>Nominee Services and Corporate Actions</u> Collection of interest	0.5% of interest amount	HK\$100	Maximum HK\$2,500 or its equivalent plus counterparty charges

(IV) INVESTMENT FUND

Service Item	Rates / Fees	Minimum Charge	Remarks
<u>Trade-Related Services</u> Subscription / Redemption / Switching and Management fee	Please refer to the respective prospectus of the investment fund	--	
<u>Scrip Handling & Settlement-Related Services</u> 1. Settlement instruction fee (IN) 2. Settlement instruction fee (OUT)	HK\$200 per transaction HK\$200 per transaction	-- --	Plus Counter party charges Plus Counterparty charges

- Odd lot is treated as one board lot in the calculation of fees and charges.
- Prime Rate and Cost of Fund Rate will be determined by Public Bank (Hong Kong) Limited ("the Bank") from time to time.
- Certain service charges are not included here, please refer to any of our branches.
- In case of any difference between English and the Chinese version of this schedule, the English version shall prevail for all purposes.

Effective from 01 October 2010 until further notice