

## J. Securities Services

### J1. Local Securities Services (including equity linked instruments)

Item	Charge
<b>Buying and selling</b>	
<b>Brokerage fee</b>	
Trading through Business Internet Banking	0.25% of transaction amount (min HK\$100/RMB100)
Trading through branches	0.4% of transaction amount (min HK\$100/RMB100)
<b>Deposit transaction charge</b> (for purchase transaction only)	
	HK\$5/RMB5 per board lot (min HK\$30/RMB30, max HK\$200/RMB200)
	Waived if the same stocks are purchased and then sold on the same trading day or the subsequent trading day (T or T+1) <sup>1</sup>
<b>Fees charged and payable to third parties</b>	
Ad valorem stamp duty	0.13% of transaction amount <sup>2</sup> (rounded up to the nearest dollar)
Transaction levy	0.0027% of transaction amount
Investor compensation levy <sup>3</sup>	0.002% of transaction amount (if applicable)
HKEx Trading Fee (collected for the Stock Exchange of Hong Kong Ltd)	0.005% of transaction amount <sup>2</sup>
Financial Reporting Council ("FRC") Transaction Levy	0.00015% of transaction amount <sup>2</sup>
<b>Italian Financial Transaction Tax</b>	
For purchase of eligible Italian companies with market capitalization of more than Euro 500m and listed in Hong Kong. (Collected for Italian Government)	0.22% on the net purchase amount (Tax deduction from the intraday netting permitted based on the weighted average purchase price and the net purchase share quantity executed on the sameday)
<b>Receipt and delivery</b>	
For US securities listed in Hong Kong, the following additional charges will apply when involving cross-border transfer:	HK\$250/RMB250 per instruction per stock (via CCASS)
	i. CCASS fee of HK\$200 per receipt/delivery instruction per stock
	ii. Handling charge of HK\$100 per instruction per stock
	iii. Out-of-pocket expenses incurred by HKSCC
	HKD\$100/effected transfer
<b>Dual Tranche, Dual Counter Transfer</b> (From HKD-Traded Shares/ETF to RMB-Traded Shares/ETF)	
<b>Physical scrip deposit</b> (to be re-registered under HSBC Nominees name)	HK\$700 per stock per transaction
<b>Physical scrip withdrawal</b> (in self name)	HK\$5 per board lot (min HK\$700)
For US securities listed in Hong Kong, the following additional charges will apply.	i. CCASS fee of HK\$600 per receipt/delivery instruction per stock
	ii. Handling charge of HK\$100 per instruction per stock
	iii. Out-of-pocket expenses incurred by HKSCC
<b>Scrip fees</b> <sup>4</sup> (To be collected at Announced book-close date of each security)	HK\$1.50/RMB1.50 per board lot
<b>Fees charged and payable to third parties</b>	
Transfer deed stamp duty	HK\$5 for each transfer deed
Ad valorem stamp duty involving change of beneficial ownership	0.13% of transaction amount <sup>2</sup> (rounded up to the nearest dollar)
Re-registration fee for physical scrip	HK\$2.50 per board lot
<b>Custody services</b>	
Account maintenance fee <sup>5</sup>	HK\$150
<b>Nominee services</b>	
Collection of dividends/interest and other corporate actions	
• With cash and scrip dividend	0.5% of dividend amount (min HK\$30/RMB30, max HK\$2,500/RMB2,500)
• Without cash consideration	HK\$5/RMB5 per board lot (min HK\$30/RMB30, max HK\$200/RMB200)
• Collection of bonus issue	HK\$5/RMB5 per board lot (min HK\$30/RMB30, max HK\$200/RMB200)
• Exercise rights	HK\$5/RMB5 per board lot on received stocks resulting from exercising the rights (min HK\$30/RMB30, max HK\$200/RMB200)
• Warrant conversion	HK\$50/RMB50 per transaction plus HK\$5/RMB5 per board lot on received stocks resulting from exercising the warrant conversion (min HK\$30/RMB30, max HK\$200/RMB200)

Item	Charge
• Share consolidation/splitting	HK\$5/RMB5 per board lot on received stocks resulting from shares consolidation/splitting (min HK\$30/RMB30, max HK\$200/RMB200)
• Unclaimed entitlement claim handling	HK\$300/RMB300 per claim per distribution period plus 0.5% on cash dividend (min HK\$30/RMB30)
<b>Equity linked instruments at maturity</b> <sup>6</sup>	
• Receipt of cash <sup>7</sup>	0.2% of cash received (max HK\$300/RMB300)
• Receipt of stock	HK\$5/RMB5 per board lot (min HK\$30/RMB30, max HK\$200/RMB200) plus stamp duty collected for HKSAR Government); 0.1% of transaction amount <sup>2</sup> (rounded up to the nearest dollar)
• Handling charge for dividend claims	HK\$300/RMB300 per claim per distribution plus 0.5% on cash dividend (min HK\$30/RMB30)
<b>HSBC IPO Nominees services</b> <sup>6</sup>	
Handling fee per Yellow Form application	
• Through Business Internet Banking	HK\$50/RMB50 per application
• Through branches	HK\$100/RMB100 per application
<b>Deposit transaction charge</b> (for successful allotted shares)	
	HK\$5/RMB5 per board lot (min HK\$30/RMB30, max HK\$200/RMB200)
<b>Ancillary services</b>	
Annual report/Prospectus request	HK\$20 per stock per hard copy plus postage
Duplicate contract notes	HK\$50 for each copy
Duplicate statement/transaction summary/interim statement	
• To produce duplicate statement monthly/quarterly/ half-yearly/annually	HK\$200 p.a.
• To produce duplicate statement at other intervals	Negotiable (min HK\$200 p.a.)
• Request for account transaction summary or interim statement	The Bank reserves the right to levy a charge

### J2. Overseas Securities Services

Item	Charge
<b>Buying and selling</b>	
Brokerage fee	This fee varies with each market <sup>8</sup>
Handling charge	0.5% of transaction amount for the first US\$100,000 and 0.25% thereafter (min US\$50 per transaction) An additional US\$100 will be charged for sales of physical scrips
<b>Receipt and delivery</b>	
<b>Physical scrip deposit</b> (to be re-registered under HSBC Nominees name)	0.25% of transaction amount <sup>9</sup> (min US\$300)
<b>Physical scrip withdrawal</b> (in self name)	US\$10 per certificate <sup>8</sup> (min US\$20)
<b>Fees charged and payable to third parties</b>	
Re-registration fee for physical scrip	US\$10 per certificate (min US\$50 per transaction)
<b>Custody services</b>	
Account maintenance fee <sup>5</sup>	HK\$150
<b>Nominee services</b>	
Collection of dividends/interest and other corporate actions	
• With cash and scrip dividend	0.5% on gross amount collected before the deduction of overseas government withholding tax (min US\$7)
• Without cash consideration	US\$25 per event
• Collection of bonus issue	US\$25 per event
• Exercise rights	US\$25 per event
• Warrant conversion	US\$25 per event
• Share consolidation/splitting	US\$25 per event

### J3. Bond Trading Services

Item	Charge
<b>Buying and selling</b>	
Brokerage fee	Waived
Handling charge	Waived
<b>Receipt and delivery</b>	0.25% of transaction amount <sup>6</sup> (min US\$300)
<b>Custody services</b>	
Account maintenance fee <sup>5</sup>	HK\$150
<b>Nominee services</b>	
Collection of dividends/interest and other corporate actions	
With cash and scrip dividend	Waived
Redemption on maturity	Waived

### J4. Unit Trusts Services

Item	Charge
<b>Buying and selling</b>	
Subscription/redemption/management/other fees	Please refer to the respective prospectus of the fund
Switching fee	1% of switching amount for Class A funds
<b>Receipt and delivery</b>	HK\$100 per fund for External Transfer <sup>9</sup>
<b>Custody services</b>	
Account maintenance fee <sup>5</sup>	HK\$150

1. If there is more than one purchase transaction executed on a trading day (T) and/or the next following trading day (T+1), the sale transaction will first be matched with all purchase transactions executed on T based on their size, starting from the one with the largest quantity of purchased shares. After that, any unmatched sale shares will be matched with purchase transactions executed on T+1 based on their size, starting from the one with the largest quantity of purchased shares. Remaining shares of matched purchase transactions (if any) and/or unmatched purchase transactions (if any) are still subject to the deposit transaction charge with a minimum of HK\$30/RMB30 for each purchase transaction.
2. Stamp duty, Transaction levy and HKEx Trading Fee - for RMB denominated stock, they will be collected in RMB or HKD equivalent (according to official exchange rate) as determined by the Bank; for USD denominated stock, they will be collected in HKD equivalent (according to official exchange rates as determined by the Bank). Stamp duty of 0.13% of transaction amount is payable equally by seller (transferor) and buyer (transferee).
3. Please note that the collection of these levies is subject to the Securities and Futures (Investor Compensation – Levy) (Amendment) Rules 2005 which provides a suspension and re-instatement mechanism whereby if the new asset value of the Investor Compensation Fund exceeds HK\$1.4 billion, the obligation to pay the levies under the Rules will be suspended. However, if the net asset value of the Investor Compensation Fund falls below HK\$1 billion, investors are required to pay the levies which will be reinstated. The suspension of payment of investor compensation levy will also include initial public offerings and open offers.
4. The scrip fee will be calculated with reference to the net increase in board lots (rounded up to the next board lot) since the previous book-close date on which fee was last collected by HKSCC for each security held in account. Net decrease in the number of board lots held in specific lines-of-stocks will not incur fee.
5. The fee applies to all business integrated investment accounts and business investments accounts, and is due and payable in June and December every year on a day determined by the Bank from time to time. If that day falls on the 1st day of the month and is not a business day, the fee may be collected on the business day in May and November which immediately precedes that day, subject to the decision of the Bank. The fee is payable upon closure of accounts where the account is closed before the said payment dates.
6. Related charges of the above local securities will also apply, where applicable.
7. The fee is only applicable to equity link instruments listed on the Stock Exchange of Hong Kong Limited.
8. The fee does not include any levies/duties collected by overseas governments and out-of-pocket expenses charged by our brokers and agents/overseas custodians, which will be charged as applicable and for your account.
9. Transfer-in/out is only allowed for the same name accounts. Funds not currently stocked by HSBC cannot be transferred in. Service charge for funds transfer-in will be waived.

Note:

- CCASS is the central clearing and settlement system operated by Hong Kong Securities Clearing Company Limited (HKSCC).
- The Bank does not provide investment advice. The purchases and sales of securities involve an element of risk and securities prices are subject to upward and downward adjustments. Full details of the terms and conditions of the above services are available on request.
- There are certain charges for specific services which are not included here. These charges are available upon request.
- Please note that the charges listed above may be subject to changes without prior notice. The RMB charges shown are applicable to RMB denominated stock.