



BOCOM International Securities Limited

Fees and Charges Table

Effective on 1 March 2017

(Settled by HKD)

Hong Kong Stock Market

Trade-related services	
Brokerage	Standard: 0.25% of transaction amount (minimum \$100), negotiable
Stamp duty	0.1% of transaction amount (rounded up to the nearest dollar)
Transaction levy	0.0027% of transaction amount
Trading fee	0.005% of transaction amount
CCASS stock clearing fee	0.002% of transaction amount (minimum \$2, maximum \$100)
Investor compensation levy	Waived (until further notice)
Multi counter Transfer instruction (DTDC)	\$5 per stock
Scrip handling and settlement-related services	
Transfer deed stamp duty	\$5 per transfer deed (collected for depositing physical scrip)
Physical scrip deposit fee	Waived
Physical scrip withdrawal fee	\$6 per lot (minimum \$50)
Settlement instruction fee (receive)	Waived
Settlement instruction fee (deliver)	Refer to Settlement Instruction Form
Investor settlement instruction fee (receive/deliver)	\$5 per instruction
Nominee services and corporate actions	
Scrip fee	\$1.5 per lot (based on the quantity of shares held before book-close date which are bought/deposited first time)
Collection fee of cash dividend	0.5% of dividend received (minimum \$20, maximum \$10,000- negotiable)
Collection fee of bonus issue	Waived
Fee for handling share consolidation/split	Waived
Fee for rights/offers/warrants exercise, other entitlements exercise like takeover/privatization, etc.	Corporate action fee: \$0.8 per lot (minimum \$20) plus handling charge: \$50 per deal
Information services	
Real time snapshot quote (provided by AASStock)	> 1,000 free real time quotes per month (remaining basic quotes for current month cannot be accumulated to next month) > Each \$2 commission entitled for extra 1 free real quote (remaining extra quotes for current month can be accumulated to next month) > Real time quote period : 9:30 am to 1:30 pm, 2:30 pm to 5:00 pm (exclude Saturday, Sunday and public holiday) > If all free real time quotes are used up, one-hour delayed quote will be provided
Streaming quote linked with trading platform (provided by AASStock)	Plan 1: \$320 per month (include HSI) Plan 2: \$345 per month (include HSI and HFI) Plan 3: \$200 per month (for mainland China only)
Streaming quote without linked with trading platform	AA Stock Quotewinner : \$383 per month ; China version \$203 per month (for mainland China only) AA Stock China 2007 : \$203 per month (for mainland China only) Quote Power : \$360 per month ; China version \$180 per month (for mainland China only) QianLong: CNY203 per month (for mainland China only)
<i>For more information related to Real time quote, please refer to your Account Manager</i>	
Account maintenance	
Account balance confirmation fee	\$200 per application
Custody fee	0.05% per annum on market value , min HKD100 equivalent
Dormant account fee	HKD 50 per year for account for no transaction over 2 years
Financing and other services	
Cash account overdue interest	Prime rate of Bank of Communication Hong Kong Branch + 5% per annum
Margin account financing interest	Prime rate of Bank of Communication Hong Kong Branch + 3% per annum
IPO subscription handling charge	\$80 per application
IPO Yellow form Handling charge	\$100 per yellow form
Duplicate copy of Statement	\$20 for each daily statement, \$50 for each monthly statement
Cash withdrawal charge	If the withdrawal amount below \$100, we will debit \$5 administration fees
CHATS handling charge	\$100 per application
Remittance handling charge	\$150 per application
CIES account services charge	\$6,000 per year
Fee for claiming unclaimed dividends	\$400 per application plus other fees charged by HKSCC Nominees (payment will not be refundable even if the claim is unsuccessful)

*Fees are charged in RMB for the Hong Kong shares settled in RMB

HK Stock Options

Contact	(Per side)		Exercise / Assignment	Exchange Fee & SFC Levy [#]
	Day Trade	Overnight Trade		(Per side) Day Trade/Overnight Trade
Stock Options	0.3% of options premium (min\$90)		Same as trading securities (additional \$2 per contract for exercising long position)	Tier 1 options: \$3per contract; Tier 2 options:\$1 per contract; Tier 3 options:\$0.5 per contract

[#] Determined and collected by Options Clearing House

**Above charges are for reference only. They are subject to change from time to time without prior notice. **

Bank account information

Please fill bearer name "BOCOM International Securities Limited " on cheque/ cashier order.

Securities

<u>BANK</u>	<u>BANK Account no.</u>	<u>Currency</u>
Bank of Communications, Hong Kong Branch	027-532-9-30757-6-6	HKD, USD, RMB
Bank of China	012-709-1-010043-0	HKD
	012-709-9207248-1	MULTI-CURRENCY
HSBC	808-358022-001	HKD
	808-358022-274	USD
	808-358022-280	SGD
Hang Seng Bank	773-557764-001	HKD
Standard Chartered Bank	447-1-672687-7	HKD
China Merchants Bank, Hong Kong Branch	238-20132008	HKD
	238-20550384	USD
	238-20132019	RMB

Futures

Standard Chartered Bank	447-1-672753-9	HKD
	447-1-787420-9	USD
	447-1-785393-7	RMB

HK Stock Options

Standard Chartered Bank	447-0-789772-9	HKD
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Please quote your a/c no. & name on bank pay-in slip and fax to (852) 8146 6118 or email to settlement@bocomgroup.com.

Remittance information

Name of Bank	Bank of Communications, Hong Kong Branch
Bank Address	20 Pedder Street, Central, Hong Kong
SWIFT Code / Bank Code	COMMHKHH / 027
A/C No.	<i>Refer to bank account information</i>
Beneficiary Name	BOCOM International Securities Limited

Name of Bank	Standard Chartered Bank (Hong Kong) Ltd
Bank Address	Standard Chartered Bank Building, 4-4A Des Voeux Road, Central
SWIFT Code / Bank Code	SCBLHKHH / 003
A/C No.	<i>Refer to bank account information</i>
Beneficiary Name	BOCOM International Securities Limited

Name of Bank	The Hong Kong and Shanghai Banking Corporation Limited
Bank Address	HSBC Main Building Plaza, 1 Queen's Road Central, Hong Kong
SWIFT Code / Bank Code	HSBCHKHHHKH / 004
A/C No.	<i>Refer to bank account information</i>
Beneficiary Name	BOCOM International Securities Limited

Name of Bank	China Merchants Bank, Hong Kong Branch
Bank Address	20&21/F Bank of America Tower, 12 Harcourt Road, Central, Hong Kong
SWIFT Code / Bank Code	CMBCHKHH / 238
A/C No.	<i>Refer to bank account information</i>
Beneficiary Name	BOCOM International Securities Limited