

## Private Banking Services Charges -

### Fees and Charges of Investment Services (Effective from 1<sup>st</sup> April 2025)

#### Local Securities (The following service fees are charged according to the transaction currency)

Services	Item	Rate / Fee		Min Charge	Max Charge	Remarks
Trade-related services	Brokerage Fee (Applicable to HKEx Listed Stocks)	Transaction amount per trade	0.25%	HKD100/ CNY100	-	1. For trading of listed bonds, maximum 0.25% 2. Calculation based on the original channel of placing order
	Stamp Duty*#	0.1% of transaction amount		HKD1/ CNY1	-	1. Payable by both the buying and selling parties 2. Charges are rounded up to the nearest dollar
	Transaction Levy#	0.0027% of transaction amount		-	-	1. SFC charge 2. Payable by both the buying and selling parties
	Trading Fee#	0.00565% of transaction amount		-	-	1. HKEx charge 2. Payable by both the buying and selling parties
	Financial Reporting Council (FRC) Transaction Levy #	0.00015% of transaction amount		-	-	1. FRC charge 2. Payable by both the buying and selling parties
	Italian Financial Transaction Tax (IFTT) (For buying shares issued by the companies resident in Italy)	0.2% (Tax amount is calculated based on the weighted average purchase price and the net purchase share quantity executed on the same day)		-	-	Collected for Italian Government
	Italian Financial Transaction Tax (IFTT) (For both of the buyer and seller in a financial derivatives transaction)	0.125 Euros for each transaction with Notional Value 0-2,500 Euros; 0.25 Euros for each transaction with Notional Value 2,500-5,000 Euros; 0.50 Euros for each transaction with Notional Value 5,000-10,000 Euros; 2.5 Euros for each transaction with Notional Value 10,000-50,000 Euros; 5 Euros for each transaction with Notional Value 50,000-100,000 Euros; 25 Euros for each transaction with Notional Value 100,000-500,000 Euros; 50 Euros for each transaction with Notional Value 500,000-1,000,000 Euros; 100 Euros for each transaction with Notional Value higher than 1,000,000 Euros  * Notional Value = Quantity of the financial derivatives purchased or sold X Purchase or Selling price of the financial derivatives  Remark: The above IFTT table is only applicable to certain types of the financial derivatives only.		-	-	Collected for Italian Government



Services	Item		Rate / Fee	Min Charge	Max Charge	Remarks
Scrip handling and settlement related service	Transaction Charge*	Purchase through all channels (Manned trading hotline)	HKD2.5/ CNY2.5 per board lot Charge waived if the trading amount of each transaction is HKD1,000,000 or above / CNY1,000,000 or above	HKD30/ CNY30	HKD200/ CNY200	1. Charge is computed for each stock
		Deposit through Central Clearing and Settlement System (CCASS) or physical scrip	Waived	-	-	1. Through CCASS or physical scrip deposited (including shares and bonds) are subject to the charge 2. Plus Scrip Transfer Service Fee, if applicable, for physical scrip deposited 3. Charge is computed for each stock
	Stock Withdrawal Fee*		HKD10/ CNY10 per board lot	HKD100/ CNY100	-	1. Charge is computed for each stock 2. Payable on application 3. Securities sold through our bank are <u>NOT</u> subject to the charge 4. Applies to “Delivery through CCASS” and “physical withdrawal”
	Transfer Deed Stamp Duty		HKD5 per transfer deed/certificate	HKD5	-	Charged on the selling of physical scrip
Nominee services and corporate actions	Dividend Collection Fee*		0.50% on each dividend	HKD30/ CNY30	HKD2,500/ CNY2,500	
	Receipt of securities*		HKD2.5/ CNY2.5 Per board lot	HKD30/ CNY30	HKD200/ CNY200	Applies to receipt of securities, such as bonus issues, scrip in lieu of cash dividends, initial public offer, offers, rights issues, placement etc.
	Corporate Action Service Charge*		HKD2/ CNY2 per actionable board lot	HKD100/ CNY100	HKD2,500/ CNY2,500	1. Corporate actions include special scheme of arrangement, right issues, extra right issues, privatization, offers, change trading board, warrant exercising etc. 2. Plus Share Registrars charges
	Share Splitting / Consolidation Handling Charge*		HKD30/ CNY30 per event	-	-	
	Scrip Transfer (to nominee's or client's own name) Service Fee*		HKD10/ CNY10 per board lot	HKD100/ CNY100	-	1. Scrip Fee included 2. Debit the Settlement Account on the settlement date
	Stamp Duty Handling Fee*		HKD50/ CNY50 per instruction	HKD50/ CNY50	-	1. Excluding Inland Revenue charges 2. Debit the Settlement Account on the settlement date

Services	Item	Rate / Fee	Min Charge	Max Charge	Remarks
Financing and other services	Unclaimed Entitlement Application Fee	HKD150 per claim plus HKD20 per board lot	-	-	1. Scrip Fee included 2. Application Fee is levied irrespective of result 3. Plus brokers / HKSCC charges
	Unclaimed Entitlement Handling Fee	0.50% on cash dividend claimed, and HKD5 per board lot for bonus shares / rights, etc., claimed	HKD20	-	Plus brokers / HKSCC charges
	New Issue Subscription Charge*	HKD100/ CNY100 per application	HKD100/ CNY100	-	Subscription charge is levied irrespective of result of allotment
	Overdue interest	Ref to the O/D interest of Temporary Overdraft of Current Account	-	-	Calculated on the overdue balance

#### Singapore Securities – Jardine Group Stocks and other bonus issue

Item	Rate / Fee	Minimum / Maximum Charge
Brokerage Fee	0.50% of the transaction amount per trade	Minimum USD20
Clearing Fee §	0.0325% of the transaction amount per trade	
Securities deposit / withdraw	Except our Bank charges, plus out-of-pocket expenses. Please contact our Bank for details	

#### US Securities listed in Hong Kong

Item	Rate / Fee
Dividend Collection Fee	30% of dividend deducted as US government withholding tax Remaining dividend charged at the same rate as local securities
Withdrawal Fee for Physical Scrip	HKD100 handling charge per instruction, plus HKD600 CCASS and Depository Trust Company (DTC) fee per instruction, as well as out-of-pocket expenses incurred by HKSCC
Cross Border Transfer Fee for Receipt / Delivery of Securities	HKD100 handling charge per instruction, plus HKD200 CCASS and Depository Trust Company (DTC) fee per instruction, as well as out-of-pocket expenses incurred by HKSCC
Warrant Conversions, Voluntary Takeovers, Tender Offers & Open Offers Service Fee	HKD100 handling charge per instruction, plus HKD600 CCASS and Depository Trust Company (DTC) fee per instruction, as well as out-of-pocket expenses incurred by HKSCC

**Mutual Funds/Unit Trusts/Hedge Funds/Private Equity Funds and Real Estate Funds**
**(The following service fees are charged according to the transaction currency)**

Services	Item	Charges	Remarks
Trade -Related Service	Subscription Fee	Up to 5% of subscription amount as commission.	Subject to the terms and conditions of the fund.
	Redemption Fee		
	Switching Fee		
Unit-Trust service	Deposit/Withdrawal in between Retail account and Private Banking Account	Waive	Plus any charge of other institutions and relevant tax
	Deposit to retail bank account from other Bank/Financial institution	Subject to NCB Fees and Charges of Securities Services** Minimum charge of HKD 300	
	Withdrawal to other Bank/Financial institution from retail bank account	Subject to NCB Fees and Charges of Securities Services** Minimum charge of HKD 300	
	Dividend Collection	Waive	

**Bonds (The following service fees are charged according to the transaction currency)**

Services	Item	Charges	Remarks
Trade -Related Service	Buy Transaction/Sell Transaction	Up to 2% of notional amount of the transaction	
Bonds Service	Deposit/Withdrawal in between Retail account and Private Banking Account	Waive	Plus any charge of other institutions and relevant tax
	Deposit to retail bank account from other Bank/Financial institution	Subject to NCB Fees and Charges of Securities Services** Minimum charge of HKD 300	
	Withdrawal to other Bank/Financial institution from retail bank account	Subject to NCB Fees and Charges of Securities Services** Minimum charge of HKD 300	
	Coupon Collection Fee	Waive	
	Maturity Redemption	Waive	

**Structured Investment and Notes (The following service fees are charged according to the transaction currency)**

Services	Item	Charges	Remarks
Trade -Related Service	Commission (for bank Act as agent only)	Up to 4% of notional amount of the transaction	
Settlement-Related Service	Deposit/Withdrawal in between Retail account and Private Banking Account	Waive	
	Deposit to retail bank account from other Bank/Financial institution	Subject to NCB Fees and Charges of Securities Services**	
	Withdrawal to other Bank/Financial institution from retail bank account	Subject to NCB Fees and Charges of Securities Services**	
Nominee services and corporate actions	Coupon Collection Fee	Waive	
Fees Charged and Payable to Third Parties	Stamp Duties*#	0.1% of Transaction amount of the settled stock	

**Account Maintenance**

Services	Item	Rate / Fee	Min Charge	Max Charge	Remarks
Account maintenance	Safe Custody Fee	0.25% p.a. (payable semi-annually)	-	-	Charged based on average month-end investment portfolio market value
	Stock Balance Confirmation	Refer to the charges of "Bank Certification" in Deposit and General Banking Services	-	-	
	Reprint Statement	HKD50 per statement	-	-	Up to seven years

\* Fees are charged according to the transaction currency.

\*\* Please visit NCB website: <https://www.ncb.com.hk/> for Fees and Charges of Securities Services\*\*

# Fees and charges determined and collected by the Government of the HKSAR, Securities and Futures Commission "SFC", HKEx or Financial Reporting Council "FRC" are subject to change without prior notice.

§ Fees and charges determined and collected by the authorized organization in Singapore are subject to change without prior notice.

**Remarks:**

- The Schedule applies to standard transactions and services. Fee and charges for non-standard transactions and services will be handle on a case-by-case basis and subject to negotiation.
- Odd lot is treated as one board lot in the calculation of fees and charges.
- Except otherwise mentioned, all charges are charged on the "per transaction", "per stock", and "per day" basis.
- Except the charges listed above, all other charges for overseas securities are the same as for local securities.
- Withholding tax (if any) will be deducted when dividends are paid.
- Charges for specific services and out-of-pocket expenses may not be listed in the above table. For details, please contact our staff.
- The above charges are for reference only. Nanyang Commercial Bank, Ltd. reserves the right to revise the service fee from time to time.
- Should there be any discrepancy between the English and Chinese versions, the English version shall prevail.