



## Cathay United Bank, Hong Kong Branch

### Schedule of Service Charges

Effective: Jan 2023

#### Hong Kong Local Securities Market

Hong Kong stocks (listed on HKEX)			
Item	Service charges	Minimum charge	Maximum charge
<b>(A) Trading related services</b> (settlement amounts in HKD)			
Commission charge	0.50% of the transaction amount	HKD 100	---
SFC Transaction levy (collected by SFC)	0.0027% of the transaction amount	---	---
FRC Transaction levy (collected by Financial Reporting Council)	0.00015% of the transaction amount	---	---
Trading fee (collected by HKEX)	0.00565% of the transaction amount (effective on 1 Jan 2023)	---	---
Stamp duty (collected by the HKSAR government)	0.13% of the transaction amount	---	---
CCASS fee	0.002% of the transaction amount	HKD 3	HKD 100
<b>(B) Physical scrip handling and settlement services</b>			
Compulsory share repurchase fee	0.6% of the total stock value calculated based on the previous day's closing market price and an additional service charge of HKD 240 per transaction	---	---
Physical scrip deposit fee	Free	---	---
Physical scrip withdrawal fee	HKD 6 per board lot (HKD 6 for odd lots, which are viewed as a board lot)	HKD 200	---

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Settlement instruction charge (stock transfer in)	Free	---	---
Settlement instruction charge (stock transfer out)	0.1% of the total value of (each) stock calculated based on the previous day's closing market price	Minimum HKD 100 per transaction	---
Physical scrip transfer stamp duty/transfer deed fee (collected by IRD)	HKD 5 per transfer deed	---	---
<b>(C) Account service charge</b>			
Custody fee	0.0125% per month (*Note 1)	---	---
<b>(D) Nominee services and corporate actions</b>			
Charge for share transfer at HKEX's Registrar and Transfer Office	HKD 240 in addition to the regulatory fee at HKEX's Registrar and Transfer Office	---	---
Charge for cash dividend collection on behalf of a customer	0.6% of stock dividend amount	HKD 30	HKD 12,000
Charge for stock dividend collection on behalf of a customer	0.6% of stock dividend amount	HKD 30	HKD 12,000
Charge for bonus share collection on behalf of a customer	HKD 1.2 per board lot of bonus share deposit (odd lots are viewed as a board lot)	HKD 30	---
Scrip fee	HKD 2 per board lot (odd lots are viewed as a board lot) (shares transferred and registered in the name of Hong Kong Securities Clearing Company Nominees Limited prior to the book close date); an additional HKD 20 per	---	---

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	physical scrip and a service charge of HKD 200		
Fee for tendering shares under a Takeover bid	HKD 1 per board lot and additional service charge of HKD 120 (odd lots are viewed as a board lot)	---	---
Charge for exercise of warrants/rights on behalf of a customer	HKD 1 per board lot and an additional service charge of HKD 120 (odd lots are viewed as a board lot)	---	---
Charge for exercise of covered warrants	HKD 1 per board lot and an additional service charge of HKD 120 (odd lots are viewed as a board lot)	---	---
Charge for auto-exercise of structured products	HKD 1 per board lot (odd lots are viewed as a board lot)	HKD 50	---
Fee for excess rights application/excess open offer shares	Free	---	---
Charge for rights issue collection on behalf of a customer	HKD 30 per stock per transaction	HKD 30	---
Corporate Action Fee	HKD 0.8 per board lot, and an additional HKD 30 per stock per time (including share swap, right issue, privatization, purchase, etc.)	---	---
Share consolidation/split	Free	---	---
Charge for shareholders' meeting	HKD 120 per copy	---	---
<b>(E) Other service charges</b>			
HK Public Offer subscription	▪ Brokerage: 1%	---	---

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fee	<ul style="list-style-type: none"> <li>▪ Transaction Levy (Collected by SFC): 0.0027% of transaction amount</li> <li>▪ Trading Fee (Collected by HKEX): 0.005%</li> <li>▪ Handling fee: HKD 120 per application</li> </ul>		
Account balance certificate	Free	---	---
Account maintenance fee	Free	---	---
Application for collection of unclaimed interest on behalf of a customer	0.6% of the stock dividend and an additional charge of HKD 600 per stock	HKD 25	HKD 24,000
Interest collection charge	HKD 600 per collection	---	---

Shanghai/Shenzhen-Hong Kong Stock Connect stocks (listed on HKEX)			
Item	Service charges	Minimum charge	Maximum charge
<b>(A) Trading related services</b> (settlements in RMB)			
Commission charge	0.50% of the transaction amount	RMB100	---
Handling fee <i>(collected by SSE/SZSE)</i>	0.00487% of the transaction amount	---	---
Securities management fee <i>(collected by CSRC)</i>	0.002% of the transaction amount	---	---
Transfer fee <i>(collected by ChinaClear Shanghai / ChinaClear Shenzhen)</i>	0.002% of the transaction amount	---	---
Transfer fee <i>(collected by HKSCC)</i>	0.002% of the transaction amount	---	---
Transaction stamp duty <i>(collected by State Taxation Administration)</i>	0.1% of the transaction amount (only applicable to "sell" transactions)	---	---

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<b>(B) Account service charge</b>			
Custody fee	0.0125% per month (*Note 1)	---	---
<b>(C) Nominee services and corporate actions</b>			
Settlement instruction charge (stock transfer in)	Free	---	---
Settlement instruction charge (stock transfer out)	0.06% of the total stock value calculated based on the previous day's closing market price	RMB 50	RMB 300
Charge for cash dividend/stock dividend/bonus collection on behalf of a customer	0.6% of stock dividend amount	RMB 25	RMB 8,000
Scrip dividend	Free	---	---
Charge for Bonus share collection on behalf of a customer	RMB 1.2 per board lot (odd lots are viewed as a board lot)	RMB 25	---
Charge for rights issue collection on behalf of a customer	Free	---	---
Charge for exercise of warrants/rights on behalf of a customer	RMB 1.2 per board lot and an additional service charge of RMB 120 (odd lots are viewed as a board lot)	---	---
Charge for exercise of public offering and bond redemption upon maturity on behalf of a customer	RMB 120		
Share consolidation/split	Free	---	---
Charge for unclaimed dividend	RMB 500 per transaction and an additional 0.5% of stock dividend	RMB 20	RMB 10,000

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	for the charge		
Charge for subscription of rights and warrants on behalf of a customer	RMB 120	---	---
Charge for cash privatization acceptance and cash offer on behalf of a customer	RMB 120 per transaction plus charges from China's local taxes and the clearing house's fees (if any)	---	---

#### Overseas securities market (\*Note 2)

Taiwan stocks			
Item	Service charges	Minimum charge	Maximum charge
<b>(A) Trading related services</b> (settlement amounts in USD or HKD)			
Commission charge	1% of the transaction amount	equivalent to TWD 1,000	---
Transaction tax (collected for sell transactions)	stock- 0.3% of the transaction amount beneficial certificate, warrant, TDR- 0.1% of the transaction amount	---	---
Foreign exchange charge	TWD 1,000 for selling TWD	---	---
<b>(B) Account service charge</b>			
Custody fee	0.0125% per month (*Note 1)	---	---
<b>(C) Nominee services and corporate actions</b>			
Corporate action charge	TWD 1,500 (calculated per stock/if any corporate action taken for the stock, e.g. privatization, etc.)	---	---

#### US stocks



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Item	Service charges	Minimum charge	Maximum charge
<b>(A) Trading related services</b> (settlement amounts in USD)			
Commission charge	1.00% of the transaction amount	USD 50	---
<b>(B) Account service charge</b>			
Custody fee	0.0125% per month (*Note 1)	---	---
<b>(C) Nominee services and corporate actions</b>			
ADR handling fee (collected by the ADR issuer)	USD 0.01-0.05 per share	---	USD 0.05 per share
Settlement instruction charge (stock transfer out)	USD 100 per stock	---	---
Stock settlement instruction charge (stock transfer in)	Free	---	---

Japanese stocks			
Item	Service charges	Minimum charge	Maximum charge
<b>(A) Trading related services</b> (settlement amounts in JPY)			
Commission charge	1.00% of the transaction amount	JPY 4,000	---
<b>(B) Account service charge</b>			
Custody fee	0.0125% per month (*Note 1)	---	---

Australian stocks			
Item	Service charges	Minimum charge	Maximum charge
<b>(A) Trading related services</b> (settlement amounts in AUD)			
Commission charge	1.00% of the transaction amount	AUD 65	---
<b>(B) Account service charge</b>			
Custody fee	0.0125% per month (*Note 1)	---	---

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Bank Remittance Charge	AUD 120 per stock transaction	---	---
<b>(C) Nominee services and corporate actions</b>			
Stock dividend collection on behalf of a customer	AUD 50	N/A	N/A
Settlement instruction charge (stock transfer out)	USD 100 per stock	---	---
Stock settlement instruction charge (stock transfer in)	Free	---	---

German stocks			
Item	Service charges	Minimum charge	Maximum charge
<b>(D) Trading related services</b> (settlement amounts in Euro)			
Commission charge	1.00% of the transaction amount	EUR 65	---
<b>(E) Account service charge</b>			
Custody fee	0.0125% per month (*Note 1)	---	---
<b>(F) Nominee services and corporate actions</b>			
Stock dividend collection on behalf of a customer	EUR 65 per time	N/A	N/A

French stocks			
Item	Service charges	Minimum charge	Maximum charge
<b>(A) Trading related services</b> (settlement amounts in Euro)			
Commission charge	1% of the transaction amount	EUR 65	---
<b>(B) Account service charge</b>			
Custody fee	0.0125% per month (*Note 1)	---	---
<b>(C) Nominee services and corporate actions</b>			
Stock dividend collection on	EUR 65 per time	N/A	N/A

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behalf of a customer			
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UK stocks			
Item	Service charges	Minimum charge	Maximum charge
<b>(A) Trading related services</b> (settlement amounts in GBP)			
Commission charge	1% of the transaction amount	GBP 65	---
<b>(B) Account service charge</b>			
Custody fee	0.0125% per month (*Note 1)	---	---
<b>(C) Nominee services and corporate actions</b>			
Stock dividend collection on behalf of a customer	GBP 65 per time	N/A	N/A

#### Global bond market

Bonds			
Item	Service charges	Minimum charge	Maximum charge
<b>(A) Trading related services</b> (settlements in AUD, CAD, RMB, EUR, GBP, HKD, JPY, NZD, SGD, USD or ZAR)			
Spread charge	0.30%-3.0% of the face value per transaction	---	---
<b>(B) Account service charge</b>			
Custody fee	0.0167% per month (*Note 1)	---	---

#### Structured Notes

Structured bonds			
Item	Service charges	Minimum charge	Maximum charge
<b>(A) Trading related services</b> (settlements in AUD, CAD, RMB, EUR, GBP, HKD, JPY, NZD, SGD, USD)			

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or ZAR)			
Commission charge	0.10%-5.0% of the face value per transaction	---	---
<b>(B) Account service charge</b>			
Custody fee	0.0167% per month (*Note 1)	---	---

#### Structured deposits

Structured deposits			
Item	Service charges	Minimum charge	Maximum charge
<b>(A) Trading related services</b> (settlements in AUD, CAD, RMB, EUR, GBP, HKD, JPY, NZD, SGD, USD or ZAR)			
Spread charge	0.01%-5.0% of the face value per transaction	---	---

#### Funds

Funds			
Item	Service charges	Minimum charge	Maximum charge
<b>(A) Trading related services</b> (settlements in AUD, CAD, RMB, EUR, GBP, HKD, JPY, NZD, SGD, USD or ZAR)			
Subscription/ Redemption/ Management fees)	Charge based on the suggested rules prescribed in the fund overview or related documents of each fund house	---	---
Fund switching charge	Charge based on the fee schedule of the fund house (if any) plus the handling charge of USD 10 or equivalent amount in other currency per transaction	---	---
<b>(B) Account service charge</b>			



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Account maintenance charge	0.0167% per month	---	---
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**Note 1:** The custody fee is calculated based on the average monthly position value per product and collected in USD on a monthly basis.

**Note 2:** The above fee schedules are charged based on foreign securities markets, excluding any expenses incurred from relevant service providers. The expenses should be borne by the Customer and such expenses may be subject to change from time to time

The fee schedule only lists relevant fees of major stock markets. If you intend to trade stocks of other markets, please contact the Relationship Manager of the Branch.

#### Important notice:

The service charges listed in this bank charges schedule are correct at the time of printing. For charges not listed in this schedule or any enquiries regarding the fees and charges contained in this schedule, please contact our branch staff for details.

Should there be any changes to the charges by third parties (including but not limit to the Government of Hong Kong Special Administrative Region / Hong Kong Exchange and Clearing Ltd / Securities and Futures Commission / Financial Reporting Council/ Shanghai Stock Exchange / Shenzhen Stock Exchange /China Securities Regulatory Commission / China Securities Depository and Clearing Corporation Limited / U.S. Securities and Exchange Commission), no prior notice might be given by the Bank on these changes. Cathay United Bank Hong Kong Branch has the right to adjust the fee schedule, special offers, and other services from time to time. All charges will be based on the fee schedule posted on the website of Cathay United Bank Hong Kong Branch.

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