

ABANDONED ACCOUNT FEE

Unclaimed Property \$50

ACCOUNT TRANSFERS

Process of Outgoing Transfers \$135

ANNUAL IRA MAINTENANCE FEE

With Paper Statements \$57

With eDelivery \$45

The annual maintenance fee will be waived for IRAs with a market value exceeding \$250,000 by November 30.

BOOK ENTRY TRANSFER

Issuance of Physical Certificates by Agent \$50

COLLATERAL ACCOUNT FEE

(applied upon collateral account approval) \$175

COPIES OF CANCELLED CHECKS \$10

DEPOSIT AND WITHDRAWAL AT CUSTODIAN (DWAC)

At Transfer Agent \$25

FINRA EXTENSION FEE

Filing Fee Reg. - T \$50

FOREIGN ACCOUNT FEE (applied at account opening) . . \$150

FOREIGN POSITION CUSTODY

Quarterly Fee \$30/POSITION

INSUFFICIENT FUNDS (Check or ACH) \$35

IRA TERMINATION FEE \$135

Accounts will be deemed to be terminated with any distribution that reduces an IRA balance to less than \$200.

Annual maintenance and termination fees are due upon termination. Fees due will be withheld from the distribution of the account.

LEGAL FEES

Miscellaneous legal documents for physical deposits.

(Example: Corporations, POAs, Estates, Trusts, etc.) . . . \$75

LIMITED PARTNERSHIP HOLDING FEE (IRAs ONLY)

LP Holding and 990T Filing Fee \$150

MUTUAL FUND ONLY IRA MAINTENANCE FEE . . . \$20

Existing accounts converting to Mutual Fund Only must be completed by November 30 for reduced fee.

NON PUBLICLY TRADED SECURITIES (REITs, BDC, CLOSELY HELD STOCK - IRAs ONLY)

Document Review Fee* \$150

Purchase – Upon approval \$50

Sell \$50

Reregistration – In-kind transfer \$25

Safekeeping/Valuation \$50

*Closely held stock only

OVERNIGHT CHECK REQUEST \$35

Does not reflect Saturday delivery charge.

PHYSICAL CERTIFICATE DEPOSIT REJECTS

Fee/Rejects \$125

PHYSICAL CERTIFICATE HELD IN SAFEKEEPING

Per Customer/CUSIP

Annual Fee \$100

PHYSICAL PAPER STATEMENT \$3/QUARTER

Waived with eDelivery of documents. Sign up online.

POSTAGE HANDLING

Waived with eDelivery of documents. Sign up online.

For Equity, Option and Fixed Income Transactions . . . \$5.50

REORGANIZATIONS

Street Name Positions

Voluntary Transactions \$50

Death Puts \$100

Positions Represented by Physical Certificates \$90

RESEARCH FEE \$100/HR

RESTRICTED STOCK FEE

Legend Removal \$75/EVENT MIN.

STOP PAYMENT ON CHECKS \$20

TRANSFER ON DEATH

Distribution Fee \$50

WIRE TRANSFERS (applies to all outgoing wire transfers) . \$25

All fees subject to change anytime without notice.

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