

Fee Schedule (effective 10/01/2021)

No advisor minimum. No account minimum.

| Equity Trades \$4.95* | | |
|--|--|---|
| *Online Orders | \$4.95* minimum | |
| *Over 2000 shares=\$.01 per share for full order, \$95 maximum (except foreign). Foreign security fees vary by country. Broker-assisted order \$35 min, \$95 max. SEC fees on sell orders, foreign agency fees, and taxes are charged on a pass-through basis on all trades. | | |
| Bonds & Other Fixed Income | | |
| Agency Trades | \$50 per bond trade | |
| Principal Trades | NTF (included in bond price / yield) | |
| Listed Bonds, UITs, ARPs, CDs, Treasuries at Auction | \$50 | |
| CDs, New Issues | Fees vary by bank. Add'l \$35 max. svc fee. | |
| Options | Online | Broker-assisted |
| Options | \$19.95 + \$1.25 /contract | \$35 + \$1.50 per contract |
| Option Exercise | n/a | \$35 per assignment |
| Fee Choice – Alternate Asset-based Trade Pricing Schedule | | |
| Fee Range: 30 to 15 bps Minimum: \$350 annually | | |
| Margin Rate: Annualized rate based on average debit balance | | |
| \$0 - 10,000 | Broker Call + 2.5% | |
| 10,001 – 50,000 | Broker Call + 2.0% | |
| 50,001 – 100,000 | Broker Call + 1.5% | |
| Over 100,000 | Broker Call + 1.0% | |
| Over 1,000,000 | Broker Call + 0.75% | |
| Broker Call rate is subject to change. Hard-to-borrow short positions subject to surcharge based on market demand. Ask about our Fully Paid Securities Lending program. | | |
| Cash Management Products | | |
| | Corestone Silver & Silver Plus | Corestone Gold & Platinum |
| Annual Fee | Checkwriting-\$25 Checks plus Debit Card-\$50 | Gold- \$100. Corp- \$150 Platinum-\$150 Corp-\$250 |
| Minimum to open | Silver-\$5,000 SilverPlus-\$5,000 | Gold-\$10,000 Platinum-\$20,000 |
| Reorder checks | \$25 | Gold-\$25, Platinum-\$25 |
| Returned check/ACH | \$25 | \$25 |
| Stop Payment | \$25 | \$25 |
| Overnight Delivery Checks / Debit Card | \$25 | \$25 |
| Retirement Accounts | | |
| IRA annual fee- Accts over \$10,000 | Fee Waived | |
| IRA annual fee- Accts under \$10,000 | \$25 not prorated | |
| QRP, SEP, 403b, Individual(k), 401k annual fee | \$50 | |
| Roth IRA Conversion/Recharacterization | \$25 | |
| 401k Loan Processing | \$95 | |
| Retirement acct termination fee | \$95 | |
| Alternative Investment/Limited Partnership/Private Investment | | |
| Custody Fee per position /year-not prorated | \$60 reg'd/\$150 unreg'd | |
| Subscription/Redemption/Transfer/Rereg | \$125 | |
| Unrecognized Income Filing | \$200 | |

| Mutual Funds—Over 15,000 funds. 8,000 NTF funds available without transaction fees | | |
|--|---|-------------------------------------|
| <i>Please see Mutual Fund Network Guide for NTF list, other costs, and disclosures.</i> | | |
| Transaction Fee Funds—Online Order | \$15- \$25 ^{^^} | |
| Transaction Fee Funds—Broker assisted | \$35 | |
| DFA Funds | \$10 | |
| Exchanges (Buy and Sell between funds same day-same fund family) | \$25 (\$12.50 per side) \$15 for DFA | |
| Periodic (SRS) Non-NTF funds | \$5 | |
| NTF Fund Minimums** | No-load and many Load NTF Funds | Load Funds NAV at NTF ^{^^} |
| Regular trades | 2,500 | 5,000 |
| IRAs/QRPs | 500 | 5,000 |
| Periodic (SRS) Purch/redm | 100 | 2,500 |
| *Short-Term Redemption (STR) Fee on NTF funds: \$75 for shares purchased at SSG and sold in 3 months or less; STR for periodic redemptions held less than 3 months is \$5.50. *\$25 transaction fee applies on redemptions of load funds within 3 months of transfer-in **\$25 transaction fee applies on orders below NTF minimum. [^] \$5,000 minimum purchase may apply. Fund minimums and SSG minimum may vary. [^] RIA's may purchase most load funds under a load-waiver--See fund prospectus ^{^^} \$25 fee applies to these and other funds: Vanguard, Dodge&Cox, Pimco Instl, CGM, Fairholme, Aegis, Allianz Instl, Northeast Invstrs, Meridian, Alpine, New Alternatives, Loomis Instl, Sequoia, FPA Funds, Stratton, T Rowe Inst'l, American F-3, other F-3 and most Institutional Funds. | | |
| Optional Services for Advisor's Firm | | |
| Advisory Fee Prep Service | \$5 per acct per event min \$100 | |
| Enhanced cost basis on statement | \$2.50 per acct per qtr | |
| Data Downloads | \$100 per mo | |
| Performance Report Quarterly Basic/Extended | \$20/\$25 per acct per quarter | |
| Miscellaneous Account Fees | | |
| Certificate / Legal Transfer / Rule 144 | \$95 | |
| Check Stop payment or /ACH returned | \$25 | |
| Dividend Reinvestment on equities | 25¢ per item | |
| Trade Correction, DK'd, Post settlement | \$25 per trade, + losses | |
| ESOP Exercise | \$100 plus transfer fees | |
| Foreign Account/Puerto Rico Account | \$75 annually | |
| Foreign Ordinary Shares, transfer/settle | \$75 to \$150, by country | |
| Margin Extension | \$25 | |
| Mutual Fund share class conversion | \$50 | |
| Overnight Check Delivery | \$25 | |
| Precious Metals Service | \$100 trade; 75 bp storage | |
| Paper Statements or Confirms | \$2.50 to \$4 per item | |
| Safekeeping/Foreign Custody, | \$2.50 per month/per item | |
| Transfer Out/ ACAT out/ Partial Transfer | \$95 per transfer | |
| Wire Fee | \$35 in USA/ \$50 foreign | |
| Corporate Reorg Items | | |
| Voluntary | \$25 | |
| Mandatory | No charge | |
| Physical delivery | \$95 | |
| Rejected deposit | \$100 | |
| Loan Advance to 70% of account equity (Not available in all states) | | |
| \$25,001 - \$500,000 | Prime Rate plus .50% | |
| \$500,000-\$1 million | Prime Rate plus .40% | |
| \$1 million or more | Prime Rate plus .35% | |