

**Fees and Charges Schedule**

Service	Rate (in HKD unless specified otherwise)	Minimum Charge
<b>(I) HK Securities and Warrants</b>		
<b>A Trade-related services</b>		
<ul style="list-style-type: none"> <li>Brokerage commission<sup>1,7</sup></li> <li>Stamp duty (Charge levied by the HKSAR Government) (Please refer to HKEX for the applicable products)</li> <li>SFC transaction levy (Charge levied by SFC)</li> <li>AFRC transaction levy (Charge levied by AFRC) (Please refer to AFRC for the applicable products)</li> <li>HKEX trading fee (Charge levied by HKEX)</li> <li>Investor compensation levy (Charge levied by SFC)</li> <li>Italian Financial Transaction Tax for purchase of eligible Italian companies with market capitalization of more than Euro 500m and listed in Hong Kong (Charge levied by Italian Government)</li> </ul>	On transaction amount: 0.30% for settlement in HKD / RMB / USD 0.1% of transaction amount (rounded to nearest dollar) 0.0027% of transaction amount 0.00015% of transaction amount (rounded to nearest cent) 0.00565% of transaction amount 0.002% of transaction amount (suspended by SFC from 19 Dec 2005) 0.1% of transaction amount	HKD100 / RMB100 / USD30 – – – – –
<b>B Scrip handling and settlement-related services</b>		
<ul style="list-style-type: none"> <li>Scripless through CCASS               <ul style="list-style-type: none"> <li>- Receipt</li> <li>- Delivery</li> </ul> </li> <li>Physical scrip               <ul style="list-style-type: none"> <li>- Deposit</li> <li>- Withdrawal</li> </ul> </li> <li>Multiple counter transfer (For Dual-Currency-Dual-Counter shares)</li> </ul>	Waived 0.05% of previous day market value per security per transaction <sup>2</sup> Waived HKD5 per board lot HKD120 per stock per transaction	– HKD100 – HKD200 –
<b>C Nominee services and corporate actions<sup>15</sup></b>		
<ul style="list-style-type: none"> <li>Dividend collection<sup>3</sup></li> <li>Cash offers</li> <li>Open offers / Share offers / Right exercise / Warrant conversion / Auto-cash settlement</li> <li>Registration Charge               <ul style="list-style-type: none"> <li>- Scrip fee</li> <li>- Handling fee</li> </ul> </li> <li>Dividend claim</li> </ul>	0.25% of dividend amount per stock <sup>1</sup> 0.25% on each cash consideration <sup>1</sup> HKD / RMB1 per board lot <sup>1</sup> HKD / RMB1.5 per board lot <sup>1</sup> HKD / RMB2 per board lot (Maximum: HKD / RMB20,000) <sup>1</sup> HKD500 per dividend item	HKD30 / RMB30 HKD30 / RMB30 HKD30 / RMB30 – – –
<b>D Account maintenance<sup>15</sup></b>		
<ul style="list-style-type: none"> <li>Custody fee</li> </ul>	Waived	–
<b>E IPO services</b>		
<ul style="list-style-type: none"> <li>Subscription handling charge</li> <li>IPO subscription, placements, and sub-underwriting brokerage commission</li> </ul>	Waived Subject to market condition	– –
<b>(II) HK Stock Options</b>		
<b>A Trade-related services</b>		
<ul style="list-style-type: none"> <li>Brokerage commission</li> <li>Exchange tariff (Charge levied by HKEX)</li> </ul>	HKD30 per contract Tier 1: HKD3 per contract Tier 2: HKD1 per contract Tier 3: HKD0.5 per contract	HKD100 – – –
<b>B Fees due to option exercise / assignment</b>		
<ul style="list-style-type: none"> <li>Commission<sup>4</sup></li> <li>Stamp duty (Charge levied by the HKSAR Government)</li> <li>SFC transaction levy (Charge levied by SFC)</li> <li>HKEX trading fee (Charge levied by HKEX)</li> <li>Exercise fee (Charge levied by HKEX)</li> </ul>	0.30% of transaction amount for settlement in HKD / RMB / USD 0.1% of transaction amount (rounded to nearest dollar) 0.0027% of transaction amount 0.00565% of transaction amount HKD2 per contract	HKD100 / RMB100 / USD30 – – – –
<b>C Custody</b>		
<ul style="list-style-type: none"> <li>Selling covered call (Transfer of stocks from securities account to option account)</li> </ul>	HKD120 per stock per transaction	–

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<b>(III) Shanghai and Shenzhen Stock Connect</b>		
<b>Shanghai A-shares / ETF</b>		
<b>A1 Trade-related services for A-shares</b>		
• Brokerage commission <sup>4,7</sup>	0.30% of transaction amount	RMB100
• Handling fee (Charge levied by SSE)	0.00341% of transaction amount	–
• Securities management fee (Charge levied by CSRC)	0.002% of transaction amount	–
• Transfer fee (Charge levied by ChinaClear)	0.001% of transaction amount	–
• Transfer fee (Charge levied by HKSCC)	0.002% of transaction amount	–
• Stamp duty (For sell transaction only) (Charge levied by SAT)	0.05% of transaction amount	–
<b>A2 Trade-related services for ETF</b>		
• Brokerage commission <sup>4,7</sup>	0.30% of transaction amount	RMB100
• Handling fee (Charge levied by SSE)	0.0040% of transaction amount	–
• Securities management fee (Charge levied by CSRC)	Waived	–
• Transfer fee (Charge levied by ChinaClear)	Waived	–
• Transfer fee (Charge levied by HKSCC)	0.002% of transaction amount	–
• Stamp duty	Waived	–
<b>B Custody, nominee services and corporate actions<sup>15</sup></b>		
• Custody fee	0.01% p.a. <sup>5</sup>	RMB100 per quarter
• Scripless through CCASS		
- Receipt	Waived	–
- Delivery	0.05% of previous day market value per security per transaction	RMB100
• Dividend collection <sup>3</sup>	0.25% of dividend amount per stock	RMB30
• Cash offer	0.25% on each cash consideration	RMB30
• Right exercise / Share offer / Open offer / Other corporate actions involving non-cash items	RMB1 per board lot	RMB30
<b>Shenzhen A-shares / ETF</b>		
<b>A1 Trade-related services for A-shares</b>		
• Brokerage commission <sup>4,7</sup>	0.30% of transaction amount	RMB100
• Handling fee (Charge levied by SZSE)	0.00341% of transaction amount	–
• Securities management fee (Charge levied by CSRC)	0.002% of transaction amount	–
• Transfer fee (Charge levied by ChinaClear)	0.001% of transaction amount	–
• Transfer fee (Charge levied by HKSCC)	0.002% of transaction amount	–
• Stamp duty (For sell transaction only) (Charge levied by SAT)	0.05% of transaction amount	–
<b>A2 Trade-related services for ETF</b>		
• Brokerage commission <sup>4,7</sup>	0.30% of transaction amount	RMB100
• Handling fee (Charge levied by SZSE)	0.0040% of transaction amount	–
• Securities management fee (Charge levied by CSRC)	Waived	–
• Transfer fee (Charge levied by ChinaClear)	Waived	–
• Transfer fee (Charge levied by HKSCC)	0.002% of transaction amount	–
• Stamp duty	Waived	–
<b>B Custody, nominee services and corporate actions<sup>15</sup></b>		
• Custody fee	0.01% p.a. <sup>5</sup>	RMB100 per quarter
• Scripless through CCASS		
- Receipt	Waived	–
- Delivery	0.05% of previous day market value per security per transaction	RMB100
• Dividend collection <sup>3</sup>	0.25% of dividend amount per stock	RMB30
• Cash offer	0.25% on each cash consideration	RMB30
• Right exercise / Share offer / Open offer / Other corporate actions involving non-cash items	RMB1 per board lot	RMB30

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<b>(IV) Overseas Securities</b>		
<b>Shanghai B-shares</b> (No acceptance of buy order instructions since 27 Jun 2016)		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4,7</sup>	0.8% of transaction amount	USD40
• Handling fee (Charge levied by SSE)	0.00341% of transaction amount	–
• Securities management fee (Charge levied by CSRC)	0.002% of transaction amount	–
• Clearing fee (Charge levied by ChinaClear)	0.05% of transaction amount	–
• Stamp duty (For sell transaction only) (Charge levied by SAT)	0.05% of transaction amount	–
<b>B Custody, nominee services and corporate actions</b> <sup>15</sup>		
• Custody fee	0.03% p.a. <sup>5</sup>	USD10 per quarter
• Receipt and delivery	USD70 per security	–
• Dividend collection <sup>3</sup>	0.5% of dividend amount per stock	USD20
• Voluntary corporate action	USD20 per transaction	–
<b>Shenzhen B-shares</b> (No acceptance of buy order instructions since 27 Jun 2016)		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4,7</sup>	0.8% of transaction amount	HKD300
• Handling fee (Charge levied by SZSE)	0.00341% of transaction amount	–
• Securities management fee (Charge levied by CSRC)	0.002% of transaction amount	–
• Clearing fee (Charge levied by ChinaClear)	0.05% of transaction amount (Maximum: HKD500)	–
• Stamp duty (For sell transaction only) (Charge levied by SAT)	0.05% of transaction amount	–
<b>B Custody, nominee services and corporate actions</b> <sup>15</sup>		
• Custody fee	0.03% p.a. <sup>5</sup>	HKD80 per quarter
• Receipt and delivery	HKD300 per security	–
• Dividend collection <sup>3</sup>	0.5% of dividend amount per stock	HKD20
• Voluntary corporate action	HKD200 per transaction	–
<b>US Securities</b>		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4,7,17</sup>	0.6% of transaction amount	USD40
• Option brokerage commission	USD8 per contract	USD60
• SEC fee (For sell transaction only)	0.00278% of transaction amount	–
<b>B Custody, nominee services and corporate actions</b> <sup>15</sup>		
• Custody fee	Waived	–
• Receipt and delivery	USD50 per security	–
• Dividend collection <sup>3</sup>	0.5% of dividend amount per stock	USD20
• Voluntary corporate action	USD30 per transaction	–
• American Depository Receipt ("ADR") Fee <sup>16</sup>	USD0.01 - 0.05 per share	–
<b>UK Securities</b>		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4</sup>	0.8% of transaction amount	GBP50 per order
• PTM levy (For transaction amount > GBP10,000 per order)	GBP1.5 per order	–
• Transaction fee / Stamp duty (For buy transaction only)	0.50025% of transaction amount	–
<b>B Custody, nominee services and corporate actions</b> <sup>15</sup>		
• Custody fee	0.03% p.a. <sup>5</sup>	GBP10 per quarter
• Receipt and delivery	Crest: GBP30 per security Non-crest: GBP100 per security	–
• Physical scrip: Deposit and withdrawal	GBP100 per stock per transaction	–
• Dividend collection <sup>3</sup>	0.5% of dividend amount per stock	GBP15
• Voluntary corporate action	GBP15 per transaction	–
<b>Australia Securities</b>		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4,7</sup>	0.8% of transaction amount	AUD60
<b>B Custody, nominee services and corporate actions</b> <sup>15</sup>		
• Custody fee	0.03% p.a. <sup>5</sup>	AUD10 per quarter
• Receipt and delivery	AUD80 per security	–
• Dividend collection <sup>3</sup>	0.5% of dividend amount per stock	AUD20
• Voluntary corporate action	AUD20 per transaction	–

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<b>(IV) Overseas Securities</b>		
<b>Singapore Securities</b>		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4,7</sup>	0.3% of transaction amount	SGD75 / USD60 / HKD500 / AUD70
• Trading fee - Securities (Charge levied by SGX)	0.0075% of transaction amount	–
• Trading fee - Structured warrants (Charge levied by SGX)	0.001% of transaction amount	–
• Clearing fee - Securities	0.0325% of transaction amount	–
• Clearing fee - Structured warrants	0.004% of transaction amount	–
<b>B Custody, nominee services and corporate actions<sup>15</sup></b>		
• Custody fee	0.03% p.a. <sup>5</sup>	SGD15 per quarter
• Receipt and delivery	SGD40 per security	–
• Physical scrip: Deposit and withdrawal	Deposit: SGD20 per stock per certificate Withdrawal: SGD300 per stock per certificate	SGD200 –
• Dividend collection <sup>3</sup>	0.5% of dividend amount per stock	SGD25
• Voluntary corporate action	SGD25 per transaction	–
<b>Canada Securities</b>		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4,7</sup>	Share price > CAD8 per share: 0.8% of transaction amount Share price ≤ CAD8 per share: CAD0.06 per share	CAD80
<b>B Custody, nominee services and corporate actions<sup>15</sup></b>		
• Custody fee	0.03% p.a. <sup>5</sup>	CAD15 per quarter
• Receipt and delivery	CAD30 per security	–
• Dividend collection <sup>3</sup>	0.5% of dividend amount per stock	CAD20
• Voluntary corporate action	CAD20 per transaction	–
<b>Indonesia Securities</b>		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4,7</sup>	0.8% of transaction amount	IDR300,000
• Levy fee	0.04% of transaction amount	–
• Sales tax (For sell transaction only)	0.1% of transaction amount	–
• VAT	0.008% of transaction amount	–
<b>B Custody, nominee services and corporate actions<sup>15</sup></b>		
• Custody fee	0.03% p.a. <sup>5</sup>	IDR90,000 per quarter
• Receipt and delivery	USD100 per security	–
• Dividend collection <sup>3</sup>	0.5% of dividend amount per stock	USD20
• Voluntary corporate action	USD20 per transaction	–
<b>Japan Securities</b>		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4,7</sup>	0.8% of transaction amount	JPY20,000
<b>B Custody, nominee services and corporate actions<sup>15</sup></b>		
• Custody fee	0.03% p.a. <sup>5</sup>	JPY1,200 per quarter
• Receipt and delivery	USD30 per security	–
• Dividend collection <sup>3</sup>	0.5% of dividend amount per stock	JPY2,000
• Voluntary corporate action	JPY2,000 per transaction	–
<b>Malaysia Securities</b>		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4,7</sup>	0.8% of transaction amount	MYR130
• Clearing fee	0.03% of transaction amount (Maximum: MYR1,000)	–
• Stamp duty	MYR1.5 per every MYR1,000 transaction amount (Maximum: MYR1,000)	MYR1.5
<b>B Custody, nominee services and corporate actions<sup>15</sup></b>		
• Custody fee	0.03% p.a. <sup>5</sup>	MYR40 per quarter
• Receipt and delivery	USD100 per security	–
• Dividend collection <sup>3</sup>	0.5% of dividend amount per stock	USD20
• Voluntary corporate action	USD20 per transaction	–

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<b>(IV) Overseas Securities</b>		
<b>The Philippines Securities</b>		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4,7</sup>	0.8% of transaction amount	PHP2,500
• Clearing fee	0.01% of transaction amount	–
• VAT	0.03% of transaction amount	–
• Sales tax (For sell transaction only)	0.6% of transaction amount	–
<b>B Custody, nominee services and corporate actions<sup>15</sup></b>		
• Custody fee	0.03% p.a. <sup>5</sup>	PHP550 per quarter
• Receipt and delivery	USD100 per security	–
• Dividend collection <sup>3</sup>	0.5% of dividend amount per stock	USD20
• Voluntary corporate action	USD20 per transaction	–
<b>Taiwan Securities (No acceptance of buy order instructions since 26 Apr 2024)</b>		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4,7</sup>	0.8% of transaction amount	TWD5,000
• Stamp duty (For sell transaction only)	0.3% of transaction amount	–
<b>B Custody, nominee services and corporate actions<sup>15</sup></b>		
• Custody fee	0.03% p.a. <sup>5</sup>	TWD35 per quarter
• Dividend collection <sup>3</sup>	0.5% of dividend amount per stock	USD20
• Voluntary corporate action	TWD500 per transaction	–
<b>Thailand Securities</b>		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4,7</sup>	0.8% of transaction amount	THB2,000
• VAT	0.0035% of transaction amount	–
<b>B Custody, nominee services and corporate actions<sup>15</sup></b>		
• Custody fee	0.03% p.a. <sup>5</sup>	THB450 per quarter
• Receipt and delivery	USD100 per security	–
• Dividend collection <sup>3</sup>	0.5% of dividend amount per stock	USD20
• Voluntary corporate action	USD20 per transaction	–
<b>Other Western Europe Markets (ie Austria, Belgium<sup>#</sup>, Denmark<sup>#</sup>, Finland, France, Germany, Ireland, Italy, Netherlands, Norway<sup>#</sup>, Portugal, Spain, Sweden<sup>#</sup>, Switzerland)<sup>#</sup>Belgium, Denmark, Norway, Sweden (No acceptance of buy order instructions from 15 Jan 2021)</b>		
<b>A Trade-related services</b>		
• Brokerage commission <sup>4</sup>	0.8% of transaction amount	Germany: EUR100 per order France: EUR120 per order Switzerland: CHF200 per order Others: EUR170 per order
• Transaction fee / Stamp duty	Ireland stocks: 1.0005% of transaction amount (For buy transaction only)	–
<b>B Custody, nominee services and corporate actions<sup>15</sup></b>		
• Custody fee	0.03% p.a. <sup>5</sup>	GBP5 or equivalent per quarter
• Receipt and delivery	<u>Ireland</u> Crest: GBP30 per security Non-crest: GBP100 per security	–
• Dividend collection <sup>3</sup>	<u>Others</u> GBP60 per security	–
• Voluntary corporate action	0.5% of dividend amount per stock GBP15 per transaction	EUR15
<b>Applicable to All Overseas Markets</b>		
<b>A Trade-related services</b>		
• Italian Financial Transaction Tax for purchase of eligible Italian companies with market capitalization of more than Euro 500m and listed on a Italian or foreign regulated market (Charge levied by Italian Government)	0.1% of transaction amount	–
• French Financial Transaction Tax for purchase of eligible French companies with market capitalization of more than Euro 1b and listed on a French or foreign regulated market (Charge levied by French Government)	0.3% of transaction amount	–
• Spanish Financial Transaction Tax for purchase of eligible Spanish companies with market capitalization of more than Euro 1b and listed on a Spanish or foreign regulated market (Charge levied by Spanish Government)	0.2% of transaction amount	–

**Fees and Charges Schedule**

Service	Rate (in HKD unless specified otherwise)	Minimum Charge
<b>(V) Futures / Options<sup>*8</sup></b>		
<b>A Hong Kong Futures<sup>**12</sup></b>	<b>Futures<sup>**9</sup></b>	<b>Options<sup>**10</sup></b>
	Day Trade / Overnight Brokerage Commission	Brokerage Commission
• Hang Seng Index	HKD50 / 90	1% of consideration (Maximum: HKD200)
• Hang Seng TECH Index	HKD50 / 90	1% of consideration (Maximum: HKD200)
• Hang Seng China Enterprises Index	HKD50 / 90	1% of consideration (Maximum: HKD200)
• MSCI Index Futures (HKD Denominated)	HKD15 / 20	-
• MSCI Index Futures (USD Denominated)	USD5 / 10	-
• Mini Hang Seng Index	HKD15 / 20	HKD50
• Mini Hang Seng China Enterprises Index	HKD15 / 20	HKD50
• HSI Dividend Point Index Futures	HKD30 / 40	-
• HSCEI Dividend Point Index Futures	HKD30 / 40	-
• Sector Index Futures <sup>**11</sup>	HKD30 / 40	-
• CES China 120 Index Futures	HKD50 / 90	-
• HSI Volatility Index Future	HKD50 / 90	-
• USD/CNH Futures	RMB50 / 90	1% of consideration (Maximum: RMB200)
• Mini USD/CNH Futures	RMB15 / 20	-
• EUR/CNH Futures	RMB30 / 40	-
• JPY/CNH Futures	RMB30 / 40	-
• AUD/CNH Futures	RMB30 / 40	-
• CNH/USD Futures	USD5 / 10	-
• Stock Futures	HKD15 / 20	-
<b>B Global Futures<sup>**12</sup></b>	Day Trade / Overnight	
• USD Denominated Products		
- Regular Futures	USD30 / 40	USD50
- Mini Futures	USD25 / 40	USD50
- Micro Mini Futures	USD25 / 40	USD50
• CHF Denominated Products	CHF30 / 40	-
• AUD Denominated Products	AUD30 / 40	-
• SGD Denominated Products	SGD30 / 40	-
• EUR Denominated Products	EUR25 / 40	EUR30
• GBP Denominated Products	GBP15 / 20	GBP30
• JPY Denominated Products		
- Regular Futures	JPY3,500	JPY3,500
- SGX Mini JGB	JPY3,000	-
- Osaka Exchange	JPY5,000	JPY5,000
<b>(VI) Debt Securities - Over The Counter</b>		
• Custody fee	0.03% p.a. on nominal value <sup>**13</sup>	-
• Coupon / Redemption / Corporate actions	Waived	-
• Receipt and delivery	Receipt: Waived Delivery: USD50 per debt security / note	-
<b>(VII) Leveraged Foreign Exchange</b>		
• Interest on deferred position	Please refer to clause B, 5.1 of HSBC Broking Forex (Asia) Limited's Terms of Business	-

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<b>(VIII) Financing and Other Services</b>		
<b>A Financing</b>		
• Margin account financing charges	HKD: 1-week HIBOR on 1 <sup>st</sup> working day of the week + 5% p.a. Other Currency: Prime Rate + 2% p.a.	–
• Cash account overdue interest	HKD: 1-week HIBOR on 1 <sup>st</sup> working day of the week + 5% p.a. Other Currency: Prime Rate + 2% p.a.	–
• Financing charge on IPO subscription	Subject to market condition	–
• Administration fee on returned cheque (all currencies)	HKD200 per cheque	–
<b>B Others</b>		
• General account maintenance fee	HKD200 p.a. <sup>14</sup>	–
• Outgoing Remittance handling charge		
- Local	HKD190 per transaction	–
- Overseas	HKD220 per transaction denominated in HK dollar or in RMB USD20 per transaction denominated in foreign currencies	–
- Amendment / Cancellation / Enquiry	HKD350 per transaction	–
• Stop cheque payment	HKD100 per cheque	–
• Re-print contract note / Daily activity statement / Monthly activity statement	HKD3 per page	HKD100 per request
• Capital Investment Entrant Scheme (Scheme suspended for new application from 15 January 2015 by The Government of the Hong Kong SAR)		
- Account maintenance fee	0.5% p.a. on average portfolio value (Debit on the first business day of every quarter)	–
• Individual Client Segregated Account with Euroclear Bank SA/NV (per account)		
- Account Opening Fee	USD200	–
- Monthly Account Maintenance Fee	USD1,000 <sup>16</sup>	–

# HSBC Broking Services (Asia) Limited

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- Notes:
- <sup>1</sup> The charges of stocks traded in HKEX denominated in USD are as following:  
Open offers / share offers / right exercise / warrant conversion / auto-cash settlement: USD0.15 per board lot (Min: USD5); Registration charge: Scrip fee USD0.2 per board lot and Handling fee USD0.25 per board lot (Max: USD2,500). Minimum charge of "Dividend collection" and "Cash offers" is USD5.
  - <sup>2</sup> The charges will be settled in USD / RMB equivalent calculated at a rate of exchange determined by HSBC Trading Advisory for stock denominated in USD and RMB respectively.
  - <sup>3</sup> Fees and charges of dividend collection are collected in the currency in which these dividends are received. These fees and charges are subject to the specified minimum amount in that currency equivalent calculated at a rate of exchange determined conclusively by HSBC Trading Advisory on the basis of the then-prevailing market rates of exchange between the two currencies.
  - <sup>4</sup> Brokerage commission is subject to the specified minimum amount in that currency equivalent calculated at a rate of exchange determined conclusively by HSBC Trading Advisory on the basis of the then-prevailing market rates of exchange between the two currencies.
  - <sup>5</sup> The custody fees for stocks will be calculated based on the daily average market value of the customer's stock portfolio. The annual custody fees for Shanghai and Shenzhen Stock Connect and overseas securities will be charged on a quarterly basis and are payable in January, April, July and October of every year. The custody fees will be waived for the quarter if there is no stock portfolio in the trading account by the end of the quarter. The custody fees for exchange-traded debt securities will be calculated based on the nominal value of the exchange-traded debt securities holdings, and will be charged on a half-yearly basis and are payable in January and July of every year; if an exchange-traded debt securities holding is disposed of, redeemed, delivered or matures, a pro-rata custody fee will be charged at the time of disposal, etc. The custody fees for non-HKD stocks or exchange-traded debt securities will be settled in HKD equivalent calculated at a rate of exchange determined conclusively by HSBC Trading Advisory on the basis of the then-prevailing market rates of exchange between the two currencies on the last trading day of each quarter or each half year respectively.
  - <sup>6</sup> Customers holding ADRs may be charged ADR fee regularly (eg annually) by the depository receipts agent through HSBC Trading Advisory. Such fee will be automatically deducted from the customer's account(s) and shown on the account statement(s) as "ADR fee". ADR fee is subject to the final confirmation from the depository receipts agent and the fee range is for reference only.
  - <sup>7</sup> The brokerage commission together with other applicable fees and charges (eg government charges/taxes, regulators' charges) of applicable markets are calculated on the basis of the aggregated transaction amount of the purchase or sale of the same stock executed on the same trading day.
  - <sup>8</sup> Brokerage commissions on futures and options trading in Hong Kong and the US market do not include stamp duty, exchange fee, levy, trading fee, settlement fee, nominee service fee, custodian fee or other miscellaneous fees which are to be charged by third parties and may vary from time to time subject to the market.
  - <sup>9</sup> Brokerage commission is charged on a per contract basis and a settlement commission at the same rate as overnight rate will be charged for the settlement of futures when the contract expires.
  - <sup>10</sup> An assignment/exercise fee will be charged as follows when options are assigned/exercised:

Options Products	Rate
Hang Seng Index and Hang Seng China Enterprises Index	1% on the cash settled amount (Min: HKD30 / Max: HKD100)
Hang Seng Index and Hang Seng China Enterprises Index (Weekly)	
Mini Hang Seng Index and Mini Hang Seng China Enterprises Index	HKD30 per contract
USD/CNH	RMB30 per contract
Global Options to be settled by physical delivery	Refer to the overnight brokerage rate on each particular futures product
Global Options to be settled by cash	Refer to the brokerage rate on each particular options product
  - <sup>11</sup> Sector Index Futures include but not limited to Hang Seng Mainland Banks Index Future.
  - <sup>12</sup> When customers use Mini / Micro Mini futures to offset any Regular future(s) position or vice versa, brokerage commission at the same rate as overnight rate will be charged on a per contract basis.
  - <sup>13</sup> Custody fee for over-the-counter debt securities will be charged on a half-yearly basis and are payable in January and July of every year. Custody fee will be also charged upon disposal, redemption, delivery or maturity. Such custody fee will be settled in HKD equivalent calculated at a rate of exchange determined conclusively by HSBC Trading Advisory.
  - <sup>14</sup> Applicable to accounts with no trading for more than 12 months.
  - <sup>15</sup> Fee and charges for custody, nominee services and corporate actions are based on the jurisdiction in which securities are ordinarily held by HSBC Trading Advisory's ultimate custodian.
  - <sup>16</sup> The account maintenance fee is payable in advance of at the beginning of each calendar month and starts to charge on the next calendar month after the Individual Client Segregated Account (ISA) has been opened. The fee is payable regardless of whether any products are held in the ISA during a given month. It is not refundable on a pro-rata basis. For more information on this account type, please see <https://www.hsbc.com.hk/broking/help/financial-regulations/>.
  - <sup>17</sup> Brokerage Commission is applicable due to option exercise / Assignment of US Stock Options.

- Remarks:
- i Good-till-expiry (GTE) orders for securities: if a GTE order is completely filled on the same trading day, it will be considered as one executed order and therefore as one order for brokerage commission calculation (including minimum charges). If a GTE order is filled across multiple days, it will be considered as multiple executed orders and each day order filled will be considered as one order for brokerage commission calculation (including minimum charges). For example, if it is partially filled on Day 1, Day 3 and completely filled on Day 5, it will be considered as 3 executed orders for brokerage commission calculation (including minimum charges).
  - ii The fees and charges indicated herein are for customer's reference only. Please refer to the daily and monthly activity statements for the actual fees and charges applicable to customer's account(s).
  - iii Customers shall reimburse any out of pocket expenses and administrative costs incurred by HSBC Trading Advisory as demanded. A special handling charge may be imposed on a case by case basis where appropriate.
  - iv Leveraged foreign exchange trading is not available to persons resident in mainland China.
  - v All the above fees and charges may be subject to change without prior notice.
  - vi In the event of any inconsistency between the English and Chinese versions of this Schedule, the English version shall prevail.

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- HSBC Broking Forex (Asia) Limited  
- HSBC Broking Futures (Asia) Limited  
- HSBC Broking Securities (Asia) Limited  
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