

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 | 0.004% 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 July 2010 until further notice