

## Securities Trading Promotion 2023

Brokerage Rate Privilege			Other Privilege
Trading Channel	1 <sup>st</sup> to 6 <sup>th</sup> Trading Month	7 <sup>th</sup> to 12 <sup>th</sup> Trading Month	
Internet & Mobile Securities Trading <sup>(3)</sup>	0% <sup>(9)</sup>	0.1% <sup>(9)</sup>	➤ 50% IPO Handling Fee Discount <sup>(10)</sup>
Securities Hotline Trading <sup>(3)</sup>		0.125% <sup>(9)</sup>	➤ Share Deposit Fee Waiver <sup>(11)</sup> ➤ 350 Bonus Points Reward <sup>(12)</sup>

### Terms and Conditions

- The Securities Trading Promotion (“**Promotion**”) is valid from 1 January 2023 to 30 June 2023, both dates inclusive (“**Promotion Period**”). Unless otherwise specified, capitalized terms used herein shall have the same meanings ascribed to them in the Securities Services Agreement.
- Subject to the provisions below, eligible customers are required to register as follows in order to be entitled to the Brokerage Rate Privilege for 12 Trading Months (“**Privilege Period**”) and Other Privilege under the Promotion: -
  - sign and acknowledge receipt of the Terms & Conditions for the Promotion; and
  - make a deposit of stock listed and traded on The Stock Exchange of Hong Kong (“**SEHK Securities**”) to the Securities Account and/or of an equivalent amount of not less than HK\$5,000 of funds to the Settlement Account.
- Electronic Securities Trading Service includes Internet Securities Trading Service (“**Internet Channel**”) and Mobile Securities Trading Service (“**Mobile Channel**”) provided by Public Bank (Hong Kong) Limited (the “**Bank**”). Internet Securities Trading refers to securities transactions conducted via the Internet Channel and Mobile Securities Trading refers to securities transactions conducted via the Mobile Channel (collectively “**Electronic Trading**”). Securities Hotline Trading refers to securities transactions conducted via the Bank’s Securities Trading Hotline (“**Non-Electronic Trading**”).
- The Promotion applies only to customer who is Hong Kong Identity Card holder with a Hong Kong address (including residential address and corresponding address).
- The privileges under the Promotion does NOT apply to any customer who:
  - appoints any Authorized Person(s) to operate his/her securities account upon account opening or at any time during the Privilege Period; or
  - has been appointed as an Authorized Person to operate any Securities Account of the Bank before or at any time during the Privilege Period; or
  - is still enjoying any other securities trading related promotion privileges of the Bank; or
  - has enjoyed any privileges of the previous securities trading promotion of the Bank during the preceding 12 months from the application for securities account opening or Electronic Securities Trading Service.
 During the Privilege Period, should any of the above occur or the Bank be aware of occurrence of any of the above, customer’s entitlement to the Brokerage Rate Privilege will be cancelled immediately and the Bank will debit the 350 bonus points reward given and/or the amount of any share deposit fees waived and/or any discounted IPO handling fee from the customer’s account.
- New Customer Privilege (Code: SEC2023A)
  - New customer (“**New Customer**”) refers to an individual who has not maintained any individual or joint Securities Account with the Bank in the 12 months preceding the effective date of securities account opening.
  - Subject to Clauses 2 and 5 above, New Customer who has successfully opened a securities account with the Bank during the Promotion Period will be entitled to enjoy (a) Brokerage Rate Privilege for both Non-Electronic Trading and Electronic Trading (if applicable) for 12 Trading Months, (b) Share Deposit Fee Waiver & 50% IPO Handling Fee Discount for the first 6 Trading Months and (c) 350 Bonus Points Reward from the effective date of securities account opening.
  - For avoidance of doubt, New Customer will only be able to enjoy the Brokerage Rate Privilege for Electronic Trading if the New Customer applies for the Electronic Securities Trading Service during the Privilege Period.
- Existing Customer Privilege (Code: SEC2023B)
  - Existing customer (“**Existing Customer**”) refers to an individual who has maintained a valid individual or joint securities account with the Bank which was not opened during the Promotion Period; AND who has never applied for the Electronic Securities Trading Service or has cancelled such service 12 months preceding the effective date of Electronic Securities Trading Service reapplication.
  - Subject to Clauses 2 and 5 above, Existing Customer who has successfully applied for Electronic Securities Trading Service during the Promotion Period will be entitled to enjoy (a) Brokerage Rate Privilege for Electronic Trading for 12 Trading Months, (b) Share Deposit Fee Waiver & 50% IPO Handling Fee Discount for the first 6 Trading Months and (c) 350 Bonus Points Reward from the effective date of Electronic Securities Trading Service application.
  - Existing Customer who fulfilled the eligibility of Selected Customer will be entitled to the Selected Customer Privilege stipulated in Clause 8.
  - For avoidance of doubt, current users of the Electronic Securities Trading Service will not be entitled to the Existing Customer Privilege.
- Selected Customer Privilege (Code: SEC2023C)
  - Selected customer (“**Selected Customer**”) refers to customer who has maintained a Securities Account with the Bank is invited to join the Promotion by the Bank.
  - Customer can enquire his/her eligibility by visiting our branches or calling the Securities Services Hotline at 2581-1468.
  - Selected Customer is required to visit our branch in person to register for the Promotion during the Promotion Period.
  - Subject to Clause 2 above, Selected Customer who has successfully registered for the Promotion will be entitled to enjoy (a) Brokerage Rate Privilege for both Non-Electronic Trading and Electronic Trading (if applicable) for 12 Trading Months, (b) Share

Deposit Fee Waiver & 50% IPO Handling Fee Discount for the first 6 Trading Months and (c) 350 Bonus Points Reward from the date of registration.

- 8.5. Selected Customer who has successfully applied for Electronic Securities Trading Service for the first time or has reapplied such service after a period of 12 months from the date of cancellation during the Promotion Period will be entitled to the Brokerage Rate Privilege for Electronic Trading from the Effective date of Electronic Securities Trading Service till the end of the Promotion Period. Effective date refers to the Bank's approval date of application for the Electronic Securities Trading Service, but not the date of application when the Selected Customer signs and submits the relevant documents.
9. **Brokerage Rate Privilege**
  - 9.1. Privileged rates apply to buy and sell orders ("**Both Orders**") of SEHK Securities which are placed and executed through the Bank's Non-Electronic Trading and/or Electronic Trading channels.
  - 9.2. A Trading Month is a period of a month counting from (a) the effective date of securities account opening for New Customer, (b) the effective date of Electronic Securities Trading Service application for Existing Customer, and (c) the date of registration of the Promotion for Selected Customer. For the avoidance of doubt:
    - 9.2.1. Different Trading Month may have different trading days. If the effective date is 7<sup>th</sup> April, the First Trading Month will be from 7<sup>th</sup> April to 6<sup>th</sup> May, the Second Trading Month will be from 7<sup>th</sup> May to 6<sup>th</sup> June, etc.
    - 9.2.2. Effective date refers to the Bank's approval date of application for the securities account opening or the Electronic Securities Trading Service, but not the date of application when the customer signs and submits the relevant documents.
  - 9.3. An upfront brokerage commission will be charged at 0.2% (with a minimum charge of HK\$68) and at 0.25% (with a minimum charge of HK\$100) ("**Total Brokerage Commission**") to Both Orders conducted through Electronic Trading and Non-Electronic Trading respectively during the Privilege Period. For those customers entitled to the Brokerage Rate Privilege, the Bank will refund the Total Brokerage Commission charged during the Privilege Period ("**Entitled Brokerage Refund**") in form of cash in Hong Kong Dollars in the following ways:-
    - 9.3.1. For Both Orders transacted during the 1<sup>st</sup> to 6<sup>th</sup> Trading Month, Entitled Brokerage Refund will be calculated at 100% of the Total Brokerage Commission charged, with a cap of HK\$10,000, and will be credited to the Settlement Account in the 7<sup>th</sup> Trading Month.
    - 9.3.2. For Both Orders transacted during the 7<sup>th</sup> to 12<sup>th</sup> Trading Month, Entitled Brokerage Refund will be calculated at 50% of the Total Brokerage Commission charged, without any cap, and will be credited to the Settlement Account in the 13<sup>th</sup> Trading Month.
  - 9.4. Customer still has to pay other transaction fees/charges, including without limitation, CCASS transaction fee, transaction levy, investor compensation levy (if any), trading fee, FRC transaction levy and stamp duty, etc. Please refer to the "Service Charges on Investment Services" of the Bank for details.
  - 9.5. Customer will not be entitled to the Entitled Brokerage Refund if customer terminates the Securities Account or the Settlement Account or the Electronic Securities Trading Service on or before the refund is processed by the Bank.
10. **IPO Handling Fee Discount**
  - 10.1. Customers entitled to the Promotion will be offered 50% discount on the handling fee for subscription of new issues via the Bank during the 1<sup>st</sup> to 6<sup>th</sup> Trading Month.
  - 10.2. The Bank's standard handling fee of HK\$100 will be charged in advance on the subscription date of the IPO and HK\$50 will be credited to customer's Settlement Account on the date of allotment/refund of the IPO.
11. **Share Deposit Fee Waiver**
  - 11.1. Customers entitled to the Promotion will be offered share deposit fee waiver during the 1<sup>st</sup> to 6<sup>th</sup> Trading Month.
  - 11.2. Fee waiver applies to share deposit via CCASS and physical scrip deposit.
12. **Bonus Points Reward**
  - 12.1. Customers entitled to the Promotion will earn a reward of 350 Bonus Points ("**Reward**").
  - 12.2. The Reward will be updated and displayed on the customer's Internet Securities Trading Service (if any) on the second trading day of the First Trading Month.
  - 12.3. The Reward and Bonus Points earned for brokerage commission paid for securities transactions conducted via any of the Bank's trading channels can only be used to redeem for the Bank's Real-Time Stock Quote Service ("**Service**").
  - 12.4. The Reward and the Service are bound by the Terms & Conditions of the Promotion, of Bonus Points Reward and Real-Time Stock Quote Service. For details, please refer to the "Real-Time Stock Quote Service" via Internet Securities Trading Service in the Bank's website or contact the staff of the Bank.
13. The Bank reserves the right to modify, suspend or terminate the Promotion, and to amend the terms and conditions at any time without prior notice. The Bank also reserves the right not to provide the Promotion to any customer without giving any reason. In case of any disputes, the decision of the Bank on all matters relating to the Promotion shall be final and binding all parties concerned.
14. No person other than the customer and the Bank will have any right under the Contracts (Rights of Third Parties) Ordinance to enforce or enjoy the benefit of any of the provisions of these terms and conditions.
15. Should there be any discrepancy between the English and Chinese versions of these terms and conditions, the English version shall apply and prevail.
16. All the terms and conditions listed above are governed by and interpreted in accordance with the laws of Hong Kong Special Administrative Region.

#### **Risk Disclosure:**

**Investment involves risk. Price of securities is subject to upward and downward movements and may become valueless. It is likely that losses will be incurred rather than profits made as a result of buying and selling securities. Before making any investment decision, you should read the relevant risk disclosure statement and be careful in evaluating your investment objective, investment experience, financial resources and other relevant conditions to see whether you are suitable for taking part in any investment. You should seek independent professional advice if you are uncertain of or have not understood any aspect of the relevant risk disclosure statement or the nature, risks and suitability of trading and investment.**

#### **Disclaimer:**

**The Service is provided by AASTOCKS.com Limited and not by the Bank. AASTOCKS.com Limited endeavors to ensure the accuracy and reliability of the information provided but does not guarantee its accuracy or reliability. The information provided by the Service is re-transmitted by the Bank to you for information and reference purposes only. The Bank and AASTOCKS.com Limited will not be responsible for any loss or damages incidental to or arising from the Service. Neither the Bank nor any of the Bank's directors, officers, employees and agents shall be responsible to the customer for any losses, costs, expenses, damages or claims which the customer may suffer as a result of or in connection with any aspect of the Service including customer's reliance on such Service.**

**The information contained in this document has not been reviewed by Securities and Futures Commission or any regulatory authorities in Hong Kong. Also, it is not a recommendation, an offer and/or a solicitation for any securities service or transaction.**