



SWBC Investment Services, LLC  
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## Brokerage Commission & Fee Schedule

### Stocks, ETFs and Warrants

#### Transaction Amount

\$500 and under  
 \$501 - \$2,500  
 \$2,501 - \$7,500  
 \$7501-\$21,000  
 \$21,001 and over  
*Minimum is \$0.04 per share.*

#### Commission

\$59.95  
 \$64 + 2.15% of dollar amount  
 \$90 + 1% of dollar amount  
 \$100 + 0.85% of dollar amount  
 \$215 + 0.40% of dollar amount

### Bonds & Fixed Income Investments

Auction of Treasury Bills, Notes or Bonds

#### Commission

Minimum \$49 per order.

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.

### 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 In-Account	\$35
Cost Basis	Free	• Mandatory Physical Certificate	\$175
Cash Management Accounts		Retirement Plans	
• Select Access	\$20 annually	• Annual Fee (IRA, Roth, SEP, & SIMPLE)	\$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	\$15 per month, per certificate	Transfer & Ship Fee	\$35
Full Account Transfer Out Fee (non-IRA)	\$75	Wire Fee - IRA	\$15
Legal Returns/Transfers	\$100	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

Securities offered through SWBC Investment Services, LLC, Member FINRA and SIPC.