

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 (Scrips withdrawal services are provided to particular stocks only)	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 130.00 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 *Not including exchange fees, clearing fees and transaction levies	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	0.0195% *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

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%	CLC
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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	CLC
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	CLC

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
TOPX	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
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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 HKD5,000,000.00 or equivalent: HKD300.00	(HKD) FPS (≤ HKD 5,000,000.00): Free, for FPS registered user only	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	HKD 80.00 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

* 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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CLC Securities Limited

8506B, International Commerce Centre, Hong Kong
Tel: 852 3153 1128 | Email: cs@clchk.com | Web: www.clchk.com

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