

Cetera Investment Services charges brokerage accounts for RIA Services according to the following fee schedule:

**Abandoned Account Fee**

Unclaimed Property ..... \$50

**Account Transfers**

Process Of Outgoing Transfers ..... \$135

**Annual IRA Maintenance Fee** ..... \$0

When Account is Terminated ..... \$45

**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

**Foreign Account Fee** (applied at account opening) . . . \$150

**Foreign Position Custody**

Quarterly Fee ..... \$50/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

**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 ..... \$125

**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 ..... \$1.50

**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

*These fees are subject to change with notice.*

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