

Fee Schedule

INSUFFICIENT FUNDS (Check or ACH)	\$25
STOP PAYMENT ON CHECKS	\$20
COPIES OF CANCELLED CHECKS	\$10
OVERNIGHT CHECK REQUEST	\$20

Does not reflect Saturday delivery charge.

PHYSICAL PAPER STATEMENT	\$3/QUARTER
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Waived with eDelivery of documents. Sign up online.

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

Street Name Positions

Voluntary Transactions	\$50
Death Puts	\$100
Positions Represented by Physical Certificates	\$90

LEGAL FEES

Miscellaneous legal documents for physical deposits. (Example: Corporations, POAs, Estates, Trusts, etc.)	\$75
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PHYSICAL CERTIFICATE DEPOSIT REJECTS

Fee/Rejects	\$125
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RESTRICTED STOCK FEE

Legend Removal	\$75/EVENT MIN.
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FINRA EXTENSION FEE

Filing Fee Reg. - T	\$25
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BOOK ENTRY TRANSFER

Issuance of Physical Certificates by Agent	\$50
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ACCOUNT TRANSFERS

Process of Outgoing Transfers	\$135
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TRANSFER ON DEATH

Distribution Fee	\$50
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RESEARCH FEE	\$100/HR
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POSTAGE HANDLING

Waived with eDelivery of documents. Sign up online.

For Equity, Option and Fixed Income Transactions	\$5.50
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DEPOSIT AND WITHDRAWAL AT CUSTODIAN (DWAC)

At Transfer Agent	\$25
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ABANDONED ACCOUNT FEE

Unclaimed Property	\$50
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PHYSICAL CERTIFICATE HELD IN SAFEKEEPING

Per Customer/CUSIP

Annual Fee	\$50
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ANNUAL IRA MAINTENANCE FEE

With Paper Statements	\$52
With eDelivery	\$40

The annual maintenance fee will be waived for IRAs with a market value exceeding \$150,000 by November 30.

MUTUAL FUND ONLY IRA MAINTENANCE FEE

\$20
Existing accounts converting to Mutual Fund Only must be completed by November 30 for reduced fee.

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.

LIMITED PARTNERSHIP HOLDING FEE (IRAs ONLY)

LP Holding and 990T Filing Fee	\$150
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COLLATERAL ACCOUNT FEE

(applied upon collateral account approval)	\$100
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FOREIGN ACCOUNT FEE (applied at account opening)	\$100
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FOREIGN POSITION CUSTODY

Quarterly Fee	\$25/POSITION
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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

All fees subject to change anytime without notice.

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