

## Custodial Services

### Services related to securities traded on the Stock Exchange of Hong Kong Limited

Category	Payable to	Charge per item
<b>(A) Scrip handling and settlement-related services</b>		
Securities deposit fee <sup>1, 2</sup>	BEA	HK\$10 per board lot for the first 100 board lots, thereafter HK\$3.5 per board lot (minimum HK\$30)
Certificate deposit fee <sup>1, 2</sup> (including those deposited for settlement)	BEA	HK\$10 per board lot for the first 100 board lots, thereafter HK\$3.5 per board lot (minimum HK\$30)
Certificate withdrawal fee	BEA	Nil
	CCASS	HK\$3.5 per board lot
Fee for redemption of debt securities upon maturity	BEA	0.5% on redemption amount (minimum HK\$30, maximum HK\$2,500 or its equivalent in the corresponding currency of the securities)
Fee for share transfer from/to other brokers/custodians/stock pledges through Settlement Instruction/ Investor Settlement Instruction	BEA and CCASS	HK\$30 per transaction plus CCASS charge (stock settlement fee)
Transfer deed stamp duty <sup>3</sup>	HKSARG	HK\$5 per transfer deed
Stock settlement fee	CCASS	0.002% on gross consideration (minimum HK\$2, maximum HK\$100 or its equivalent in the corresponding currency of the securities)
Money settlement fee	BEA	Nil
Compulsory share buy-back fee	BEA	Nil
<b>(B) Account maintenance</b>		
Semi-annual safe custody charge <sup>4</sup>	BEA	HK\$0.2 per board lot or part thereof (minimum HK\$150, maximum HK\$3,000)
Stock balance or account confirmation fee	BEA	HK\$200 per confirmation
<b>(C) Nominee services and corporate actions</b>		
Bonus share/warrant collection fee	BEA	HK\$10 per board lot for the first 100 board lots, thereafter HK\$3.5 per board lot (minimum HK\$30)
Cash dividend/debt securities interest collection fee	BEA	0.5% on dividend/interest amount (minimum HK\$30, maximum HK\$2,500 or its equivalent in the corresponding currency of the securities)

Category	Payable to	Charge per item
<b>(C) Nominee services and corporate actions</b>		
Scrip dividend collection fee	BEA	HK\$10 per board lot for the first 100 board lots, thereafter HK\$3.5 per board lot (minimum HK\$30)
Handling fee for preferential offer/open offer	BEA	HK\$10 per board lot for the first 100 board lots, thereafter HK\$3.5 per board lot (minimum HK\$30)
Handling fee for cash offer	BEA	0.5% on the consideration (minimum HK\$30, maximum HK\$2,500 or its equivalent in the corresponding currency of the securities)
Handling fee for right issue	BEA	HK\$10 per board lot for the first 100 board lots, thereafter HK\$3.5 per board lot (minimum HK\$30)
Handling fee for privatisation/stock takeover		
- Physical scrips	BEA	0.5% on the consideration (minimum HK\$30, maximum HK\$2,500 or its equivalent in the corresponding currency of the securities)
- Through CCASS	BEA	0.5% on the consideration (minimum HK\$30, maximum HK\$2,500 or its equivalent in the corresponding currency of the securities)
Handling fee for share consolidation, splitting, exchange		
- Physical scrips	BEA	HK\$10 per board lot for the first 100 board lots, thereafter HK\$3.5 per board lot (minimum HK\$30)
- Through CCASS	BEA	HK\$10 per board lot for the first 100 board lots, thereafter HK\$3.5 per board lot (minimum HK\$30)
Fee for warrant conversion to ordinary shares	BEA	HK\$100 per transaction
Corporate communication fee	BEA	HK\$100 per annum
Scrip fee	CCASS	HK\$1.5 per board lot
	Share Registrar	HK\$2.5 per share certificate (subject to change)
Share registration fee	BEA	HK\$5 per board lot (minimum HK\$100)
	Share Registrar	HK\$2.5 per share certificate (subject to change)

Category	Payable to	Charge per item
<b>(D) Financing and other services</b>		
Handling fee for application for new share issue	BEA SEHK Participants	HK\$100 per application 1% commission of new share issue successfully allotted
Handling fee for tendering for Exchange Fund Notes/CMU instruments	BEA	HK\$100 per application plus 0.1% commission of Exchange Fund Notes/CMU instruments successfully allotted
Handling fee for endorsement on IPO application form in name of customer	BEA	HK\$100 per application
IPO financing charges	BEA	Market rate/negotiable <sup>5</sup>
Handling fee for dividend/bonus claim		
- Cash dividend collection (each collection)	BEA	HK\$150 per claim plus 0.5% on dividend amount (minimum HK\$30, maximum HK\$2,500)
- Bonus shares/warrants	BEA	HK\$150 per claim plus HK\$10 per board lot for the first 100 board lots, thereafter HK\$3.5 per board lot (minimum HK\$30)
Overdue interest	BEA	Nil
Photocopy charge	BEA	HK\$50 per page
Fee for issuing certified transfer deed	BEA	HK\$20 per transfer deed
Forced liquidation fee	BEA	Nil
Fee for hold mail/direct mail to third parties	BEA	HK\$1,000 per year

<sup>1</sup> The charge for a jumbo share certificate shall be calculated on the number of board lot by which it is divisible.

<sup>2</sup> One share certificate should be regarded as one board lot if the denomination of board lot size is not specified.

<sup>3</sup> Share certificates registered in the name of HKSCC Nominees Limited are not subject to the transfer deed stamp duty.

<sup>4</sup> The fee is not applicable to portfolios with nil holdings on the calculation date.

<sup>5</sup> IPO financing charges are negotiable and subject to certain conditions. Please contact BEA's Corporate Lending & Syndication Department at 3608 0982 and 3608 0902 for further information.

## Shanghai-Hong Kong Stock Connect Trading and Shenzhen-Hong Kong Stock Connect Services

Category	Payable to	Charge per item
<b>(A) Scrip handling and settlement-related services</b>		
Settlement instruction fee for securities deposit	BEA	Nil
Settlement instruction fee for securities delivery	BEA	CNY5 per board lot (minimum CNY100)
<b>(B) Account maintenance</b>		
Semi-annual safe custody fee <sup>1</sup>	BEA	0.03% of market value (in HKD equivalent) half yearly (minimum HK\$100)
Portfolio fee	HKSCC	0.008% p.a. on aggregate daily stock portfolio value (in HKD equivalent) and collected on a monthly basis
<b>(C) Nominee services and corporate actions</b>		
Cash dividend/scrip dividend collection fee	BEA	0.5% on dividend amount (minimum CNY30, maximum CNY2,500)
Bonus share collection fee	BEA	CNY30 per transaction
Handling fee for cash offer	BEA	CNY100 per transaction
Handling fee for rights issue	BEA	CNY100 per transaction
Handling fee for privatisation/stock takeover	BEA	CNY100 per transaction
Handling fee for share consolidation	BEA	CNY100 per transaction
Handling fee for share splitting	BEA	CNY100 per transaction
Fee for warrant conversion to ordinary shares	BEA	CNY100 per transaction
Handling fee for other corporate actions	BEA	CNY100 per transaction

<sup>1</sup> The fee is not applicable to portfolios with nil holdings on the calculation date.

**Note:**

Some of the above-mentioned fees and charges for securities-related services are determined and collected by the SFC, SEHK, HKSARG, CCASS, HKSCC, SSE, SZSE, CSRC, CSDC, SAT, Share Registrar, or SEHK Participants and are subject to change at any time without prior notice.

## CMU instruments

Category	Charge per item
Deposit/delivery transaction charges - Up to HK\$5,000,000 nominal value - Above HK\$5,000,000 nominal value	1/32% on nominal value  1/96% on nominal value (minimum HK\$500, maximum HK\$3,000 or its equivalent in the corresponding currency of the securities)
Settlement Instruction for receipt/delivery of CMU instruments including Exchange Fund Notes within CCASS	HK\$30 per transaction
Semi-annual safe custody charge <sup>1</sup>	HK\$0.2 per board lot or part thereof, half yearly (minimum HK\$150, maximum HK\$3,000)
Commission on interest collection	0.5% on interest amount (minimum HK\$50, maximum HK\$2,500 or its equivalent in the corresponding currency of the securities)
Commission on handling redemption	0.2% on redemption amount (maximum HK\$2,000 or its equivalent in the corresponding currency of the securities)
Agent commission fee on purchase/sale of bonds in the secondary market	0.25% on nominal value (minimum HK\$200 equivalent in the currency of the bond issued)
Tendering fee for subscription of the new issue of CMU instruments including Exchange Fund Notes	HK\$100 per application

<sup>1</sup> The fee is not applicable to portfolios with nil holdings on the calculation date.

**Note:**

The above-mentioned charges do not include any out-of-pocket expenses which will be borne by customers and are subject to change from time to time.

## Unit trusts

Category	Charge per item
Safe custody charge	Nil
Portfolio transfer	
- No change of beneficial ownership	
• Customer own name to nominee name	Nil
• Nominee name to customer own name	HK\$100
- Change of beneficial ownership	
• Customer own name to nominee name	HK\$100
• Nominee name to customer own name	HK\$100
• Nominee name to another nominee name	HK\$100
Dividend collection	
- Dividend in cash form	Nil
- Dividend in re-investment form	Nil
Handling fee for IPO application for new issue of unit trust	HK\$100 per application
Monthly Investment Plan Early Termination Fee	HK\$200

**Note:**

The above-mentioned charges do not include any out-of-pocket expenses and commissions/charges of fund houses upon subscription/redemption/switching of funds which will be borne by customers and are subject to change from time to time.

## Foreign securities services

Category	Charge per item
<b>(A) Foreign stock trading</b>	
Deposit/delivery of stock	US\$50 per transaction per stock or its equivalent in other currencies
Semi-annual safe custody charge <sup>1</sup>	0.03% of market value in HKD, half yearly (minimum HK\$100)
Commission on dividend collection	0.5% on gross dividend amount (minimum US\$2.5 or its equivalent in other currencies)
<b>(B) Foreign bonds</b>	
Deposit/delivery of bonds	1/8% on face value (minimum US\$40, maximum US\$350 or its equivalent in other currencies)
Semi-annual safe custody charge <sup>1</sup>	0.03% of market value in HKD, half yearly (minimum HK\$100)
Commission on interest collection	US\$5 or its equivalent in other currencies
Commission on handling redemption	1/8% on redemption amount (minimum US\$40, maximum US\$350 or its equivalent in other currencies)
Agent commission fee on purchase/sale of bonds in the secondary market	0.25% on nominal value (minimum HK\$200 equivalent in the currency of the bond issued)

<sup>1</sup> The fee is not applicable to portfolios with nil holdings on the calculation date.

### Notes:

- The above-mentioned charges do not include any out-of-pocket expenses which will be borne by customers and are subject to change from time to time.
- Charges on deposit/delivery of stock/bonds, dividend collection, interest collection, and handling redemption do not include the tariffs charged by BEA's foreign agents which have to be paid by customers and are subject to change from time to time.

### Abbreviations:

BEA	The Bank of East Asia, Limited	CCASS	Central Clearing and Settlement System
CMU	Central Moneymarkets Unit	CSDC	China Securities Depository and Clearing Corporation Limited
CSRC	China Securities Regulatory Commission	HKSCC	Hong Kong Securities Clearing Company
HKSARG	The Government of the Hong Kong Special Administrative Region		
IPO	Initial Public Offering	SAT	State Administration of Taxation of The People's Republic of China
SEHK	The Stock Exchange of Hong Kong Limited	SSE	Shanghai Stock Exchange
SFC	The Securities and Futures Commission		
SZSE	Shenzhen Stock Exchange		

**The above-mentioned fees and charges are valid as at December 2018. BEA reserves the right to amend or alter any of the said fees and charges and/or to introduce new fees and/or charges at any time with prior notice.**

The Bank of East Asia, Limited  
東亞銀行有限公司