



New U.S. Securities Client can enjoy \$0 brokerage commission on U.S. Securities BUY trades*

New U.S. Securities client can enjoy \$0 brokerage commission offer on U.S. Securities BUY trades in the month of the first trade within the promotion period and the following calendar month.

Promotion Period: 6 July – 30 September 2021

*Applicable to buy securities transactions via Online Banking and is subject to the relevant terms and conditions.

Terms and Conditions of U.S. Securities Trading Welcome Offer (the “U.S. Securities Trading Welcome Offer”)

1. The promotion period is from 6 July to 30 September 2021, both dates inclusive (the “**Promotion Period**”).
2. Account holders of Securities Account of Standard Chartered Bank (Hong Kong) Limited (the “**Bank**”) who has never had any U.S. securities transaction executed before the Promotion Period (the “**Eligible Clients**”) are entitled to the refund of brokerage commission charged for U.S. securities BUY transactions executed in the month of the first U.S. securities transaction executed during the Promotion Period and the following calendar month. The brokerage fee will be refunded to the USD settlement account of the Securities Account (the “**Offer**”).
3. The Offer is applicable to U.S. securities BUY transactions placed via Online Securities Trading platform in relation to securities listed on NASDAQ, New York Stock Exchange, NYSE AMEX, NYSE ARCA and BATS. All SELL transactions executed are not eligible for the Offer.
4. There is no limit on transaction amount, but client still needs to pay the relevant transaction fees if applicable.
5. Brokerage commission will first be charged and debited from the USD settlement account as normal. Currently, the prevailing standard brokerage rate for U.S. securities transaction placed through Online Securities Trading platform is 0.2% of transaction amount (Minimum brokerage commission for each transaction: USD18). The relevant waived brokerage commission amount during the Promotion Period will be refunded and credited to the USD settlement account of the Securities Account in the form of cash refund on or before 30 November 2021.
6. The Securities Account and the relevant settlement account must still be valid at the time when the brokerage commission refund is credited, otherwise the brokerage commission refund will be forfeited.
7. The Bank reserves the right to alter, extend or terminate the Offer and amend the applicable terms and conditions at any time as well as to decide the eligibility to the Offer without prior notice. In case of disputes, the Bank’s decision shall be final and binding.
8. If the client is entitled to the Offer in conjunction with other promotional offers, the Bank reserves the right to grant the client one of or part of the entitled offers only.
9. 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.
10. 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.

For U.S. Securities Services only:

Key risks include but are not limited to below.

U.S. securities is subject to the laws and regulations of the U.S. Before you trade U.S. securities, you should be aware of:

- The level of investor protection and safeguards that you are afforded in U.S., as U.S. securities would operate under a different regulatory regime.
- The differences between the legal systems in U.S. and Hong Kong that may affect your ability to recover your funds.
- The tax implications, currency risks, and additional transaction costs that you may have to incur.
- The counterparty and correspondent broker risks that you are exposed to.
- The political, economic and social developments that influence U.S. markets you are investing in.
- The foreign exchange can negatively affect your value of investment.
- U.S. markets may be subject to rules that offer different or diminished investor protection, which may expose you to additional risks.
- U.S. suspension or restriction of trading, market conditions and/or the operation of the regulations of certain markets will make it difficult or impossible to effect certain transactions or liquidate positions. In such cases, you may face a higher risk of loss.
- These and other risks may affect the value of your investment. You should not invest in the product if you do not understand or are not comfortable with such risks.

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.