



Fee Description	Fee	Fee Basis
Overnight Delivery (UPS)	\$40.00	per item
International Delivery (UPS)	\$100.00	per item
DWAC charge	\$75.00	per item
DWAC Reject charges	At Cost	per item
Client Foreign Financial Intermediary (Omnibus) Due Diligence Review Fee	\$1,000.00	\$200 / hr over 5 hrs; per account
Safekeeping / Reconciliation / Vault Fee	\$60.00	per year (charged quarterly)
Re-registration of Stock or Alternative Investment	\$50.00	Costs
Clearance or Transfer of Restricted Stock	\$100.00	Costs
Certificate request <u>DTC</u>	\$1,000.00	per certificate
Rush Withdrawal <u>DTC</u>	\$150.00	additional
Penny stock re-registration w/agent (domestic)	\$250.00	per certificate
Penny stock re-registration w/agent (Canadian)	\$750.00	per certificate
Rejected deposits DTC or agent	\$185.00	per certificate
Transfer agent charges	As incurred	
Long Positions (Sub penny Book Entry)	\$0.0000006	per share, monthly basis
COR Assisted Dividend Posting (Asset not held at COR)	\$15.00	per item
Annual Custodial Fee	\$40.00	per plan
Transfers (including transfer of Roth to/from Traditional IRA)	\$75.00	per transfer
Limited Partnerships/AIP	\$100.00	per position annually charge quarterly
Termination Fee	\$50.00	per plan
Certificate Deposit	\$25.00	per position/per customer
Cashless Stock Options	\$35 min	1% of proceeds Plus Costs ; per item
Reg.-T Extension	\$25.00	per extension
TOD Distributions	\$200.00	per distribution
ACAT – Non-ACAT (Full or Partial) Transfer (Transfer Out) plus Free delivery charge for each position.	\$75.00	per account
Voluntary Tender/Exchange Offer/Bond Puts	\$35.00	per election
Bond Redemption/Conversion (Physical Only)	\$50.00	Plus Costs
Worthless securities processing charges	\$20.00	per security processed
Mandatory Reorg Corporate Actions	\$25.00	per account
Dividend Reinvest	\$1.00	per dividend reinvestment entry
Cash Dividend Outgoing Check	\$10.00	per check
Cash Dividend Outgoing ACH	\$0.25	per ACH
Manual Options Exercise Request	\$25.00	per request
Handling (charge to customer)*	As determined by IBD	
Physical Settlements	\$100.00	Plus Costs
Free Deliveries DTC	\$25.00	per security
NY Window / Physical Delivery	\$50.00	per security



Fee Description	Fee	Fee Basis
Trades Settled Same-Day (Cash Trades)	\$15.00	per trade
Transfer In and Out/Physical Certificate (Foreign)	\$150.00	Costs
Foreign Custody Fee	2.5 bps annually **subject to change based on local market rates	monthly ; per security
Stop payments	\$25.00	per check
Returned Checks	\$40.00	per check
Photocopies of Checks	\$5.00	per check
Returned ACH Items	\$25.00	per return
Wire, Domestic (Outgoing)	\$30.00	per wire
Wire, International (Outgoing)	\$75.00	per wire
Wire Research Requests / Service Messages	\$50.00	per request
Foreign Currency Conversions	\$50.00	per conversion
Foreign Currency Transaction Postings	\$25.00	per posting
Check Writing Stop Pays	\$25.00	per stop
CCPA Check writing and Platinum Card	\$60.00	per year