

## HK STOCK TRADING

## US STOCK TRADING

### ITEMS / FEES / CHARGED BY

Commission	\$0	-	Commission	USD 0.0038 / share (min. USD 0.88)	SoFi
Platform Fee	HKD 9.99 / order	SoFi	Platform Fee	USD 0.0038 / share (min. USD 0.88)	SoFi
Stamp duty	0.1% (Rounded up to nearest dollar)	HK Government	SEC Fee (Sell only)	0.0008% (Min USD 0.01)	US SEC
SFC transaction levy	0.0027% (Rounded to nearest cent)	HK SFC	Trading activity fee (Sell only)	USD 0.000166 / share (min. USD 0.01, max. US\$8.3)	US FINRA
AFRC transaction levy	0.00015% (Rounded to the nearest cent)	HK AFRC	Settlement fee	USD 0.00005 / share (min USD 0.01)	US Broker & SoFi
HKEx trading fee	0.00565% (Rounded to the nearest cent)	HKEX	Clearing and Depository fee	USD 0.04 / order	DTCC
Settlement fee	0.002% (min. HKD 3, max. HKD 100)	HKEX & SoFi			

### NOMINEE SERVICES AND CORPORATE ACTION

Stock custody / Deposit transaction fee	\$0	Stock custody fee	\$0
Scrip fee	HKD 2 / Lot	ADR depository	USD 0.03 / Share annually
Cash dividend / Scrip dividend	0.5% of amount (Min HKD 28)	Reorganization (Voluntary Action - Redemption)*	USD 200
Cash dividend / Redemption (HK Government issued bond)	\$0	Reorganization (Voluntary Action - Other) *	USD 500
Bonus shares	HKD 1 / Lot (Min HKD 28)	Corporate action	USD 3
Rights / Warrants exercise	HKD 1 / Lot (Min HKD 28)	Cash dividend	\$0
CBBC mandatory call	HKD 1 / Lot (Min HKD 28)	Stock dividend	\$0
Excess rights application	HKD 1 / Lot (Min HKD 28)	DTC deposit	\$0
Cash offer / Open offer / Privatization	HKD 1 / Lot (Min HKD 28)	DTC withdrawal	USD 150 / Securities
Share registration change	HKD 8 / Lot	Voting	USD 10
Handling of unclaimed entitlement	HKD 800 / Case		
Voting	HKD 100		
SI & ISI deposit	\$0		
SI & ISI withdrawal	HKD 8 / Lot (Min HKD 180 / Securities)		
Physical scrip deposit	HKD 80 / Securities		
Physical scrip withdrawal	HKD 10 / Lot (Min HKD 180 / Securities)		
Transfer deed stamp duty	HKD 8 / Deed		
Voluntary cash redemption	HKD 100		
HK IPO application	HKD 0		
Odd lot buying (Add up only)	\$0		
Odd lot selling	\$0		

### FUNDS

Deposit	\$0
Withdraw to : HSBC / BOC	\$0
Other Local Bank / Cheque	HKD 15 / USD 2
Overseas bank	at cost (Min USD 35)
Bounced cheque / Stop payment	HKD 280 / Case
Interest on debit balance	HSBC prime rate + 8%
(Margin Account) Interest on margin loan	HSBC prime rate + 0.5%
(Margin Account) Interest on margin call	HSBC prime rate + 8%
Cash / Third party deposit return	0.1% of the amount (Min HKD 28, Max HKD 280)

### ACCOUNT SERVICES

Electronic statement (Default)	\$0
Mail monthly statement	HKD 80 / Statement
Electronic statement resend	HKD 15 / Statement
Trade alert (Email)	\$0
Phone order	HKD 280 / Order
HK real-time quotes	First 500 quotes free / Month (Upgrade to unlimited plan at HKD 250 / Month)
US real-time quotes	\$0 (USD 28 /Month for professional investor)

\*You are required to notify SoFi HK 5 business days before the official cutoff. The service is provided on "as is" and "as available" basis and is subjected to the availability of the custodian broker.  
 \*\*Please be aware of the additional fees charged by the stock exchange and the bank. You should reimburse any out of pocket expenses and administrative costs incurred by SoFi Securities (Hong Kong) Limited as demanded.

#### NOTES

- No commission and platform fee for US fractional trading (only applies to executed orders of less than 1 share).
- No commission, platform fee, settlement fee and Clearing and Depository fee for Trades conducted under any robo advisory accounts.
- For any existing clients before 1 November 2023, you will continue to be charged with the HK\$30 monthly platform fee (unless your total net asset value is less than HK\$30 equivalent) until you have made at least one trade (excluding any trades under your robo advisory account(s)) on or after 1 January 2024.
- For any new clients on or after 1 November 2023, you are not subject to the HK\$30 monthly platform fee.
- Fees and charges above are subject to change from time to time. SoFi Securities (Hong Kong) Limited reserves the rights to adjust service charges without prior notice.

Due to the regulatory requirement, you are obligated to transfer fund from your registered bank account to our designated bank account.

## HSBC

HSBC Main Building Plaza, 1 Queen's Road Central, Hong Kong

HKD : 652-032483-001

USD : 652-055161-201

CNY : 652-055179-209

Bank code : 004

Swift code : HSBCHKHCHK

## Bank of China

1 Garden Road, Hong Kong

HKD : 012-746-0-001010-2

USD : 012-746-0-800902-1

CNY : 012-746-0-600654-7

Bank code : 012

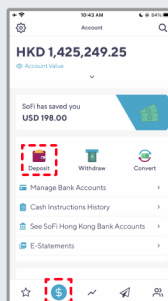
Swift code : BKCHHKHXXX

Two options to deposit money into your SoFi account:

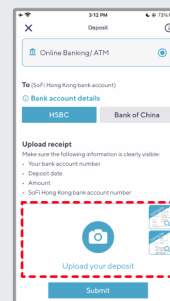
### (1) DIRECT DEPOSIT:

- Upload bank receipt
- Cut off time: 11am & 4pm on working days
- Deposits are posted to your brokerage account on the same day after bank confirmation.

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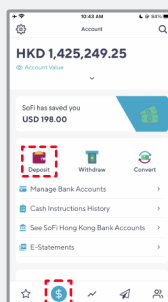
2



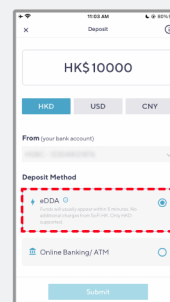
### (2) EDDA DEPOSIT:

- One-time set up: Link with your local bank account
- Insert the amount (min. deposit: HK\$1,000)
- Click 'eDDA' for the deposit method and submit
- Funds will be available for trading immediately (subject to the processing time of your bank)
- Supported currency: HKD only

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## Fund Conversion

You can submit a buy order based on your consolidated buying power. It is calculated based on all of the currencies you hold in your brokerage account. If you do not have the sufficient currency balance to settle your trades, you may either submit a fund conversion or make a deposit and notify us through the SoFi Securities (Hong Kong) App. Otherwise; automatic fund conversion will take place at 11:00 am HKT, one day before settlement date (S-1) or the next business day if it's a Hong Kong public holiday.

Any deposit / settled fund will be used to repay your debit. If they are made in the currency other than the currency you owe, automatic fund conversion will take place at 11:00 am HKT on the next business date.

## Registered Deposit/Withdrawal Bank

Press "\$" at the bottom of the main screen >> "manage bank accounts" >> "add bank accounts" >> upload bank proof via instructions. The relevant update will take effect within two working days after confirmation; customer should deposit fund with the registered bank account. Please note that SoFi Securities (Hong Kong) Limited does not accept cash/third party deposit. There will be a charge for refunding all relevant deposits. Please refer to the "Cash/Third Party Deposit Return" in the fee table.