

# Service Fees and Charges

## China Connect – Shanghai/Shenzhen Securities

### Trade-related Services - Buying & Selling Securities

#### Brokerage Fee:

|                              | Dedicated Trading Hotline   | Internet/Mobile Securities Services | Minimum Charge per Transaction                    |
|------------------------------|-----------------------------|-------------------------------------|---|
| Citigold Private Client      |                             |                                     |   |
| Citigold                     | 0.4%                        |                                     | Internet / Mobile Securities Services: HKD/CNY100 |
| Citi Priority                |                             | 0.25%                               |   |
| Citibanking CAW <sup>1</sup> | Not Applicable <sup>2</sup> |                                     | Dedicated Trading Hotline: CNY125                 |
| Citibanking                  |                             |                                     |   |

**Stamp Duty<sup>3</sup>** : 0.10% of transaction amount (Payable by the selling party only)

**Securities Management Fee<sup>4</sup>** : 0.002% of transaction amount

**Handling Fee<sup>5</sup>** : 0.00487% of transaction amount

**Transfer Fee<sup>6</sup>** : 0.004% of transaction amount

**Tax<sup>7</sup>** : Subject to specific requirement of individual stock

#### Account Maintenance - Custodian Services

**Monthly Custodian Service Charge:** Waived

**Securities account maintenance fee<sup>8</sup> (Semi-annual):** HKD100

#### Scrip Handling & Settlement Related Services

**Transfer-in Service Charge (Scripless)** : Waived

**Transfer-out Service Charge (Scripless)** : CNY300 per stock

**Registration Handling Fee/Deposit of Securities<sup>9</sup>** : Waived

(Applicable to transfer-in of securities)

#### Real-time Snapshot Quick Quote Service

**"Quick Quote"<sup>10</sup>** :

|                         | No. of Free Real-time Quick Quotes per Month |
|-------------------------|--|
| Citigold Private Client | 1,000  |
| Citigold                | 1,000  |
| Citi Priority           | 500  |
| Citibanking             | 500  |

CNY0.1 per quote thereafter

#### Citi Alerts Services

**Order Level Execution Alert SMS<sup>11</sup>:** Waived

**Trade Level Execution Alert SMS<sup>12</sup>:** CNY1 per alert

**Market Information Alert SMS:** CNY1 per alert

#### Nominee Services & Corporate Actions

**Cash Offers & Other Corporate Actions<sup>13</sup> with Cash Consideration:**

0.50% of cash consideration (Minimum charge CNY30)

**Covered Warrants Registration Fee:** CNY205 per transaction

**Corporate Actions<sup>13</sup> Service Fee:** CNY2 per board lot<sup>9</sup>

(Minimum charge CNY30)

Remarks for Service Fees and Charges for China Connect- Shanghai / Shenzhen Securities Service: (1) "CAW": "Citi At Work". (2) Exceptions will still be applicable via Dedicated Trading Hotline. (3) The charge is collected for the State Administration of Taxation (SAT) and is subject to change without prior notice. (4) The charge is collected for the China Securities Regulatory Commission (CSRC) and is subject to change without prior notice. (5) The charge is collected for the Shanghai Stock Exchange (SSE)/ Shenzhen Stock Exchange (SZSE) and is subject to change without prior notice. (6) 0.002% of the transaction amount is collected for the China Securities Depository and Clearing Corporation Limited, Shanghai Branch (ChinaClear Shanghai) or China Securities Depository and Clearing Corporation Limited, Shenzhen Branch (ChinaClear Shenzhen), and further 0.002% of the transaction amount is collected for the Hong Kong Securities Clearing Company Limited (HKSCC). The charges are subject to change without prior notice. (7) Clients will assume, and be solely responsible for, any and all taxes of any jurisdiction or government or regulatory body, including and without limitation, to any capital gain or other assessment or charges that may be applicable. Clients should seek independent tax advice. (8) Clients who do not conduct any securities transactions (including buy/sell, transfer-in of stocks and online IPO applications) and do not maintain any stock holding with us within a 6-month period (January to June and/or July to December every year) will be subject to the fee, which is applied semi-annually. The fee will be debited in July and/or January in the subsequent year respectively. The fee is NOT applicable to newly opened accounts during the accountable period. We will debit the fee from the clients' Hong Kong Dollar settlement account. If only a USD or CNY settlement account is linked to the securities account, the fee will be debited from that account. USD13 or CNY84 will be used for calculation. (9) Also applicable to odd lots. (10) Applicable to the real-time snapshot quick quote enquiries performed via Trade Now, Stock Quote and Watchlist sections and the successfully triggered alerts (including Stock Price, 52-week High or Low, Technical Indicators, Stock Turnover) which are set under the "Citi Alerts Services" section. The number of free Real-time Quick Quotes for Shanghai Securities Services and Shenzhen Securities Services are separately recorded. (11) Alert SMS message will be received when (i) the order is fully executed or (ii) after the market is closed for the day (if the order is partially executed) or (iii) after the market is closed for the expiry date (if the order is unfilled). (12) Alert SMS message will be received for each trade execution (including partial order execution). Multiple Alert SMS messages may be received for an order with more than one trade executions. (13) Corporate actions include warrant conversions, rights, cash dividends, cash stock option, voluntary takeovers, tender offers, or open offers.

Note: (1) There are certain charges for specific services which are not included here. Details are available upon request. (2) The above charges are for reference only. Citibank (Hong Kong) Limited reserves the right to revise the service fee from time to time. (3) Except the above, clients may be required to pay other fees charged by third parties in relation to the use of securities services. (4) The currency of commission charge for corporate clients is CNH.

Major Risk Disclosure of China Connect (Shanghai-Hong Kong Stock Connect /Shenzhen-Hong Kong Stock Connect: (a) Trading under China Connect is subject to a cross-boundary investment daily quota; (b) Any Northbound trading under China Connect will not be covered by Hong Kong's Investor Compensation Fund; (c) China Connect will only operate on days when both markets are open for trading and when banks in both markets are open on the corresponding settlement days. You should take note of the days China Connect is available for trading and decide according to your own risk tolerance capability whether or not to take on the risk of price fluctuations in A-shares during the time when trading on China Connect is not available; (d) Trading under China Connect is subject to currency risks; and (e) You should familiarize yourself with and observe the eligibility restrictions in relation to China Connect and the applicable Mainland China laws and regulations concerning Northbound trading and in particular, the shareholding restrictions imposed and your disclosure obligations thereunder. The above statements cannot disclose all the risks involved. You should read and understand the Terms and Conditions and the full risk disclosures.

## HK Securities

### Trade-related Services - Buying & Selling Securities

#### Brokerage Fee:

|                              | Dedicated Trading Hotline   | Internet/Mobile Securities Services | Minimum Charge per Transaction                    |
|------------------------------|-----------------------------|-------------------------------------|---|
| Citigold Private Client      | 0.18%                       | 0.18%                               | Internet / Mobile Securities Services: HKD/CNY100 |
| Citigold                     | 0.25%                       | 0.20%                               |   |
| Citi Priority                | 0.40%                       |                                     |   |
| Citibanking CAW <sup>1</sup> | Not Applicable <sup>2</sup> | 0.20%                               | Dedicated Trading Hotline: HKD/CNY125             |
| Citibanking                  |                             | 0.25%                               |   |

**Stamp Duty<sup>3</sup>** : 0.10% of transaction amount (Charges are rounded up to the nearest dollar, Stamp Duty for ETF waived)

**Transaction Levy<sup>4</sup>** : 0.0027% of transaction amount

**Trading Fee<sup>5</sup>** : 0.005% of transaction amount

**Deposit of Securities<sup>6</sup>** : Waived

**Tax<sup>7</sup>** : Subject to specific requirement of individual stock

#### Account Maintenance - Custodian Services

**Monthly Custodian Service Charge:** Waived

**Securities account maintenance fee<sup>8</sup> (Semi-annual):** HKD100

#### Scrip Handling & Settlement Related Services

**Transfer-in Service Charge (Scrip & Scripless)** : Waived

**Transfer-out Service Charge (Scrip)** : HKD/CNY300 per stock & HKD/CNY10 per board lot

**Transfer-out Service Charge (Scripless)** : HKD/CNY300 per stock

**Registration Handling Fee/Deposit of Securities<sup>9</sup>** : Waived

(Applicable to transfer-in of securities)

#### Real-time Snapshot Quick Quote Services

**"Quick Quote"<sup>10</sup>** :

|                         | No. of Free Real-time Quick Quotes per Month |
|-------------------------|--|
| Citigold Private Client | 1,000  |
| Citigold                | 1,000  |
| Citi Priority           | 500  |
| Citibanking             | 500  |

HKD0.1 per quote thereafter

**"Streaming Quote"<sup>11</sup>** : HK Securities Market: HKD398/month

HK+US Securities Markets: HKD770/month

#### Citi Alerts Services

**Order Level Execution Alert SMS<sup>12</sup>:** Waived

**Trade Level Execution Alert SMS<sup>13</sup>:** HKD1 per alert

**Market Information Alert SMS:** HKD1 per alert

#### Nominee Services & Corporate Actions

**Cash Offers & Other Corporate Actions<sup>14</sup> with Cash Consideration:**

0.50% of cash consideration (Minimum charge HKD/CNY30)

**Covered Warrants Registration Fee:** HKD/CNY205 per transaction

**Corporate Actions<sup>14</sup> Service Fee:** HKD/CNY2 per board lot<sup>9</sup>

(Minimum charge HKD/CNY30)

## HK Securities

### Other Services

#### Regular Saving Plan:

|   | Charge   |
|---|--|
| Monthly contribution fee <sup>15</sup>  | 0.25% of the monthly contribution amount (Min. HKD50 per stock)    |
| Change of instruction (including switch of stock, change of monthly contribution amount, and termination of plan) | HKD50 for each request (The fee will be waived from March 1, 2016) |
| Service charge for insufficient funds   | HKD50  |
| Additional service charge for plan termination within 1 year of subscription <sup>16</sup>                        | HKD250 (The fee will be waived from March 1, 2016)                 |

**Online IPO Application Service:** HKD/CNY100 per application,

0.0027% transaction levy, 0.005% trading fee, and other charges<sup>17</sup>

**Pilot Program for Trading US Securities:**

• **Stock Withdrawal Fee** : HKD600 per instruction

• **Cross-border Transfer Fee for Receipt / Delivery of Securities:**

HKD200 per receipt / delivery instruction

• **Handling Fee for Corporate Actions<sup>14</sup> of Securities under the Pilot Program:**

HKD600 per instruction

Remarks for Service Fees and Charges for HK Securities:

(1) "CAW": "Citi At Work". (2) Exceptions will still be applicable via Dedicated Trading Hotline. (3) The charge is collected for the HKSAR government and is subject to change without prior notice. (4) The charge is collected for the Securities and Futures Commission (SFC) and is subject to change without prior notice. (5) The charge is collected for the Hong Kong Exchanges and Clearing Limited (HKEx) and is subject to change without prior notice. (6) Applicable to odd lots and buying of securities, rights issues or warrants. (7) Clients will assume, and be solely responsible for, any and all taxes of any jurisdiction or government or regulatory body, including and without limitation, to any capital gain or other assessment or charges that may be applicable. Clients should seek independent tax advice. (8) Clients who do not conduct any securities transactions (including buy/sell, transfer-in of stocks and online IPO applications) and do not maintain any stock holding with us within a 6-month period (January to June and/or July to December every year) will be subject to the fee, which is applied semi-annually. The fee will be debited in July and/or January in the subsequent year respectively. The fee is NOT applicable to newly opened accounts during the accountable period. We will debit the fee from the clients' Hong Kong Dollar settlement account. If only a USD or CNY settlement account is linked to the securities account, the fee will be debited from that account. USD13 or CNY84 will be used for calculation. (9) Also applicable to odd lots. (10) Applicable to the real-time snapshot quick quote enquiries performed via Trade Now, Stock Quote and Watchlist sections and the successfully triggered alerts (including Stock Price, 52-week High or Low, Technical Indicators, Stock Turnover, Index) which are set under the "Citi Alerts Services" section. (11) Applicable to the "Streaming Quote Services" under the "Stock Snapshot" section (Price information with automatic update). (12) Alert SMS message will be received when (i) the order is fully executed or (ii) after the market is closed for the day (if the order is partially executed) or (iii) after the market is closed for the expiry date (if the order is unfilled). (13) Alert SMS message will be received for each trade execution (including partial order execution). Multiple Alert SMS messages may be received for an order with more than one trade executions. (14) Corporate actions include warrant conversions, rights, cash dividends, cash stock option, voluntary takeovers, tender offers, or open offers. (15) The monthly contribution fee is inclusive of all transaction related charges, e.g. Brokerage Fee, Stamp Duty, Transaction Levy, Investor Compensation Levy, Trading Fee and CASS Fee. (16) Applicable to termination at the customer's request or automatic termination as a result of insufficient funds in customer's settlement account. If there are insufficient funds in the customer's settlement account on the contribution date, the order for that month will be cancelled automatically. If the order cannot be executed for 3 consecutive months, the plan will be automatically terminated. (17) Other charges are subject to the final determination of listing documents of the corresponding IPO.

Note: (1) There are certain charges for specific services which are not included here. Details are available upon request. (2) The above charges are for reference only. Citibank (Hong Kong) Limited reserves the right to revise the service fee from time to time. (3) Except the above, clients may be required to pay other fees charged by third parties in relation to the use of securities services.

## US Securities

### Trade-related Services - Buying & Selling Securities

#### Brokerage Fee:

| Transaction Amount (USD) | Rate on Transaction Amount (Minimum charge USD30 per transaction) |                         |
|--------------------------|---|-------------------------|
|                          | Citigold/Citi Priority/Citibanking                                | Citigold Private Client |
| 0 - 9,999                | 1%  | 0.50%                   |
| 10,000 - 19,999          | 0.90%   |                         |
| 20,000 - 49,999          | 0.80%   |                         |
| 50,000 or above          | 0.50%   |                         |

**US SEC Fees:** Subject to SEC latest rules and charges

**American Depository Receipt (ADR) Fee:** USD0.01 - 0.05 per share<sup>1</sup>

**Tax<sup>2</sup>:** Subject to specific requirement of individual stock

#### Account Maintenance - Custodian Services

**Monthly Custodian Service Charge:** Waived

**Securities account maintenance fee<sup>3</sup> (Semi-annual):** HKD100

#### Real-time Snapshot Quick Quote Service

**"Streaming Quote"<sup>4</sup>** : HK+US Securities Markets: HKD770/month

#### Citi Alerts Services

**Order Level Execution Alert SMS<sup>5</sup>:** Waived

**Trade Level Execution Alert SMS<sup>5</sup>:** USD0.2 per alert

**Market Information Alert SMS:** USD0.2 per alert

#### Scrip Handling & Settlement - Related Services (Scripless only)

**Transfer-in (DTC):** Waived

**Transfer-out (DTC):** USD50 per stock

**Cancellation of instruction:** Non-refundable on DTC charges

#### Nominee Services & Corporate Actions<sup>7</sup>

**Corporate Actions with Cash Consideration:**

0.50% on cash amount (Minimum charge USD15)

**Rights Issues (Exercise):** 0.50% on cash amount (Minimum charge USD15)

**Warrant Conversion:** 0.50% on cash amount (Minimum charge USD15)

Remarks for Service Fees and Charges for US Securities: (1) Clients holding American Depository Receipts may be charged ADR Fee regularly by the Depository Receipts Agent through Citibank (Hong Kong) Limited. The mentioned price range is for reference only and is subject to changes from time to time at the discretion of the Depository Receipts Agent without prior notice. The final price range, frequency and timing of charging the fee is subject to final confirmation from the Depository Receipts Agent. (2) Clients will assume, and be solely responsible for, any and all taxes of any jurisdiction or government or regulatory body, including and without limitation, to any capital gain or other assessment or charges that may be applicable. Clients should seek independent tax advice. (3) Clients who do not conduct any securities transactions (including buy/sell, transfer-in of stocks and online IPO applications) and do not maintain any stock holding with us within a 6-month period (January to June and/or July to December every year) will be subject to the fee, which is applied semi-annually. The fee will be debited in July and/or January in the subsequent year respectively. The fee is NOT applicable to newly opened accounts during the accountable period. We will debit the fee from the clients' Hong Kong Dollar settlement account. If only a USD or CNY settlement account is linked to the securities account, the fee will be debited from that account. USD13 or CNY84 will be used for calculation. (4) Applicable to the "Streaming Quote Service" under the "Stock Snapshot" section (Price information with automatic update). (5) Alert SMS message will be received when (i) the order is fully executed or (ii) after the market is closed for the day (if the order is partially executed) or (iii) after the market is closed for the expiry date (if the order is unfilled). (6) Alert SMS message will be received for each trade execution (including partial order execution). Multiple Alert SMS messages may be received for an order with more than one trade executions. (7) Corporate actions include warrant conversions, rights, cash dividends, cash stock option, voluntary takeovers, tender offers, or open offers.

Note: (1) There may be other fees, charges, levies, tax and interest that apply to certain securities or particular security trading services provided by Citibank (Hong Kong) Limited that are introduced and/or charged by government, regulatory bodies or the relevant service providers. You are fully responsible for such fees, charges, levies, tax and interest. There are certain charges for specific services which are not included here. Details are available upon request. (2) The above charges are for reference only. Citibank (Hong Kong) Limited reserves the right to revise the service fee from time to time. (3) Except the above, clients may be required to pay other fees charged by third parties in relation to the use of securities services.

Investment shall not be regarded as a substitute for time deposit.

Important Disclaimer: You should seek advice from your professional advisors as to your particular tax position, including but not limited to estate duty and withholding tax that might arise from investing in overseas products. This material is for information purpose only and does not constitute any offer or solicitation or advice to buy or sell any security. Investments are not bank deposits and are not obligations of, guaranteed or insured by Citibank (Hong Kong) Limited, Citibank, N.A., Citigroup Inc. or any of its affiliates or subsidiaries, or by any local government or insurance agency, and involve risks, including the possible loss of the principal amount invested. Share prices may go down as well as up. Investment products are not available for U.S. persons and might only be applicable to limited jurisdiction. Any person considering an investment should seek independent advice on the suitability or otherwise of the particular investment.

