

CLC Fee Schedule

| SERVICE | CHARGING STANDARD | MINIMUM CHARGE | RECEIVER |
|---|--|---|------------------------|
| HK MARKET | | | |
| STOCKS, ETFs AND WARRANTS | | | |
| Commission | 0.08%; Negotiable for CLC Direct Platform *Not including any external fees which need to be covered by clients | HKD 20.00 | CLC |
| FUTURES CONTRACTS | | | |
| Commission | HKD 12.75 per contract *Not including exchange fees, clearing fees and transaction levies | | CLC |
| OTHER PRODUCTS | | | |
| Hang Seng Index Futures | HKD 12.75 per contract *Not including exchange fees, clearing fees and transaction levies | | CLC |
| H Share Index Futures | HKD 12.75 per contract *Not including exchange fees, clearing fees and transaction levies | | CLC |
| Mini Hang Seng Index Futures | HKD 12.75 per contract *Not including exchange fees, clearing fees and transaction levies | | CLC |
| Mini H-Share Index Futures | HKD 12.75 per contract *Not including exchange fees, clearing fees and transaction levies | | CLC |
| SETTLEMENT INSTRUCTION ("S.I.") | | | |
| Physical Scrip Withdrawal - Handling Fee | HKD 5.00 per lot | HKD 500.00 | CLC |
| Physical Scrip Deposit - Handling Fee | Subject to counterparty | | Counterparty |
| Stock Withdrawal (FOP/DVP) - Handling Fee | HKD 6.00 per lot | HKD 600.00 | CLC & Trading Platform |
| Stock Deposit (FOP/DVP etc) - Handling Fee | Free | | Counterparty |
| OTC Handling Fee | 0.25% of the transaction amount is paid by both parties to the transaction | | CLC |
| IPO APPLICATION FEE | | | |
| EIPO Application Fee | Cash application: HKD 80.00 per application | | CLC |
| Placing Subscription - Brokerage Fee | Subject to the placing projects | | CLC |
| COLLECTION CHARGES | | | |
| HKEx Trading Fee | 0.005% trade value (rounded to the nearest cent) | | HKEx |
| HKEx Trading Tariff | HKD 0.50 per transaction | | HKEx |
| HKEx Settlement Fee | 0.002% trade value, minimum HKD 2.00, max. HKD 100.00 per trade | | HKEx |
| Stamp duty on Stock Transaction | 0.13%, rounded up to the nearest dollar | | HK Government |
| SFC Transaction Levy | 0.0027% of trade value, rounded to the nearest cent | | SFC |
| FRC Transaction Levy | 0.00015% per side of the consideration of a transaction | | FRC |
| Transfer Deed Stamp Duty | Seller pays HKD 5.00 on each new transfer deed | | HK Government |
| Cash Dividend Collection Fee | 0.5% of cash dividend | HKD 30.00 | CLC/HKEx |
| Scrip Dividend Collection Fee | HKD 3.00 per board lot *HKD 3.00 for quantity less than 1 lot | HKD 30.00 | CLC/HKEx |
| Scrip Fee | HKD 2.50 per lot *HKD 2.50 for quantity less than 1 lot | | CLC/HKEx |
| US MARKET | | | |
| STOCKS, ETFs AND WARRANTS | | | |
| Commission | USD 0.008 per share; Negotiable for CLC Direct Platform *Exchange fees, clearing fees and transaction levies collected are included | USD 0.80 | CLC |
| FUTURES CONTRACTS | | | |
| Commission | USD 1.58 per contract *Not including exchange fees, clearing fees and transaction levies | | CLC |
| OTHER PRODUCTS | | | |
| M2K | USD 1.28 per contract Not including exchange fees, clearing fees and transaction levies | | CLC |
| MES | USD 1.28 per contract Not including exchange fees, clearing fees and transaction levies | | CLC |
| MGC | USD 1.28 per contract Not including exchange fees, clearing fees and transaction levies | | CLC |
| MNQ | USD 1.28 per contract Not including exchange fees, clearing fees and transaction levies | | CLC |
| MYM | USD 1.28 per contract Not including exchange fees, clearing fees and transaction levies | | CLC |
| SETTLEMENT INSTRUCTION ("S.I.") | | | |
| Stock Withdrawal (DRS) ** - Handling Fee | USD 0.004 per share | USD 200.00 | Counterparty / CLC |
| Stock Deposit (DRS/DWAC etc) - Handling Fee | Subject to counterparty | | Counterparty |
| COLLECTION CHARGES | | | |
| NSCC Clearing Fee | USD 0.0002 per share, max. 0.5% of trade value | | NSCC |
| NYSE Pass-Through Fee | USD 0.000175 * Trading commission | | NYSE |
| SEC Fee (for selling orders) | USD 0.0000229 * Value of aggregate sales | | SEC |
| FINRA Pass-Through Fee | USD 0.00056 * Trading commission | | FINRA |
| FINRA Trading Activity Fee (for selling orders) | USD 0.00013 * Quantity sold, max. USD 6.49 per trade. In the case of partial executions, each execution is considered one trade. | | FINRA |
| ADR Fee | USD 0.01-0.05 per share. The collection time and fee depend on ADR depository banks. | | ADR depository bank |
| Cash Dividend Collection Fee | 0.5% of cash dividend | USD 4.00 | CLC/NYSE |
| Withholding Tax for Stock Dividend (for non-US person only) | 0-30% | | IRS |
| OTHER CHARGES | | | |
| OTC Handling Fee | 0.25% of the transaction amount is paid by both parties to the transaction | | CLC |
| Placing Subscription - Brokerage Fee | Subject to the placing projects | | CLC |
| FOREIGN EXCHANGE ("FX"), PRECIOUS METAL AND BONDS | | | |
| FX Trade | Around 0.0026% (depends on exchange rate) *Not including any external fees which need to be covered by clients | About USD 2.60 (depends on exchange rate) | CLC |
| Precious Metal Transactions | 0.00195% *Not including any external fees which need to be covered by clients | USD 2.60 | CLC |
| USD-Denominated Bonds | 0.13% *Not including any external fees which need to be covered by clients | USD 6.50 | CLC |
| HKD-Denominated Bonds | 0.10% *Not including any external fees which need to be covered by clients | HKD 23.40 | CLC |
| EUR-Denominated Bonds | 0.13% *Not including any external fees which need to be covered by clients | EUR 2.60 | CLC |

SERVICE

CHARGING STANDARD

RECEIVER

Interest Rates (For long balances greater than USD10,000 or equivalent currency)

For balances held in CHF, DKK, EUR, JPY or SEK applies an effective negative rate to long balances held#

Rate between -1.2% to 0%

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FINANCING SERVICES

Margin Interest

Prime rate + 5% per annum *According to the Prime Rate of Bank, the number of days in year is based on industry standard for money market activity.
365 days for HKD, 360 days for USD

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Cash Account Overdue Interest

Prime rate + 30% per annum *According to the Prime Rate of Bank, the number of days in year is based on industry standard for money market activity.
365 days for HKD, 360 days for USD

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OTHER MARKETS

STOCKS, ETFS AND WARRANTS *Not including any external fees which need to be covered by clients

| | | | |
|--------------------------|--------------------|--------------------|-----|
| AUD-Denominated Products | 0.105% | Minimum AUD 6.50 | CLC |
| CAD-Denominated Products | CAD 0.65 per share | Minimum CAD 1.50 | CLC |
| CHF-Denominated Products | 0.065% | Minimum CHF 1.95 | CLC |
| CNH-Denominated Products | 0.104% | Minimum CNH 19.50 | CLC |
| EUR-Denominated Products | 0.065% | Minimum EUR 1.65 | CLC |
| GBP-Denominated Products | 0.065% | Minimum GBP 1.30 | CLC |
| HUF-Denominated Products | 0.065% | Minimum HUF 260.00 | CLC |
| ILS-Denominated Products | 0.065% | Minimum ILS 6.85 | CLC |
| JPY-Denominated Products | 0.065% | Minimum JPY 105.00 | CLC |
| MXN-Denominated Products | 0.130% | Minimum MXN 78.00 | CLC |
| NOK-Denominated Products | 0.065% | Minimum NOK 13.00 | CLC |
| PLN-Denominated Products | 0.065% | Minimum PLN 6.50 | CLC |
| RUB-Denominated Products | 0.065% | Minimum RUB 123.50 | CLC |
| SEK-Denominated Products | 0.065% | Minimum SEK 13.00 | CLC |
| SGD-Denominated Products | 0.105% | Minimum SGD 3.25 | CLC |

FUTURES CONTRACTS *Not including exchange fees, clearing fees and transaction levies

| | | | |
|--------------------------|--------------|--------------|-----|
| AUD-Denominated Products | AUD 5.33 | per contract | CLC |
| CAD-Denominated Products | CAD 1.88 | per contract | CLC |
| CHF-Denominated Products | CHF 2.10 | per contract | CLC |
| EUR-Denominated Products | EUR 1.35 | per contract | CLC |
| GBP-Denominated Products | GBP 0.98 | per contract | CLC |
| JPY-Denominated Products | JPY 750.00 | per contract | CLC |
| KRW-Denominated Products | KRW 2,250.00 | per contract | CLC |
| MXN-Denominated Products | MXN 75.00 | per contract | CLC |
| NOK-Denominated Products | NOK 15.00 | per contract | CLC |
| SEK-Denominated Products | SWK 15.00 | per contract | CLC |
| SGD-Denominated Products | SGD 3.38 | per contract | CLC |

HOT PRODUCTS *Not including exchange fees, clearing fees and transaction levies

| | | | |
|----------------------|------------|--------------|-----|
| AEX/CAC40 Minis: EUR | EUR 0.30 | per contract | CLC |
| DAX/IBEX Minis: EUR | EUR 0.75 | per contract | CLC |
| N225 / N225M FUT | JPY 420.00 | per contract | CLC |
| JGB | JPY 525.00 | per contract | CLC |
| SGXNKM | JPY 75.00 | per contract | CLC |
| TOPIX | JPY 420.00 | per contract | CLC |
| MNTPX | JPY 57.00 | per contract | CLC |
| SPI Minis | AUD 1.125 | per contract | CLC |

COLLECTION CHARGES

| | | | |
|------------------------------|-----------------------|-------------------------|-----------------------|
| Cash Dividend Collection Fee | 0.5% of cash dividend | Equivalent to HKD 30.00 | CLC/Relevant Exchange |
|------------------------------|-----------------------|-------------------------|-----------------------|

OTHER CHARGES

| | | | |
|--|---|--|--|
| Cash In* | (HKD) General transfer: Free (USD) General transfer: Free (5 working days) | (USD) Swift transfer -CHATS/TT: Free (3 working days) | Bank Charge |
| Cash Out* | (All currencies) Cheque : USD5.00 or HKD40.00, for HK bank accounts only (USD/others) Greater than USD500,000.00 or equivalent: USD40.00 | (HKD) FPS (≤ HKD 10,000,000.00): Free, for FPS registered user only (HKD) Greater than HKD10,000,000.00: HKD300.00 | CLC/Bank Charge |
| Stock trading VIP service | 0.25% of gross transaction amount / Depends on CS/AE | Minimum HKD 100.00 | CLC |
| Account Activation | HKD 800.00 per time | | Trading Platform |
| Returned Cheque | HKD 300.00 per transaction | | Trading Platform |
| Postal, Courier and Delivery Services - Handling Fee | Minimum HKD 100.00 per service | | Trading Platform |
| FX Conversion - Handling Fee | USD 10.00 per service | | CLC |
| Providing extra daily/monthly statement or other transaction records | HKD 100.00 per statement | | CLC |
| Broker confirmation of information for audit purposes (company account only) | HKD 500.00 per service | | CLC |
| Proxy Voting / Apply for attending Shareholder Meeting - Handling Fee | HKD 100.00 per stock | | CLC |
| Claim for Dividend, Bonus, Rights Entitlements | 1% of amount per transaction, with other relevant fee (stamp duty, scrip fee) | Minimum HKD 1,000.00 | CLC/HKEx |
| Balance of Monthly Minimum Fee for Global Account (Net Asset Value ≤ USD 1,000.00) | USD 1.00 per month Force liquidation of stock position may occur if not enough cash | | Trading Platform |
| Maintenance Fee for Direct Account (Total Value < HKD 20,000.00) | HKD 100.00 per month for accounts with no monthly trading activity Force liquidation of stock position may occur if not enough cash | | CLC |
| Dealing with Equities, Derivative Warrants, Redemption, Cash Offer and Open Offer | HKD 3.00 per board lot, and other fee/taxation (if applicable). Fractions of less than one lot are counted as one lot. | Minimum HKD 30.00 | CLC |
| Corporate Action - Stock Split | Free | | CLC/HKEx |
| Corporate Action - Consolidation | Free | | CLC/HKEx |
| Corporate Action Handling Fee | Requests to exercise Dissenter or Appraisal Rights: USD 100.00 + external costs Withholding Tax Voucher requests for dividends paid on German stocks: EUR 30.00 per line Withholding Tax Reclaim requests for dividends paid on French stocks: EUR 125.00 per line Withholding Tax Voucher requests for dividends paid on Swiss stocks: CHF 15.00 per line | | Trading Platform Trading Platform Trading Platform Trading Platform |

* All the charges from the remitting and beneficiary banks shall be borne by clients.

* In the event of extreme circumstances including, but not limited to, weather, severe disruption of public transportation services, public events, or major power outages, the bank's processing time may be affected.

** Except for specific US stock.

For the latest interest rates in various currencies, please feel free to contact us.

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