

## Brokerage Commission & Fee Schedule

### Stocks, ETFs and Warrants

<u>Transaction Amount</u>	<u>Commission</u>
\$500 and under	\$59.95
\$501 - \$2,500	\$64 + 2.15% of dollar amount
\$2,501 - \$7,500	\$90 + 1% of dollar amount
\$7501-\$21,000	\$100 + 0.85% of dollar amount
\$21,001 and over	\$215 + 0.40% of dollar amount
<i>Minimum is \$0.04 per share.</i>	

### Bonds & Fixed Income Investments

<u>Commission</u>
Auction of Treasury Bills, Notes or Bonds

All other debt security transactions are handled on a riskless principal or agency basis, depending on the size of the transaction, length of maturity and market liquidity.

Minimum \$49 per order.

### Mutual Funds:

Loaded Mutual Fund Transactions  
Purchases and Redemptions

### Commission

Applicable Loads

Transaction Fee No-Load Funds  
Purchases & Redemptions

0.60% of principal amount, \$69.95  
Minimum, \$149 Maximum.

No Transaction Fee Funds

No Fee

NOTE: All trades are subject to a \$5 or \$7.50 postage and service fee; however, Mutual Fund redemptions are subject to a \$15 postage and service fee to cover ticket charges. Please see specific details below. A \$7 paper document fee accessed quarterly unless eDelivery is established for statements and confirms.

### Brokerage Service Fees

Account Research	\$25 per item	Margin Extension (Late Payment of Trades)	\$45
Alternative Investments		Overnight Check Fee	\$20
• Subscription Fee	\$50	Processing Service Fee	
• Redemption Fee	\$50	• Document Delivery (Electronic Delivery)	\$5
• Re-Registration Fee	\$50	• Document Delivery (U. S. Mail)	\$7.50
• Annual Administration Fee (per position)	\$35	Reorganization Fees	
Annual Custodial Fee <sup>1</sup> (Non-Retirement Accounts)	\$45	• Voluntary	\$35
Bond Puts, Calls and Redemptions	\$5	• Mandatory n-Account	\$35
Cost Basis	Free	• Mandatory Physical Certificate	\$175
Cash Management Accounts		Retirement Plans	
• Select Access	\$20 annually	• Annual Fee ( RA, Roth, SEP, & S MPLE)	\$35
• Premier Access	\$100 annually	• Termination Fee	\$125
Cash Management Return Check Fee	\$25	Returned Check Fee	\$35
Cash Management Stop Payment Fee	\$25	Stop Payment Fee	\$35
Certificate Safekeeping	\$20 per month/ per cert	Transfer & Ship Fee	\$35
Full Account Transfer Out Fee (non-IRA)	\$75	Wire Fee - IRA	\$15
Legal Returns/Transfers	\$100/\$175	Wire Fee - Non-IRA	\$25
		Mail Gram	\$25

<sup>1</sup> The Annual Custodial Fee is assessed on each account which holds a position, and for which there has been no trading activity during the prior calendar