

Trade Related Fees			
<b>All Exchange, MSRB, Option and OCC Transaction fees and any other applicable regulatory fees</b>		Actual fees charged to us	
<b>Service Charge</b>		\$7.50 per trade*	
<b>Paper Surcharge Fee - Trade Confirmations</b> (Not applicable for eDelivery of trade confirmations)		\$1.25 per printed confirmation	
<b>Margin Extensions</b>		\$15.00	
<b>Late Trade Payments and Pre-Settlement Disbursements</b>		Highest margin interest rates	
<b>Mutual Fund Systematic Purchases, Redemptions &amp; Exchanges</b>		\$1.50 per transaction	
<b>Mutual Fund Exchanges</b>		\$1.50 round trip*	
<b>Mutual Fund Surcharge</b> (For advisory accounts, applies to all MAA accounts; for other advisory programs, the surcharge does not apply to accounts where no transaction fee is applicable) <i>* Be advised that certain mutual fund families will charge a "mutual fund surcharge" of \$10 and/or \$18 for the operational processing of funds not in network. Please check with your advisors for a list of fund families that will incur this fee. Fund families subject to this charge may change without notice.</i>		Up to \$28	
<b>Mutual Fund Transaction Fee</b> (does not apply to investment advisory accounts where no transaction fee is applicable)* <i>* Applies to liquidations, no-load purchases and intra family exchanges. Some funds may also charge sales or redemption fees - read prospectus for full details. Oftentimes, you can transact directly with the fund company or its principal distributor without paying First Allied's mutual fund transaction fee. * Ticket charge will be waived for the purchase of mutual fund transactions meeting the Strategic Partners Mutual Fund Ticket Rebate Program's eligibility requirements. Please contact your advisor for information regarding the Strategic Partners program.</i>		\$30.00	
<b>Unit Investment Trust (UIT) Liquidation Fee</b> (does not apply to investment advisory accounts)		\$50.00	
<b>Cashless Option Exercise Program</b>		\$50.00 per exercise	
First Allied Advisor Select Fees		Prime Asset Management (PAM) Fees	
<ul style="list-style-type: none"> <li>Equities</li> <li>Options</li> <li>Corporate Bonds – Listed</li> <li>Corporate Bonds – Other</li> <li>No-load Funds, Load Funds at NAV</li> </ul>	<ul style="list-style-type: none"> <li>\$9.95 per trade</li> <li>\$24.00 + \$1.65 per contract</li> <li>\$35.00 + \$1.00 per bond</li> <li>\$35.00 per trade</li> <li>\$9.95 per trade</li> </ul>	<ul style="list-style-type: none"> <li>Listed Equities (&lt; 10,000 shares)</li> <li>Listed Equities (&gt;= 10,000 shares)</li> <li>OTC Equities</li> <li>Options</li> <li>Corporate Bonds – Listed</li> <li>Corporate Bonds – Other</li> <li>No-load Funds, Load Funds at NAV</li> </ul>	<ul style="list-style-type: none"> <li>\$24.00 + \$.02/share per trade</li> <li>\$24.00 + \$.015/share per trade</li> <li>\$24.00 per trade</li> <li>\$24.00 + \$1.65 per contract</li> <li>\$35.00 + \$1.00 per bond</li> <li>\$35.00 per trade</li> <li>\$24.00 per trade</li> </ul>
Account Maintenance Related Fees			
<b>Account Maintenance</b> (fee may be waived under certain conditions)		\$50.00 annually	
<b>Retirement Account Fees</b>			
<ul style="list-style-type: none"> <li>Custodial fee: Traditional IRA, Roth IRA, SEP IRA &amp; Education Savings Account - Charged in arrears on anniversary.</li> <li>Custodial fee for Traditional &amp; Roth Mutual Fund Only IRA - Charged in arrears on anniversary</li> <li>Custodial fee for Prototype SEPs &amp; SARSEPs, Simple, QRPs, and 403(b)(7) custodial plans and accounts – Charged at account opening</li> <li>Conversion from Traditional or Roth IRA to a Mutual Fund Only IRA</li> <li>QRP &amp; 403(b)(7) Loans (distribution &amp; repayment posting) – Charged at loan</li> <li>Termination fee for all retirement account types</li> </ul>		<ul style="list-style-type: none"> <li>\$40.00 per account, annually*</li> <li>\$10.00 per account, annually*</li> <li>\$50.00 per account, annually</li> <li>\$50.00</li> <li>\$50.00</li> <li>\$95.00</li> </ul>	
<b>Wired Funds</b>		\$25.00	
<b>Checks</b> (Received, Delivered or Corestone)		\$12.00 overnight fee \$25.00 per returned item \$25.00 per stop payment	
<b>Corestone (Checkwriting and Debit Cards)</b>		See Corestone Fee Schedule	
<b>Reorganization Activities</b>			
<ul style="list-style-type: none"> <li>Mandatory</li> <li>Voluntary</li> </ul>		<ul style="list-style-type: none"> <li>\$15.00</li> <li>\$20.00</li> </ul>	
<b>Transfers</b>			
<ul style="list-style-type: none"> <li>DRS Transfer - Incoming</li> <li>DRS Transfer – Outgoing</li> <li>DRS Transfer – American Stock Transfer (AST) only</li> <li>Legal/GNMA Transfer</li> <li>Outgoing Account Transfer</li> <li>Transfer Agent Physical Security Fee</li> </ul>		<ul style="list-style-type: none"> <li>\$15.00 per position</li> <li>\$25.00 per position</li> <li>\$35.00 per position</li> <li>\$75.00</li> <li>\$135.00</li> <li>Varies by Transfer Agent</li> </ul>	
<b>Estate Transition Processing</b> (fee may be waived under certain conditions)			
<ul style="list-style-type: none"> <li>Per Account</li> <li>Per Physical Certificate</li> </ul>		<ul style="list-style-type: none"> <li>\$50.00</li> <li>\$75.00</li> </ul>	
<b>Foreign Receive &amp; Deliver Fees</b>			
<ul style="list-style-type: none"> <li>EuroClear</li> <li>All Other Foreign Securities</li> </ul>		<ul style="list-style-type: none"> <li>\$50.00</li> <li>\$75.00</li> </ul>	
<b>Safekeeping Fees (Monthly)</b>			

\*denotes fee waived for My Advice Architect (MAA) accounts

<ul style="list-style-type: none"> <li>• Customer Name Safekeeping</li> <li>• Foreign Securities Safekeeping (<i>may be subject to additional custody fee</i>)</li> </ul>	<p>\$2.00 per account, per position \$5.00 per account, per position</p>
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<p><b>Limited Partnerships, Private Placements or Alternative Investments in Pershing Accounts.</b></p> <ul style="list-style-type: none"> <li>• Administration Fee per position (<i>fee may be waived under certain conditions</i>) <ul style="list-style-type: none"> <li>– Registered Products</li> <li>– Unregistered Products</li> </ul> </li> <li>• Processing fee per subscription, redemption and re-registration</li> <li>• Document Review (applicable to first time review regardless of outcome)</li> <li>• IRS 990-T UBTI Tax Return Filing (per return filed, per year)</li> </ul>	<p>\$35.00 annually \$125.00 annually \$50.00 each \$300.00 \$200.00 if applicable</p>
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<p><b>Portfolio Evaluation System (PES)</b></p> <ul style="list-style-type: none"> <li>• Cost Basis on Statement (<i>waived for accounts over \$25,000</i>)</li> <li>• Online Performance Reporting (account must have cost basis to add performance)</li> </ul>	<p>\$12.00 per account, annually \$12.00 per account, annually</p>
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<b>Margin Rates</b> ( <i>Based on the Federal Reserve announcement, the current Pershing Base Lending rate is 7.625 percent.</i> )					
	<b>From Range</b>	<b>To Range</b>	<b>Base Lending Rate*</b>	<b>Margin Spread</b>	<b>Total Margin Rate</b>
	\$0.01	\$99,999.99	7.625%	2.75%	10.375%
	\$100,000.00	\$199,999.99	7.625%	1.25%	8.875%
	\$200,000.00	\$299,999.99	7.625%	1%	8.625%
	\$300,000.00	\$399,999.99	7.625%	1%	8.625%
	\$400,000.00	\$499,999.99	7.625%	0.75%	8.375%
	\$500,000.00	And over	7.625%	0.50%	8.125%

\*denotes fee waived for My Advice Architect (MAA) accounts