

Brokerage Commission and Schedule of Miscellaneous Account and Service Fees

Commission Schedule

(Not applicable for Investment Advisory Accounts)

Equities

\$0 - \$1,999.00	4.75%*
\$2,000 - \$3,500	\$75.00 + 1%*
\$3,500.01 and above	\$125.00 + 1%*
Minimum Commission	\$75.00
*Gross Transaction Amount, Regardless of Share Point	
Listed Low Priced Securities (Stocks with a price of \$5 or less)	\$0.03 per share
Minimum Commission	\$75.00
Client Direct	\$9.95
Broker Assisted	\$42.50

Mutual Funds

No-Load Mutual Funds	\$50.00 per transaction
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Loaded Mutual Funds: Please read the prospectus prior to making any investment decision. As you make the decision to purchase mutual funds, it is our desire to ensure your full understanding of the features of the mutual fund product you are purchasing. Different fund companies may utilize different share classes and fees and expense may vary between fund companies. One of the main differences between class shares is the timing and amount of the fees and expenses charged to the investor.

Options

Overriding Maximum Commission, per contract	\$48.00
Minimum Commission, per transaction Fees vary. Contact your financial consultant.	\$50.00
Client Direct	\$14.95 + \$0.90 / contract
Broker Assisted	\$42.50 + \$0.90 / contract

Fixed Income

Fees vary. Contact your financial consultant.

Fee Schedule

(Fee represents the maximum amount that may be charged)

Miscellaneous Account and Service Fees

Fee Description	Fee
Annual Custody and Recordkeeping Fee ¹	\$50
Annual Registered Alternative Investment Fee (per position – maximum charge of \$500)	\$35
Annual Non-Registered Alternative Investment Fee (per position – maximum charge of \$500)	\$125
Alternative Investment Transfer/Re-registration (per transaction)	\$50
Health Savings Account Annual Fee	\$25
IRA Annual Maintenance Fee	\$35
IRA Mutual Fund Only Annual Maintenance Fee	\$10
IRA Termination Fee	\$125
Legal Return	\$75
Account Transfer (outgoing)	\$100
Overnight Mail	\$15
Postage and Handling, per trade	\$5
Copies of Document	\$25/hour/\$10.00 per item
Return Check	\$20
Stop Payment on Check	\$15
Trade Settlement Extension	\$10
Transfer & Ship (DRS eligible)	\$15
Wire Transfers	\$15

Cash Management Account

Select Access Annual Fee ACH + Bill Pay	\$10
Debit Card	\$5
Checkbook	\$5
Premier Access Annual Fee Metal Card Annual Fee	\$100
	\$10

¹Periodic investments, systematic withdrawals, mutual fund exchanges, mutual fund dividend reinvestment, and equity dividend reinvestments are defined as trading activity. All trading activity must settle on, or prior to, the last business day of the current calendar year to exempt an account from the fee.

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