

# 服務收費

## 中華通股票交易機制 - 上海/深圳證券

**有關買賣服務 — 證券買賣**

經紀佣金：

	證券買賣熱線	網上 / 流動理財證券服務	每單交易最低收費
Citigold Private Client	0.4%		
Citigold	不適用 <sup>2</sup>	0.25%	網上 / 流動理財證券服務：CNY100 證券買賣熱線：CNY125
Citi Priority			
Citibanking			
Citi Plus			

**交易印花稅**<sup>3</sup>：每單成交金額之0.05%（只收賣方）

**證管費**<sup>4</sup>：每單成交金額之0.002%

**經手費**<sup>5</sup>：每單成交金額之0.00341%

**過戶費**<sup>6</sup>：每單成交金額之0.003%

**稅項**<sup>7</sup>：根據個別股票之要求而定

**戶口服務 — 證券託管**

**證券託管月費**：豁免

**證券戶口服務費**<sup>8</sup> **(每半年)**：HKD100

**有關證券交收服務**

**存入證券** (非實物證券)：豁免

**提取證券** (非實物證券)：每隻股票收費CNY300

**證券登記/存入證券費**<sup>9</sup>：豁免

(適用於存入證券)

**即時報價服務**

「即時報價」<sup>10</sup>：

	每月免費即時報價次數
Citigold Private Client	1,000
Citigold	
Citi Priority	
Citibanking	500
Citi Plus	

其後每一報價收費CNY0.1

**Citi Alerts即時短訊服務**

**交易指示手機短訊提示**<sup>11</sup>：豁免

**每次成交手機短訊提示**<sup>12</sup>：每次提示CNY1

**市場資訊手機短訊提示**：每次提示CNY1

**代理人及代履行權責服務**

**代客處理現金收購及其他涉及現金的履行權責事項**<sup>13</sup>：

按現金總值收取0.50% (最低收費CNY30)

**備兌認股證手續費**：每次收費CNY205

**代履行權責服務費**<sup>13</sup>：每手CNY2<sup>9</sup> (最低收費CNY30)

有關中華通股票交易機制 - 上海/深圳證券服務收費之備註：

(1)“CAW”即“Citi At Work”出爐戶口。(2)除豁免之客戶外，有關客戶仍可使用證券買賣熱線。(3)有關收費由國家稅務總局收取，如有更改，本行恕不另行通知。(4)有關收費由中國證監會收取，如有更改，本行恕不另行通知。(5)有關收費由上海證券交易所/深圳證券交易所收取，如有更改，本行恕不另行通知。(6) 成交金額的0.001%會由中國證券登記結算有限公司上海分公司或中國證券登記結算有限公司深圳分公司收取，及另外的0.002%會由香港中央結算有限公司收取，如有更改，本行恕不另行通知。(7) 客戶將須承擔及全權負責於任何司法管轄區或政府或監管機構之任何及一切稅項，包括但不限於任何資本收益稅或其他適用的任何評稅或徵費。客戶應尋求獨立稅務諮詢。(8) 如客戶於半年期間(每年1月至6月及/或7月至12月)未基於本行進行任何股票交易(買賣、存入股票及網上認購新股)及未持有任何股票，本行將每半年收取一次證券戶口服務費。有關服務費將於該年7月/或翌年1月收取。新股票客戶可獲豁免開戶當期之服務費。本行將從客戶之港元結算戶口中扣除有關服務費；若客戶之證券戶口只連結於美元或人民幣戶口，有關服務費將從該戶口中扣除。服務費美元13元或人民幣84元會被收取。(9) 亦適用於非股。(10) 適用於即時交易、即時報價及自選報價清單版面內的即時股價資訊服務及於「Citi Alerts即時短訊服務」版面內所設定並成功開辦的提示(包括：股票價格、52週最高或最低、股票技術指標、股份交易量)。上海及深圳證券的每月免費即時報價次數為獨立計算。(11) 手機短訊提示將於(i)交易指示全數執行或(ii)交易日收市後(如指示屬部份成交)或(iii)指示到期日收市後(如指示未能執行)收到。(12) 手機短訊提示將於每次成交(包括分段成交)後選擇。若交易指示分段成交將會收到一個以上的手機短訊提示。(13) 履行權責包括但不限於認股證兌換、認股權、現金股息、現金派息及紅股選擇、自願收購、投標出價、私有化、或公開發售。

附註：(1) 就其他未列於本表格之服務及收費，請向本行查詢。(2) 上述收費僅供參考，花旗銀行(香港)有限公司保留調整有關費用之權利。(3) 除上列收費外，客戶有可能被要求繳付由第三者收取之額外收費。(4) 公司客戶之收費貨幣單位為CNY。

中華通股票交易機制(滬港通/深港通)的主要風險披露：

(a) 透過中華通股票交易機制達成的買賣交易會受制於跨境投資每日額度；(b) 香港的投資者經備基金並不涵蓋中華通股票交易機制下的任何北向交易；(c) 中華通股票交易機制只有在兩地市場均為交易日，而且兩地市場的銀行在相應的款項交收日期開放時才會開放。閣下應該注意中華通股票交易機制的開放日期，並因應自身的風險承受能力決定是否在中華通股票交易機制不交易的期間承擔A股價格波動的風險；(d) 透過中華通股票交易機制的進行投資附帶貨幣風險；(e) 閣下須緊並遵守有關中華通股票交易機制的資格限制及有關北向交易適用的中國內地法律及規例，尤其是有關持股比例限制及閣下於相關法例下的披露責任。以上風險披露不能披露所有涉及之風險。閣下應當閱讀買賣證券服務說明之條款及條款內的全部風險披露聲明。

## 香港證券

**有關買賣服務 — 證券買賣**

經紀佣金：

	證券買賣熱線	網上 / 流動理財證券服務	每單交易最低收費
Citigold Private Client	0.18%	0.18%	
Citigold	不適用 <sup>2</sup>	0.20%	網上 / 流動理財證券服務：HKD/CNY100 證券買賣熱線：HKD/CNY125
Citi Priority			
Citibanking CAW <sup>1</sup>			
Citi Plus			
Citibanking		0.25%	

**政府印花稅**<sup>3</sup>：每單成交金額之0.1%

(不足HKD/CNY1之數亦作HKD/CNY1計算，交易所買賣基金豁免)

**交易徵費**<sup>4</sup>：每單成交金額之0.0027%

**交易費**<sup>5</sup>：每單成交金額之0.00565%

(計至最接近的仙位數)

**會財局交易徵費**<sup>6</sup>：每單成交金額之0.00015%

**存入證券費**<sup>7</sup>：豁免

**稅項**<sup>8</sup>：根據個別股票之要求而定

**戶口服務 — 證券託管**

**證券託管月費**：豁免

**證券戶口服務費**<sup>9</sup> **(每半年)**：HKD100

**有關證券交收服務**

**存入證券** (實物及非實物證券)：豁免

**提取證券** (實物證券)：每隻股票收費HKD/CNY300及每手HKD/CNY10

**提取證券** (非實物證券)：每隻股票收費HKD/CNY300

**證券登記/存入證券費**<sup>10</sup>：豁免

(適用於存入證券)

**即時報價服務**

「即時報價」<sup>11</sup>：

	每月免費即時報價次數
Citigold Private Client	1,000
Citigold	
Citi Priority	
Citibanking	500
Citi Plus	

其後每一報價收費HKD0.1

**「串流報價服務」**<sup>12</sup>：香港證券市場月費HKD398

香港+美國證券市場月費HKD770

**Citi Alerts即時短訊服務**

**交易指示手機短訊提示**<sup>13</sup>：豁免

**每次成交手機短訊提示**<sup>14</sup>：每次提示HKD1

**市場資訊手機短訊提示**：每次提示HKD1

**代理人及代履行權責服務**

**代客處理現金收購及其他涉及現金的履行權責事項**<sup>15</sup>：

按現金總值收取0.50% (最低收費HKD/CNY30)

**備兌認股證手續費**：每次收費HKD/CNY205

**代履行權責服務費**<sup>15</sup>：每手HKD/CNY2<sup>10</sup> (最低收費HKD/CNY30)

## 香港證券

**其他服務**

**月供股票計劃**：

	收費
每月供款收費 <sup>16</sup>	每月供款額之0.25% (每隻股票最低收費為HKD50)
更改指示手續費 (包括轉換股票、更改供款額及終止計劃)	每項指示HKD50 (此收費於2016年3月1日起豁免)
交收戶口資金不足服務費	HKD50
於第一年內終止計劃額外服務費 <sup>17</sup>	HKD250 (此收費於2016年3月1日起豁免)

**網上新股認購服務**：每項申請HKD/CNY100，0.0027%證監會交易徵費，0.00015%會財局交易徵費，0.00565%交易費及其他收費<sup>18</sup>

**美國證券交易試驗計劃服務**：

• **股份提取費**：每項指示收費HKD600

• **證券的跨境調撥費**：每項收費或交付指示收費HKD200

• **美國證券交易試驗計劃代履行權責服務費**<sup>15</sup>：每項指示收費HKD600

## 美國證券

**有關買賣服務 — 證券買賣**

經紀佣金：

	交易金額 (以美元計)	每項成交金額收費 (根據交易金額計算，最低收費USD30)	
			Citigold Private Client
0 - 9,999		1%	
10,000 - 19,999		0.90%	
20,000 - 49,999		0.80%	0.50%
50,000或以上		0.50%	

**美國證交會收費**：將根據美國證交會最新擬定之條例及收費
**美國預託證券收費**：每股USD0.01 - 0.05<sup>1</sup>
**稅項**<sup>2</sup>：根據個別股票之要求而定

**戶口服務 — 證券託管**

**證券託管月費**：豁免

**證券戶口服務費**<sup>3</sup> **(每半年)**：HKD100

**即時報價服務**

「串流報價服務」<sup>4</sup>：香港+美國證券市場月費HKD770

**Citi Alerts即時短訊服務**

**交易指示手機短訊提示**<sup>5</sup>：豁免

**每次成交手機短訊提示**<sup>6</sup>：每次提示USD0.2

**市場資訊手機短訊提示**：每次提示USD0.2

**有關證券交收服務 (只適用於非實物證券)**

**存入證券** (註冊服務公司收費)：豁免

**提取證券** (註冊服務公司收費)：每隻股票USD50

**取消指令**：註冊服務公司收費將不獲退還

**代理人及代履行權責服務**<sup>7</sup>

**現金的履行權責事項**：按現金總值收取0.50% (最低收費USD15)

**行使供股權**：按現金總值收取0.50% (最低收費USD15)

**行使認股證**：按現金總值收取0.50% (最低收費USD15)

有關美國證券服務收費之備註：

(1) 預託證券代理 (Depository Receipts Agent) 或會經由花旗銀行(香港)有限公司向持有美國預託證券之客戶定期收取預託證券費用 (ADR Fee)，上述收費僅供參考，預託證券代理有權不時更改費用毋須事先通知。最終的收費金額、次數及時間以預託證券代理的最終決定為準。(2) 客戶將須承擔及全權負責於任何司法管轄區或政府或監管機構之任何及一切稅項，包括但不限於任何資本收益稅或其他適用的任何評稅或徵費。客戶應尋求獨立稅務諮詢。(3) 如客戶於半年期間(每年1月至6月及/或7月至12月)未基於本行進行任何股票交易(買賣、存入股票及網上認購新股)及未持有任何股票，本行將每半年收取一次證券戶口服務費。有關服務費將於該年7月及/或翌年1月收取。新股票客戶可獲豁免開戶當期之服務費。本行將從客戶之港元結算戶口中扣除有關服務費；若客戶之證券戶口只連結於美元或人民幣戶口，有關服務費將從該戶口中扣除。服務費美元13元或人民幣84元會被收取。(4) 適用於「股票除像」版面內之串流報價服務(資料會自動更新)。(5) 手機短訊提示將於(i)交易指示全數執行或(ii)交易日收市後(如指示屬部份成交)或(iii)指示到期日收市後(如指示未能執行)收到。(6) 手機短訊提示將於每次成交(包括分段成交)後選擇。若交易指示分段成交將會收到一個以上的手機短訊提示。(7) 履行權責包括但不限於認股證兌換、認股權、現金股息、現金派息及紅股選擇、自願收購、投標出價、私有化、或公開發售。

附註：(1) 政府、監管機構或有關服務供應商或會向花旗銀行(香港)有限公司提供的某些證券或個別證券交易服務收取其他費用、收費、徵費、稅款及利息。閣下須承擔所有有關費用、收費、徵費、稅款及利息。就其他未列於本表格之服務及收費，請向本行查詢。(2) 上述收費僅供參考，花旗銀行(香港)有限公司保留調整有關費用之權利。(3) 除上列收費外，客戶有可能被要求繳付由第三者收取之額外收費。

投資不應被視為定期存款之替代品。

重要聲明：閣下應自行尋求有關稅務之專業意見，包括但不限於進行海外投資時可能涉及之遺產稅及紅利預扣稅等稅務責任。本宣傳文件所載資料只供參考之用，並不構成任何買賣證券的邀約或建議。投資並非銀行存款，並無構成花旗銀行(香港)有限公司、花旗銀行、依美國法律成立的有限責任組織、花旗集團或其附屬機構或聯營公司、任何當地政府或保險機構的責任、保證或承保。投資帶有風險，亦可能導致本金的損失。證券價格可升亦可跌。此證券投資服務不適用於美國人士，亦可能只限在某些司法管轄區提供。任何人士作出投資前，應尋求獨立諮詢，考慮有關投資是否適合閣下。

<sup>[1]</sup> 就其他未列於本表格之服務及收費，請向本行查詢。(2) 上述收費僅供參考，花旗銀行(香港)有限公司保留調整有關費用之權利。(3) 除上列收費外，客戶有可能被要求繳付由第三者收取之額外收費。

# 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	0.4%		
Citigold	Not Applicable <sup>2</sup>	0.25%	Internet / Mobile Securities Services: CNY100
Citi Priority			
Citibanking			
Citi Plus			
			Dedicated Trading Hotline: CNY125

**Stamp Duty**<sup>3</sup>: 0.05% 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>: 0.00341% of transaction amount

**Transfer Fee**<sup>6</sup>: 0.003% 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	
Citigold	1,000
Citi Priority	
Citibanking	500
Citi Plus	

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) 0.001% 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 subscriptions) 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 but not limited to warrant conversions, rights, cash dividends, cash stock option, voluntary takeovers, tender offers, privatization or open offers. (14) 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%	
Citigold	Not Applicable <sup>2</sup>	0.20%	Internet / Mobile Securities Services: HKD/CNY100
Citi Priority			
Citibanking CAW <sup>1</sup>			
Citi Plus			
Citibanking		0.25%	Dedicated Trading Hotline: HKD/CNY125

**Stamp Duty**<sup>3</sup>: 0.1% 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>: 0.00565% of transaction amount

**AFRC Transaction Levy**<sup>6</sup>: 0.00015% of transaction amount

**Deposit of Securities**<sup>7</sup>: Waived

**Tax**<sup>8</sup>: Subject to specific requirement of individual stock

### Account Maintenance - Custodian Services

#### Monthly Custodian Service Charge : Waived

**Securities account maintenance fee**<sup>9</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>10</sup>: Waived

(Applicable to transfer-in of securities)

### Real-time Snapshot Quick Quote Service

#### "Quick Quote"<sup>11</sup>:

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

HKD0.1 per quote thereafter

**"Streaming Quote"**<sup>12</sup>: HK Securities Market: HKD398/month

### Citi Alerts Services

**Order Level Execution Alert SMS**<sup>13</sup>: Waived

**Trade Level Execution Alert SMS**<sup>14</sup>: HKD1 per alert

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

### Nominee Services & Corporate Actions

#### Cash Offers & Other Corporate Actions<sup>15</sup> with Cash Consideration :

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

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

**Corporate Actions<sup>15</sup> Service Fee**: HKD/CNY2 per board lot<sup>10</sup>

(Minimum charge HKD/CNY30)

## HK Securities

### Other Services

#### Regular Saving Plan:

	Charge
Monthly contribution fee <sup>16</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>17</sup>	HKD250 (The fee will be waived from March 1, 2016)

**Online IPO Subscription Service**: HKD/CNY100 per subscription, 0.0027%

SFC Transaction Levy, 0.00015% AFRC Transaction Levy, 0.00565% Trading

Fee and other charges<sup>18</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>15</sup> of Securities under the Pilot Program**:

HKD600 per instruction

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

#### Brokerage Fee:

Transaction Amount (USD)	Rate on Transaction Amount (Minimum charge USD30 per transaction)	
	Citigold/Citi Priority/Citibanking/Citi Plus	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>6</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 subscriptions) 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 but not limited to warrant conversions, rights, cash dividends, cash stock option, voluntary takeovers, tender offers, privatization, or open offers. (8) 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. (9) Clients who do not conduct any securities transactions (including buy/sell, transfer-in of stocks and online IPO subscriptions) 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. (10) Also applicable to odd lots. (11) 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. (12) Applicable to the "Streaming Quote Services" under the "Stock Snapshot" section (Price information with automatic update). (13) 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). (14) 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. (15) Corporate actions include but not limited to warrant conversions, rights, cash dividends, cash stock option, voluntary takeovers, tender offers, privatization, or open offers. (16) The monthly contribution fee is inclusive of all transaction related charges, e.g. Brokerage Fee, Stamp Duty, Transaction Levy, AFRC Transaction Levy, Investor Compensation Levy, Trading Fee and CCASS Fee. (17) 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. (18) 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. (4) The currency of commission charge for corporate clients is CNH.

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 purposes only and is not intended to 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., organized under the laws of U.S.A. with limited liability, 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.

