

Fee Schedule (effective 10/08/2020)

No advisor minimum. No account minimum.

Equity Trades \$4.95*		
Online Orders	\$4.95	
*Over 2000 shares=\$.01 per share for full order,\$95 max (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 stock and bond 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 45 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	
Limited Partnership/ Private Investments		
Custody Fee per position /year-not prorated	\$60 reg'd/\$150 unreg'd	
Subscription/Redemption/Transfer/Rereg	\$95	
Unrecognized Income Filing	\$200	
New LP Document Legal Review	\$475	

Mutual Funds—Over 15,000 funds. 8,000 NTF funds available load waived without transaction fees Please see Mutual Fund Network Guide for NTF list, other costs, and disclosures.		
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)	
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 acct / Qtr	
Statements/Confirms on CD	See periodic schedule	
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	
LoanAdvance 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%	