

Monex Securities Schedule of Fees and Charges



Equity Commissions

Markets	Brokerage Fee ¹	Other Costs	Settlement Currency ²
United States (New York Stock Exchange, NASDAQ)	0.10% (Min USD 9.99)	For SELL Order only Sales Tax: 0.0013% Trading Fee: USD 0.000119 USD per share For BUY Order on French and Italian ADR only Financial Tax: 0.20%	USD
Australia³	0.12% (Min AUD 19.95)		AUD
Japan	0.10% (Min JPY 2,500)		JPY
Hong Kong	0.10% (Min HKD 88 or USD 12 or RMB 130) Warrants/CBBCs Trading: 0.10% (Min HKD 88)	Stamp Duty ⁴ : HKD 1.00 per HKD 1,000 gross amount Levy: 0.0027% Trading Fee: 0.0050% CCASS Fee: 0.01% (Min HKD 3.00 or USD 0.38 or RMB 3.00 per execution)	HKD or USD or RMB

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Markets	Brokerage Fee ¹	Other Costs	Settlement Currency ²
Shanghai – Hong Kong Stock Connect	0.30% (Min RMB 130)	Handling Fee: 0.00487% Securities Management Fee: 0.002% Transfer Fee: 0.004% (on gross amount) Stamp Duty: 0.10% (For SELL order only)	RMB
Shenzhen – Hong Kong Stock Connect	0.30% (Min RMB 130)	Handling Fee: 0.00487% Securities Management Fee: 0.002% Transfer Fee: 0.004% (on gross amount) Stamp Duty: 0.10% (For SELL order only)	RMB
China B (Shanghai)	0.30% (Min USD 18)	Service Charge: 0.15% (Min USD 35) Clearing Fee: 0.05% Levy: 0.00487% CSRC Fee: 0.002% Stamp Duty: 0.10% (For SELL order only)	USD

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China B (Shenzhen)	0.30% (Min HKD 130)	Service Charge: 0.15% (Min HKD 150) Clearing Fee: 0.05% (Max HKD 500) Levy: 0.00687% Stamp Duty: 0.10% (For SELL order only)	HKD
Taiwan	0.30% (Min NTD 800)	Transaction Fee: NTD 1,500 Remittance Charge: NTD 800 Sales Tax: 0.30% (For SELL order only)	USD
Korea	0.30% (Min KRW 25,000)	Remittance Charge: KRW 30,000 Sales Tax: 0.30% for Board Lot; 0.50% for Odd Lot (For SELL order only)	USD
Indonesia	0.30% (Min IDR 350,000)	Levy: 0.043% V.A.T.: 10% on commission Remittance Charge: IDR 200,000 Sales Tax: 0.10% (For SELL order only)	USD

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Markets	Brokerage Fee ¹	Other Costs	Settlement Currency ²
Malaysia	0.30% (Min MYR 100)	Stamp Duty: 0.10% (rounded up to nearest dollar, max MYR 200) Clearing Fee: 0.03% (Max MYR 1,000) Remittance Charge: MYR 75 Goods & Services Tax: <ol style="list-style-type: none"> 1. 6.00% on commission 2. 6.00% on clearing fee 	USD
Philippines	0.30% (Min PHP 1,000)	V.A.T.: 12% on commission SCCP Fee: 0.01% Remittance Charge: PHP 1,000 Registration fee: PHP 1,000 Sales Tax: 0.60% (For SELL order only)	USD
Singapore	0.30% (Min: SGD 35 or HKD 188 or USD 25)	Trading fee: 0.0075% Clearing Fee: 0.0325% Remittance Charge: SGD 0 or USD 20 or HKD 0	SGD

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Thailand	0.30% (Min THB 800)	V.A.T.: 0.014% on gross amount Remittance Charge: THB 1,000	USD

1. Commission is charged on each order executed on the same day basis. For all U.S. trades, any price and/or quantity change for partially filled order will be treated as a new order and charged accordingly.
2. When trading securities that settle in a currency other than its trading currency, you should be aware of the currency risk involved (including but not limited to exchange rate fluctuations) and the foreign exchange costs associated.
3. GST included where applicable
4. Where a transaction on HKEX is subject to Stamp Duty the rate will be 0.10% of the gross amount, rounded up to the nearest Hong Kong dollar.

Any other fees will be passed through at cost

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Depository Services

Markets	Stock Custody	Stock Deposit	Stock Transfer Out	Other Fees
United States	Free	DTC Transfer: USD 35 per stock	DTC Transfer only: USD 0.015 per share (Min USD 150 per stock)	ADR Depository Agent Fee: USD 0.03 per share per year
Australia	Free	AUD 30 per stock	AUD 75 per stock	Any other fees will be passed through at cost
Japan	Free	Free	JPY 3,500 per stock	
Hong Kong	Free	CCASS Transfer: Free Physical Cert Govt. Transfer Deed: HKD 5.00 per stock Handling Fee: HKD 500 per stock plus courier fee	CCASS Transfer: HKD 10.00 per board lot (Min HKD 100 per stock) Physical Cert: HKD 10.00 per board lot (Min HKD 100 per stock)	Compulsory Share Buy-Back Fee: At Cost
Shanghai – Hong Kong Stock Connect	0.018% p.a. of total market value on daily basis, monthly aggregate	Free	0.018% of previous closing price (Min RMB 180 per stock)	

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Markets	Stock Custody	Stock Deposit	Stock Transfer Out	Other Fees
Shenzhen – Hong Kong Stock Connect	0.018% p.a. of total market value on daily basis, monthly aggregate	Free	0.018% of previous closing price (Min RMB 180 per stock)	
China B (Shanghai)	Free			
China B (Shenzhen)	Free			
Taiwan	0.12% p.a. (pay monthly based on the month end portfolio value)			
Korea	Free			
Indonesia	Free	IDR 20,000 per stock	IDR 350,000 per stock	
Malaysia	USD 3.00 per stock per month	Free		
Philippines	Free	PHP 800 per stock	PHP 2,500 per stock	
Singapore	Free	SGD 40 per stock	SGD 80 per stock	
Thailand	Free	Free	THB 2,500 per stock	

- GST Applies to AU residents for all service fees in relation to the Australian market only
- GST will not apply for Non-AU residents

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Nominee Services

Markets	Dividend Collection (Cash & Scrip)	Dividend withholding Tax ¹	Other Corporate Actions
United States	USD 4.00	30%	Tender Fee: USD 60 (voluntary) or USD 30 (mandatory)
Australia	AUD 7.00	30%	Any other fees will be passed through at cost
Japan	JPY 800	15.315%	
Hong Kong	0.60% (Min HKD 50 / RMB 50 / USD 20 / GBP 12)	NIL	Please refer to separate table on the following page
Shanghai – Hong Kong Stock Connect	0.60% (Min RMB 50)	10%	Any Offers/Issues and Sub/Auto Exercise of Rights/Warrants: RMB 100
Shenzhen – Hong Kong Stock Connect	0.60% (Min RMB 50)	10%	Any Offers/Issues and Sub/Auto Exercise of Rights/Warrants: RMB 100
China B (Shanghai)	USD 8.00	10%	
China B (Shenzhen)	HKD 80	10%	
Taiwan	NTD 250	20%	Bonus Share: NTD 1,500

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Markets	Dividend Collection (Cash & Scrip)	Dividend withholding Tax ¹	Other Corporate Actions
Korea	KRW 8,000	22%	
Indonesia	IDR 75,000	20%	
Malaysia	1.35% (Min MYR 30)	25%	
Philippines	Handling Fee: PHP 400 Registration Fee: PHP 1,200	30%	Bonus Share: PHP 1,000 (Registration Fee)
Singapore	1.35% (Min SGD 12)	20%	
Thailand	1.35% (Min THB 350)	10%	

1: Dividend withholding tax is charged by the respective local government at the rate applicable to our Custodian, Monex BOOM Securities Ltd, in Hong Kong. This may not be the rate at which withholding tax would normally be applied for a resident of your country. You should seek your own professional tax advice to determine the impact that this may have on you. The rates listed are for reference only.

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Other Corporate Actions – Hong Kong Markets

Details	Handling Fees	Other Pass-On Charges
Book Close Fee		CCASS Scrip Fee: HKD 1.50 per board lot
Bonus Share	Free	
Rights Issue Entitlement	Free	
Excess Rights Application	Free	
Subscription of Rights & Warrants	HKD 150	CCASS Fee: HKD 0.80 per board lot
Auto-exercise of Warrants	HKD 150	CCASS Fee: HKD 0.80 per board lot
Open Offer	HKD 150	CCASS Fee: HKD 0.80 per board lot
Cash Offer	HKD 150	CCASS Fee: HKD 0.80 per board lot Stamp Duty: HKD 1.00 per HKD 1,000 (if any)
Share Consolidation / Split	Free	
Foreign Shares CCASS Custody Fee		CCASS Fee: HKD 0.25 per 100 shares per month
ibond Custodian Fee	Free	

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Details	Handling Fees	Other Pass-On Charges
ibond Interest Collection Fee	Free	
ibond Redemption Fee	Free	
Change of Registration at Share Registrar	HKD 800 per stock per Registration	At cost

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Account Services

Account Set-up and Maintenance	
Account Opening Fee	Free
Initial Deposit¹	No minimum requirement on initial stock or fund deposit
Minimum Balance	No minimum requirement on stock holding or cash
Minimum Activity	No minimum requirement on number of trades or commission generated
Inactivity Fee	<p>None. All Inactivity Fees For Monex Securities Australia Pty Ltd were abolished in May 2018.</p> <p>Note: If an account holds no open positions and remains inactive for more than six (6) years, we may transfer the funds in the account to NSW Revenue as unclaimed money.</p>
Custody Service	Free (except for Taiwan, Malaysia and SH-HK Connect and SZ-HK Connect stock holdings)
Remittance Services	
Funds Deposit	Free - All bank charges will be borne by client.
Funds Withdrawal	Free - All bank charges will be borne by client.

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Statement Services	
Execution Confirmation	Free - Execution confirmation will be sent by email. All the contracts for the day will be grouped in a Daily Activity Statement, which also serves as the execution confirmations and contract notes for all activities on that day.
Account Statements	Free - Apply to sending Daily / Month Activity Statements by email. e-Statements within 12 months can also be downloaded online.
Statement Re-issue	AUD 10.00 per Statement *Apply to re-issue of historical Daily / Monthly Activity Statements over 12 months old.
Stock Balance or Account Confirmation	AUD 10.00 per Request

1. GST applies for AU residents on any transaction fees related to deposit and any other service fees

Dated: 18 May 2018 (version 1.5)