

Ticket Charges*

Brokerage Accounts	Ticket Charge	Unit Charge
CDs	\$35.00	\$0.10
CMOs	\$40.00	\$0.00
Corporate bonds, T-Notes, and T-Bonds	\$35.00	\$0.00
Listed stocks	\$15.65	\$0.0065
Mutual fund surcharge	\$10.00	\$0.00
Mutual funds / LPs / VAs	\$15.65	\$0.00
Option exercise and assignment	\$25.00	\$0.00
Options	\$15.65	\$0.65
Penny stocks / OTCs	\$15.65	\$0.00
Post trade date corrections	\$5.00	
Stocks prices under \$1.00	\$50.00 (no commission to advisor)	\$0.00
Systematic investments	\$1.25 per transaction	\$0.00
Systematic withdrawals	\$1.25 per transaction may be charged to rep or client (Inform trader at time of trade)	
T-Bills	\$40.00	\$0.00
UITs	\$35.00	\$0.00
Zero / Muni bonds	\$35.00	\$0.00

Managed Accounts	TIMSI	TIMSII
CDs	\$35.00	\$35.00
Corporate bonds, T-Notes, and T-Bonds	\$35.00	\$35.00
Listed stocks / OTCs	Varies per transaction.	\$11.00
Mutual funds (no transaction fee)	N/A	N/A
Mutual funds	\$18.00	\$11.00
Systematic investments	\$1.25 per transaction	\$1.25
Systematic withdrawals	\$1.25 per transaction	\$1.25
T-Bills	\$35.00	\$35.00
UITs	\$35.00	\$35.00
Zero / Muni bonds	\$35.00	\$35.00

Client Charges*

Transaction	Fee
Accommodation transfer \$ ship DRS (electronic)	\$10.00
Confirmation handling fee	\$.75
Customer name safekeeping	\$2.00 / account / position / month
Fed wired funds	\$10.00
Fixed income certificate costs	As incurred
Foreign securities safekeeping	\$2.00 / account / position / month
Foreign receive and deliver fees	
All other foreign securities	\$75.00 per item
EuroClear	\$50.00 per item
Equity dividend reinvested	\$0.50 / item (\$3 min. to reinvest after \$1 has been deducted from the dividend)
Inactivity fee	\$25.00 / inactive account / year, \$12.50 accounts with mutual funds only
DRS - Incoming Direct Registration Service fee	Pass through from Transfer Agent
DTC Deposit	\$3.00 per event
DTC Withdrawal	\$5.00 per event
DWAC-Deposit and Withdrawal at Custodian	Pass through from Transfer Agent
Legal transfers	\$60.00
Margin extensions	\$10.00
Mutual fund exchanges	\$2.00 on both buys and sells
Outgoing account transfers (ACAT)	\$125.00 (non-qualified accounts)
Overnight mail	\$12.00; \$18.00 Saturday; \$25.00 International
Paper statement fee	\$0.75
Pershing stop check payment	\$10.00
Precious metal storage fee	75 bps of market value per year, pre-billed on a quarterly basis
Restricted legal transfer	\$60.00
Returned checks (including ACH returned items)	\$20.00
Step in / Step out fee	\$5.00
Transfer and ship DRS (electronic)	\$10.00

Checking Fees*

Corestone™ Service	Fee
Please refer to the Corestone™ account agreement for details on services and fees.	
Business Style Checks	\$50.00 for 252 checks (initial order) \$40.00 for 252 checks (reorder)
Copy of paid check of Visa® draft	\$2.50
Corporate gold account	\$150.00 / year
Corporate platinum account	\$250.00 / year
Gold account	\$100.00 / year
Platinum account	\$150.00 / year
Reorder of checks	\$7.50 per 100 checks (platinum) \$10.00 per 100 checks (gold) \$12.50 per 100 checks (silver)
Returned checks /ACH Debits	\$25.00
Silver account	\$25.00 / year (free if \$25,000 or more in average month-end cash sweep balance)
Silver plus account	\$50.00 / year
Stop payments on checks	\$25.00 for gold or silver accounts No charge on platinum accounts

Annual Custodial Maintenance	Fee
Full featured plans and 403(b)(7)	\$50.00 due at account setup, billed annually
IRA, Roth IRA, Education IRA, 5305-SEP	\$35.00 due on one-year anniversary of account setup, billed annually
Mutual funds only	\$10.00
Mutual fund only conversion	\$50.00
Prototype simplified employee pensions	\$50.00 due at account setup, billed annually
SIMPLE plans	\$50.00 due at account setup, billed annually
Simplified standardized qualified plans	\$50.00 due at account setup, billed annually

Roth IRA Conversions	Fee
Conversion of ordinary IRA to Roth Conversion IRA	\$25.00 per conversion, payable upon conversion; Charged to Roth Conversion IRA if unpaid

Limited Partnerships, Private Placements and other products	Fee
Additional fees may be assessed by the issuing party or the transfer agent	
Annual administration	\$35.00 per position, in addition to annual custodian maintenance fee

Annual fee to hold (non-qualified accounts)	\$125.00 per position
Document review to determine ability to custody	\$1,200.00 per review regardless of outcome
IRS 990-T UBTI tax return filing	\$200.00 per return filed
Redemption	\$50.00 per position
Re-registration	\$50.00 per position
Subscription	\$50.00 per purchase

Account Termination	Fee
All retirement accounts	\$125.00 per account in addition to annual maintenance fee and other fees due unless prepaid

NetX360™	Fee
Please contact the Help Desk for package descriptions and individual content costs.	
Analysis Package	\$40.0 per user per month
Pro Package Plus	\$32.50 per user per month
Pro Package	\$25.00 per user per month
Core service package	No charge
Online Trading	Fee
Please contact the Help Desk for additional information.	
Online trading through NetX360™	No charge to use the service. Normal ticket charges apply
Portfolio Evaluation Service (PES)	Fee
Please contact the Trading Department for additional information.	
Cost basis only	\$12.00 per account per year
NetX360 Client™	Fee
Please contact the Help Desk for additional information.	
NetX360 Client View™	\$30.00 per year per User ID

Fees are waived for: Reorganization Bond redemptions
Exercises of puts or calls

* All fees are subject to change

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