

***Terms and Conditions in relation to U.S. Securities Buy Transactions Brokerage Refund (the “Refund”) for Priority Private Professional Investors (“PPPI”)***

1. The Refund is applicable to single name or joint name Securities Accounts which any of the account holder(s) is PPPI client.
2. Priority Private clients would need to fulfil the portfolio of securities and money requirement of not less than HKD8 million (or equivalent foreign currency) in own name or joint name accounts under the Securities and Futures Ordinance in order to qualify as a Professional Investor. The Priority Private client's Professional Investor status at the Bank must remain valid at the time the Refund is credited or delivered to the PPPI clients. Otherwise, the Refund will be forfeited absolutely and not be provided through any other means.
3. Brokerage commission charged for U.S. securities executed BUY transactions will be credited to the USD settlement account of the relevant Securities Account in the form of cash refund.
4. The brokerage commission charged for U.S. securities execution BUY transactions will be accumulated and calculated on a quarterly basis and be refunded to the USD settlement account of the relevant Securities Account on or before the end of the subsequent quarter. For example, if a PPPI client buys U.S. securities between October and December 2023, the total accumulated brokerage commission amount will be refunded on or before the end of March 2024.
5. Currently, the prevailing standard brokerage rate for U.S. securities transaction placed through Online Securities Trading platform or SC Equities mobile app is 0.2% of transaction amount (Minimum brokerage commission for each transaction: USD18).
6. The Refund is applicable to U.S. securities executed BUY transactions placed via Online Securities Trading platform or SC Equities mobile app in relation to securities listed on NASDAQ, New York Stock Exchange, NYSE AMEX, NYSE ARCA and BATS. All executed SELL transactions are not eligible to the Refund.
7. There is no limit on transaction amount, but client still needs to pay the relevant transaction fees (if applicable).
8. The USD settlement account and the relevant Securities Account must still be valid at the time when the brokerage commission refund is credited, otherwise the brokerage commission refund will be forfeited.
9. The Bank reserves the right to alter, extend or terminate the Refund and amend the applicable terms and conditions at any time as well as to decide the eligibility to the Refund without prior notice. In case of disputes, the Bank's decision shall be final and binding.
10. Each of the banking products or services set out in the terms and conditions is subject to respective eligibility, application process and product terms and conditions. For further details, please contact our branch staff for assistance.
11. If there is any inconsistency or conflict between the English and the Chinese versions, the English version shall prevail.

***Risk Disclosure Statement for Securities Services***

- Investment involves risks. The prices of securities fluctuate, sometimes dramatically and the worst case may result in loss of your entire investment amount.
- Past performance of any securities is no guide to its future performance. Investors should consider their own investment objectives, investment experience, financial situation, risk tolerance level and carefully read the Terms & Conditions of relevant Securities Services before making any investment decision.

***Important Notes of Online Securities Trading and SC Equities:***

- The Bank will not be liable for any loss or damage to you as a result of making the Online Securities Trading Services available to you, unless the loss or damage is directly caused by our negligence or our wilful default.
- For more details and the risks involved, please refer to the Securities Services Terms and Conditions or contact our branch staff.

***Notes***

- This document/webpage does not constitute any prediction of likely future price movements.
- Investors should not make investment decisions based on this document/webpage alone.
- This document/webpage has not been reviewed by the Securities and Futures Commission or any regulatory authority in Hong Kong.

### 優先私人理財專業投資者美股買入交易佣金回贈(“佣金回贈”)條款及細則

1. 佣金回贈適用於由優先私人理財專業投資者客戶所持有之單名或聯名股票戶口。
2. 優先私人理財客戶的個人名義或聯名戶口合乎《證券及期貨條例》的證券及款項總值不得少於 HK\$800 萬（或等值外幣）以成為專業投資者。合資格客戶在本行之專業投資者身份必須於佣金回贈存入或送贈時仍然有效。否則，有關佣金回贈將被取消，本行並不會從任何其他途徑給予合資格客戶佣金回贈。
3. 美國股票買入交易之股票佣金將會以現金回贈方式存入至相關股票戶口的美元結算戶口。
4. 股票佣金將以季度累計，並於隨後季度完結當日或之前回贈至相關股票戶口的美元結算戶口。舉例，如客戶於 2023 年 10 月至 12 月期間買入美國股票，總累計佣金將於 2024 年 3 月完結當日或之前存入相關美元結算戶口。
5. 現時經網上股票服務平台或 SC Equities 手機應用程式進行的美國股票交易之標準佣金收費為成交金額之 0.2%(最低佣金收費：18 美元)。
6. 佣金回贈適用於透過網上股票服務平台或 SC Equities 手機應用程式所發出之於納斯達克證券交易所、紐約證券交易所、美國證券交易所、紐交所群島交易所及 BATS 交易所上市之股票的買入交易，但不適用於賣出股票交易。
7. 交易金額不設最高限制，惟客戶仍須繳付相關之交易徵費(如適用)。
8. 本行存入佣金回贈時，相關美元結算戶口及股票戶口必須仍然有效，否則佣金回贈將會作廢。
9. 本行保留隨時更改、延長或終止佣金回贈及更改條款及細則之權利，而毋須另行通知。如有任何爭議，本行保留最終決定權。
10. 每項銀行產品/服務須受申請程序有關條款及細則約束，詳情請向分行職員查詢。
11. 中英文版本之內容如有任何歧義，在任何情況下概以英文版本為準。

### 投資風險聲明

- 投資涉及風險。證券價格有時可能會非常波動，在最壞的情況下，投資者可能損失全部的投資的款項。
- 過往表現並非其將來表現的指引。投資前投資者應考慮其本身的投資目標、投資經驗、財務狀況及風險承受程度，並審慎閱讀相關股票投資服務的條款及細則。

### 網上及 SC Equities 手機程式股票交易之重要提示

- 本行對於客戶因透過網上股票交易平台進行交易而招致任何形式之損失或損害，本行無須承擔責任。除非有關損失或損害是因本行疏忽或蓄意失責直接引致。
- 查詢更多詳情及所涉及之風險，請參閱股票投資服務條款及細則或與本行職員聯絡。

### 註

- 本文件/網頁並不構成對未來價格變動的任何預測。
- 投資者不應只單憑本文件/網頁而作出投資決定。
- 本文件/網頁未經證券及期貨事務監察委員會或香港任何監管機構審閱。