



BOCOM International Securities Limited

Fees and Charges Table

Effective on 1 August 2021

(Settled by HKD)

Hong Kong Stock Market

Trade-related services	
Brokerage	Standard: 0.25% of transaction amount (minimum \$100), subject to negotiable
Stamp duty	0.13% 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)	please 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 dividend (including scrip dividend)	0.5% of dividend received (minimum \$20, maximum \$10,000), maximum is subject to 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
Annual Paper Statement Service Fee**	\$80 per month
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
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)
Deposit Verification	\$150 per application

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

**Whole year charges will be debited from account on the beginning of each year

HK Stock Options

Contact	(Per side)		Exercise / Assignment	Exchange Fee & SFC Levy [#] (Per side)
	Day Trade	Overnight Trade		Day Trade/Overnight Trade
Stock Options	0.3% of options premium (min HK\$90)		Same as trading securities (additional HK\$2 per contract for exercising long position)	Tier 1 options: HK\$3 per contract; Tier 2 options: HK\$1 per contract; Tier 3 options: HK\$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 refer to following Bank Name on cheque/ cashier order.

Securities

<u>Name of Bank</u>	<u>Bank Account no.</u>	<u>Bank Name</u>	<u>Currency</u>
Bank of Communications, Hong Kong Branch	027-532-9-30757-6-6	BOCOM International Securities Ltd - Trust a/c	HKD, USD, RMB
Bank of China	012-709-1-010043-0	BOCOM International Securities Ltd - Clients A/C	HKD
	012-709-9207248-1	BOCOM International Securities Ltd - Clients A/C	MULTI-CURRENCY (Exclude HKD)
HSBC	808-358022-001	BOCOM International Securities Ltd-Client A/C	HKD
Hang Seng Bank	773-557764-001	BOCOM International Securities Ltd-Client A/C	HKD
Standard Chartered Bank	447-1-672687-7	BOCOM International Securities Ltd - Client Account	HKD
	447-0-792882-9	BOCOM International Securities Ltd - Client Account	USD
China Merchants Bank, Hong Kong Branch	238-20132008	BOCOM International Securities Ltd-Clients Account	HKD
	238-20550384	BOCOM International Securities Ltd-Clients Account	USD
	238-20132019	BOCOM International Securities Ltd-Clients Account	RMB
Bank of Communications (HK) Ltd	382-532-9-328141-7	BOCOM International Securities Ltd - Client Account	MULTI-CURRENCY

HK Stock Options

<u>Name of Bank</u>	<u>Bank Account no.</u>	<u>Bank Name</u>	<u>Currency</u>
Standard Chartered Bank	447-0-789772-9	BOCOM International Securities Ltd - Client Account	HKD

Please quote your a/c no. & name on bank pay-in slip and fax to (852) 8146 6118 or email to fund@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.	Refer to bank account information
Beneficiary Name	Refer to bank name above
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.	Refer to bank account information
Beneficiary Name	Refer to bank name above
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	HSBCHKHHKH / 004
A/C No.	Refer to bank account information
Beneficiary Name	Refer to bank name above
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.	Refer to bank account information
Beneficiary Name	Refer to bank name above