



<b>ABANDONED ACCOUNT FEE</b>		<b>NON PUBLICLY TRADED SECURITIES (REITs, BDC, CLOSELY HELD STOCK - IRAs ONLY)</b>	
Unclaimed Property .....	\$50	Document Review Fee* .....	\$150
<b>ACCOUNT TRANSFERS</b>		Purchase – Upon approval .....	\$50
Process of Outgoing Transfers .....	\$135	Sell .....	\$50
<b>ANNUAL IRA MAINTENANCE FEE</b>		Reregistration – In-kind transfer .....	\$25
With Paper Statements .....	\$57	Safekeeping/Valuation .....	\$50
With eDelivery .....	\$45	*Closely held stock only	
The annual maintenance fee will be waived for IRAs with a market value exceeding \$250,000 by November 30.		<b>OVERNIGHT CHECK REQUEST .....</b>	<b>\$35</b>
<b>BOOK ENTRY TRANSFER</b>		<i>Does not reflect Saturday delivery charge.</i>	
Issuance of Physical Certificates by Agent .....	\$50	<b>PHYSICAL CERTIFICATE DEPOSIT REJECTS</b>	
<b>COLLATERAL ACCOUNT FEE</b>		Fee/Rejects .....	\$125
(applied upon collateral account approval) .....	\$175	<b>PHYSICAL CERTIFICATE HELD IN SAFEKEEPING</b>	
<b>COPIES OF CANCELLED CHECKS .....</b>	<b>\$10</b>	<i>Per Customer/CUSIP</i>	
<b>DEPOSIT AND WITHDRAWAL AT CUSTODIAN (DWAC)</b>		Annual Fee .....	\$100
At Transfer Agent .....	\$25	<b>PHYSICAL PAPER STATEMENT .....</b>	<b>\$3/QUARTER</b>
<b>FINRA EXTENSION FEE</b>		<i>Waived with eDelivery of documents. Sign up online.</i>	
Filing Fee Reg. - T .....	\$50	<b>POSTAGE HANDLING</b>	
<b>FOREIGN ACCOUNT FEE (applied at account opening) ..</b>	<b>\$150</b>	<i>Waived with eDelivery of documents. Sign up online.</i>	
<b>FOREIGN POSITION CUSTODY</b>		For Equity, Option and Fixed Income Transactions ...	\$5.50
Quarterly Fee .....	\$30/POSITION	<b>REORGANIZATIONS</b>	
<b>INSUFFICIENT FUNDS (Check or ACH) .....</b>	<b>\$35</b>	<i>Street Name Positions</i>	
<b>IRA TERMINATION FEE .....</b>	<b>\$135</b>	Voluntary Transactions .....	\$50
Accounts will be deemed to be terminated with any distribution that reduces an IRA balance to less than \$200.		Death Puts .....	\$100
Annual maintenance and termination fees are due upon termination. Fees due will be withheld from the distribution of the account.		Positions Represented by Physical Certificates .....	\$90
<b>LEGAL FEES</b>		<b>RESEARCH FEE .....</b>	<b>\$100/HR</b>
Miscellaneous legal documents for physical deposits.		<b>RESTRICTED STOCK FEE</b>	
(Example: Corporations, POAs, Estates, Trusts, etc.) ...	\$75	Legend Removal .....	\$75/EVENT MIN.
<b>LIMITED PARTNERSHIP HOLDING FEE (IRAs ONLY)</b>		<b>STOP PAYMENT ON CHECKS .....</b>	<b>\$20</b>
LP Holding and 990T Filing Fee .....	\$150	<b>TRANSFER ON DEATH</b>	
<b>MUTUAL FUND ONLY IRA MAINTENANCE FEE ...</b>	<b>\$20</b>	Distribution Fee .....	\$50
Existing accounts converting to Mutual Fund Only must be completed by November 30 for reduced fee.		<b>WIRE TRANSFERS (applies to all outgoing wire transfers) ..</b>	<b>\$25</b>

*All fees subject to change anytime without notice.*

Securities and insurance products are offered through Cetera Investment Services LLC (doing insurance business in CA as CFG STC Insurance Agency LLC), member FINRA/SIPC. Cetera Investment Services LLC is not affiliated with any financial institution where investment services are offered.

Investments are: \*Not FDIC/NCUSIF insured \*May lose value \*Not financial institution guaranteed \*Not a deposit \*Not insured by any federal government agency.