

Chong Hing Securities Limited

a licensed corporation to carry on Type I regulated activity (Dealing in Securities) under section 116(1) of the Securities and Futures Ordinance (SFC CE No. AAA806)
Service Charges Schedule (Effective Date: 01st Dec., 2011)

Items	Particulars	General Securities	Renminbi-Denominated Securities
		(included Out-of-Pocket Expenses) HK\$	(included Out-of-Pocket Expenses) RMB¥
A. Trade-related Services:			
1. Brokerage Commission	For orders placed		
a. Securities Traded in SEHK (except Listed Bonds) (including stocks, warrants & NASDAQ Stocks)	1. by Phone or at Branch's Counters (per Total Consideration) 2. via Internet (i-Web) (per Total Consideration) 3. via Mobile Securities Services (MSS) (per Total Consideration) (*For orders never handled by our staff at branches or the call centers and placed and modified (if any) via the same on-line channel only. *)	0.25% (Min\$80) 0.18% (Min \$80) ¹ 0.15% (Min \$60) ¹	0.25% (Min¥60) 0.18% (Min¥60) 0.15% (Min¥60)
b. Listed Bonds in SEHK (e.g. Exchange Fund Notes & HK Link Bonds, etc.)	(per Total Consideration)	0.10% (Min \$100) ²	0.10% ³ (Min¥100)
2. Stamp Duty (Not Applicable to Non-Levied Securities)	0.1% of Total Consideration (rounded up to the nearest dollar)	0.10%	0.10% ³
3. Transaction Levy	per Total Consideration	0.003%	0.003% ³
4. Investor Compensation Levy	per Total Consideration (Temporarily Exempted. Please refer to the SFC's Announcement)	0.002%	0.002% ³
5. Trading Fee	per Total Consideration	0.005%	0.005% ³
6. CCASS Stock Settlement Fee	per Total Consideration plus Handling Fee	0.002% (Min\$2/Max\$100) \$20.00	0.002% ³ (Min¥2/Max¥100) ¥20.00
7. Transfer Deed Stamp Duty (Physical Scrip only)	per certificate / for each Transfer Deed	\$5.00	¥5.00
B. Scrip Handling and Settlement-related Services:			
1a. Physical Scrip Withdrawal Fee			
i. General	per Board Lot or Part Thereof plus Handling Charge below (per Stock) a. Collected at CHSL or Chong Hing Bank Branch b. Collected at Head Office of Chong Hing Securities Ltd. in Central		\$3.50 \$75.00 \$15.00
ii. Pilot Program NASDAQ Stocks	Per instruction	\$650.00 (plus Out-of-Pocket Expenses)	NA
1b. Physical Scrip Deposit Fee	per Board Lot or Part Thereof (per Stock) per certificate/ for each Transfer Deed		\$1.50 (Min \$15) \$5.00
2a. Settlement Instruction Fee (SI) (stock withdraw from CHSL and deliver to counterparty)	Basic Handling Charge of CHSL/CCASS (per Instruction) Settlement Fee: 0.002% of the gross value for per SI transaction		\$51.00 0.002% (Min \$2/ Max\$100)
2b. Settlement Instruction Fee (SI) (stock receive from counterparty and deposit to CHSL)	Basic Handling Charge of CHS/CCASS (per Instruction) Settlement Fee: 0.002% of the gross value for per SI transaction		\$11.00(Max \$200) 0.002% (Min \$2/Max \$100)
3. Investor Settlement Instruction Fee (ISI)	Basic Handling Charge for stock deposit/withdrawal (Per Instruction)		\$31.00
4. Compulsory Share Buy-back Fee	All costs aroused from CCASS fine for late settlement by the end of T+2 for every overdue short position or compulsory buy-in owing to Client's default (e.g. invalid signature on Physical Scrip or Form of Transfer, late delivery of SI Forms or Stock Withdrawal Forms which result in late stock withdrawal from other stock custodian etc.)		Case by Case
C. On-line Real Time Quote Services:			\$0.15
1. Snapshot i-Web Real Time Quote Service ("SRTQS")	Fee for each Snapshot Real Time Full Quote / Half Quote (A real time quote is defined as per price enquiry per stock. The real time quote service periods are 9: 00 am - 12:15 pm and 1: 30 pm - 4:15 pm) - A "Full Quote" is the quote updating the securities prices & the brokers' queue simultaneously; - A "Half Quote" is the quote updating each securities price in the page of "Watch List" set by the individual client. - Monthly Usage of Real Time Quote can be monitored under the screen of "Quote Summary" Promotional Special Offers*: Extra 100 FREE real time quotes will be granted in a calendar month for every HK\$10,000 turnover in the same calendar month. All "Free Quotes" granted are valid for the same calendar month only and cannot be carried to other calendar months. (The SRTQS is the preset service for the i-Web and the MSS)		(No Max Charge Applied)
2. HSI Real Time Quote Service	Subscription Fee per Calendar Month*		\$20.00
3. HSI & HSIF Real-time Quote Service	Subscription Fee per Calendar Month*		\$50.00
4. i-investor Browser (Streaming)	Subscription Fee per Calendar Month* (This real time quote service for the i-Web only)		\$398.00 / \$338.00** (** Special Promotion Price)
D. IPO and Other Services:			
1. IPO Subscription Handling Fee Per Application	Regardless of the result of subscription and/or withdrawal of the IPO, all charges will not be refunded.		
a. WebIPO Services			
b. EIPO Services	Both WebIPO and TIPO services are applicable for clients who have signed the "Client Agreement" of July 2004 or later versions.	\$38.00 \$50.00 \$80.00	¥38.00 ¥50.00 ¥80.00
i) Telephone application (TIPO)			
ii) TIPO with signed IPO document (SIPO)			
c. IPO with margin financing	Handling Fee + Interest Charge (The interest rate varies with market condition during the IPO period)	\$100.00 + Interest	¥100.00 + Interest
d. Yellow Form	Clients are required to complete and check all filled information.	\$50.00	¥50.00
2. Request for Duplicate Copy of Statement	a. Monthly Statement (per Statement) b. Trading Records (per Statement)		\$25.00 \$50.00
3. Request for Copy of "SRTQS" Usage Report	For each Calendar Month Report		\$200.00
4. Stocks Transfer (internal)	From an Old Account to a New Account (per Stock)		\$25.00

1. For details of the charges and special offers of the relevant services, please refer to the 《Notice for Clients of i-Web Stock Trading Service and Mobile Securities Service》.

2. Buyer of Bonds has to pay 「Cumulative Interest」 to the Seller of Bonds in advance on the settlement date.

3. Paid in RMB¥ based on an exchange rate announced by the Hong Kong Exchange daily.

4. Min = Minimum Max = Maximum

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E. Nominee Services and Corporate Actions:			
1. Shares Transfer			
a. <i>Scrip Fee</i> (Shares Deposited in CCASS)	per Board Lot or Part Thereof CCASS Deemed Book Close plus CHSL Handling Charge (per stock)	\$1.50 \$0.75 \$20.00	¥1.50 ¥0.75 ¥20.00
b. <i>Scrip Fee</i> (Physical Scrip)			
i. General	Standard Registration Service: 10 Working Days (each stock per Board Lot) plus CHSL Handling Charge (per stock)	\$2.50 \$50.00	¥2.50 ¥50.00
ii. Express	Special Registration Service: 6 Working Days (each stock per Board Lot) plus CHSL Handling Charge (per stock)	\$3.00 \$50.00	¥3.00 ¥50.00
	3 Working Days (each stock per Board Lot) Plus CHSL Handling Charge (per stock)	\$20.00 \$50.00	¥20.00 ¥50.00
For Corporate Actions of items 2-9 (including dividend, bonus shares, rights & warrants distribution), shares haven't completed the "registration & transfer" process will need to be completed first.			
2. Dividend/ Debt Securities Interest	Total Monies Received (per Stock)	0.25% (Min \$15/Max\$1,500)	0.25% (Min¥15/Max¥1,500)
3. Bonus Shares Issue	per Board Lot or Part Thereof Bonus	\$2.00 (Max \$1,000)	¥2.00 (Max ¥1,000)
4a. Rights Issue / Preferential Offer ("PO")	per Board Lot or Part Thereof Rights	\$2.00 (Max \$200)	¥2.00 (Max ¥200)
4b. Rights / PO Subscription	Handling Charge (per Stock)	\$20.00	¥20.00
4c. Excess Rights/ PO Subscription	Handling Charge (per Stock) (The charge is non-refundable no matter how many shares are allotted)	\$20.00	¥20.00
4d. Shares Issued from Rights / PO Subscription	per Board Lot or Part Thereof (Charged by CCASS and no ceiling limit)	\$0.80	¥0.80
4e. Shares from Rights/ Excess Rights/PO Subscription	per Board Lot or Part Thereof	\$2.00 (Max \$500)	¥2.00 (Max ¥500)
5a. Warrants Issue	per Board Lot or Part Thereof Warrants	\$2 (Max \$1,000)	¥2 (Max ¥1,000)
5b. Exercise Warrants	Handling Charge (per Stock)	\$20.00	¥20.00
5c. Shares Issue from Warrants Subscription	per Board Lot or Part Thereof	\$2.80	¥2.80
6a. Exercise Equity Linked Instruments	Handling Charge (per Stock)	\$20.00	¥20.00
6b. Cash/Shares Settlement for ELI	per Board Lot or Part Thereof	\$0.80	¥0.80
6c. Shares Issue from ELI	per Board Lot or Part Thereof	\$2.00	¥2.00
7. Shares Consolidation/ Split	Handling Charge (per Stock)	\$20.00	¥20.00
8. Cash Offer (Conditional/ Unconditional)	per Board Lot or Part Thereof Handling Charge (per Stock)	\$0.80 \$20.00	¥0.80 ¥20.00
9. Nasdaq Stocks			
a. Handling Fee for Warrant Conversion, Voluntary Takeover, Tender Offers or Open Offers	per Instruction	\$650.00 ^(plus Out-of-Pocket Expenses)	NA
b. Cross-Border Transfer Fee (including Receive and Delivery)	per Instruction	\$300.00 ^(plus Out-of-Pocket Expenses)	NA
10. Custody Fee			
a. Non-foreign Securities (semi-annual fee) (e.g. stocks, warrants, callable bull/bear contracts, and all funds, etc.)	For each securities account with any type of non-foreign securities held on the last trading day of the Hong Kong securities market in each record month (i.e. June and December) of a calendar year. Exemption Scheme: If there are one or more securities trading transactions (all non-trading transactions such as IPO applications, share placing, exercise of warrants, settlement instructions, deposit or withdrawal of physical scrip, etc., are not included) for a securities account during a record month or the period of five calendar months prior to the record month, the fee for that record month will be waived.		HK\$100
b. Listed Bonds (Monthly Fee) (e.g. EFN & HK Link)	Nominal Value of the Bonds as of the record on the last trading day of each Calendar Month		0.012% p.a. (Min \$10)
c. Nasdaq Stocks (Monthly Fee)	Stock Balance (per Stock) for each Calendar Month	\$20.00	NA
d. Physical Scrip/ Foreign Securities (excluded Nasdaq Stocks)(semi-annual fee)	per Board Lot as of the record per stock on the last trading day of May & November (The Fee is collected on the 1st trading day of June and December.)	\$0.20 (Min \$20)	NA
11. Auto Convert/Redeem (Bonds Only)	Per Instruction/Announcement	\$50	NA
F. Financing and Other Services:			
1. Margin Account Finance Charge	Prime Interest Rate plus 3% per annum (Actual charges of interest rate will be adjusted according to the Prime Rate of Chong Hing Bank Limited occasionally.)		P+3.0% p.a.
2. Cash Account Overdue Interest	Unsettled balance (Prime Interest Rate plus 6% per annum) plus Handling Charge for Late Settlement	P+6.0% p.a. \$10.00	P+6.0% p.a. ¥10.00
3. Handling Charge of Exchange for settlement	In case of insufficient fund in designed RMB settlement account in T+2 settlement date, CHSL has the rights but no duties or responsibilities to purchase sufficient RMB on behalf of the client based on the exchange rate quoted by Chong Hing Bank Ltd. by withdrawing Hong Kong dollars from the client's designed settlement account. For this purpose, CHSL will charge RMB100 as handling charge of exchange for settlement.	NA	¥100
4. Dividend/ Bonus Shares Claim (Fee will be charged no matter successful or not)	Per claim of each stock and ascending date (plus the charge of CCASS which is not less than \$200/¥200)	\$500 (recent 2 years) \$1,000 (over 2 years)	¥500 (recent 2 years) ¥1,000 (over 2 years)
5. Service Charge for the "Wealth Accumulation Plan"	Per Purchase of each Stock, based on Total Consideration Other transaction costs related to the securities dealing	0.25% (Min \$38) Refer to the Applicable Items in Part A	NA
6. Duplicate Copy of Transaction & Monthly Statement	Paid in advance on annual basis and nonrefundable	\$250 (per annum)	NA

The Above Service Charges are Subject to Change Without Prior Notice