



Brokerage Account Fee Schedule

National Financial Services

General

Outgoing Wire Transfer	\$25
Outgoing Wire Transfer (Retirement accounts)	\$15
ACH Transfers	Free
Confirmation Postage & Handling	\$5.65 per trade
Inactive Account Fee	\$25 annual fee. Not charged to accounts that execute one qualifying trade during the year.
Stop Payment	\$20
Return/Bounced Check	\$15
Express Mail or other overnight charges	\$15
Physical Reorg	\$25 per certificate
Voluntary Reorg	fee waived
Cashless Option Exercise	\$50
Margin Mailgram	fee waived
Margin Extension	\$10

Securities Transfers

Outgoing Account Transfer	\$125 (except Prototype retirement accounts)
Transfer & Ship	\$225 per certificate
Accommodation Transfer & Ship	\$285 per certificate
DRS Transfer	\$10
Foreign Securities Transfer	pass through fees as incurred
Foreign Receives and Delivers	pass through fees as incurred
Legal Transfer	\$90
Legal Return/Rejection	\$60
Restricted Stock Transfer	\$50 (plus legal transfer fee)

Securities Safekeeping

Customer Name Safekeeping	\$5 per certificate per month
Foreign Securities Safekeeping	fee waived

Prototype Retirement Accounts

IRA & Keogh	\$35 annual maintenance fee \$125 termination fee
Solo 401(k)	\$150 setup fee, \$300 annual maintenance fee after first year \$65 distribution fee

Asset Management Accounts (checking and debit card)

Brokerage Access Annual Fee	\$50 for a debit card; no charge for checking only
Brokerage Portfolio Gold Annual Fee	\$100
Brokerage Portfolio Platinum Annual Fee	\$150
Standard Check Reorder	\$5

Alternative Investments

Review Fee	\$100 per CUSIP (regardless of approval)
Transfers In/Out	\$50 per CUSIP per account
Annual Maintenance Fee year)	\$35 per CUSIP (Maximum charge of \$105 per account per

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General

Outgoing Wire Transfer	\$25 (\$40 if a foreign wire)
ACH Transfers	Free
Confirmation Postage & Handling	\$5.95 per trade
Inactive Account Fee	\$40 annual fee. Not charged to accounts that execute one qualifying trade during the year.
Stop Payment	\$30
Return/Bounced Check	\$30 each
Express Mail or other overnight charges	\$20
Physical Reorg	fee waived
Voluntary Reorg	\$25 per event if proceeds exceed \$500
Margin Mailgram	\$10
Margin Extension	\$20 for first extension, \$40 for second extension

Securities Transfers

Outgoing Account Transfer	\$100 (except Prototype retirement accounts)
Transfer & Ship	\$150 per certificate
Accommodation Transfer & Ship	\$150 per certificate
DRS Transfer	fee waived
Foreign Securities Transfer	\$150 plus any additional fees as incurred
Legal Transfer	fee waived
Legal Return/Rejection	\$80
Restricted Stock Transfer	fee waived

Prototype Retirement Accounts

IRA	\$50 annual maintenance fee, \$100 termination fee
Keogh and 401(k) Employer Account fee	\$75 annual maintenance fee, \$35 setup fee, \$100 termination fee
Keogh and 401(k) Employee Account	\$30 annual maintenance fee, \$100 termination fee

Capital Access Asset Management Account (checking and debit card)

Standard Account Annual Fee	\$100
Standard Account plus Rewards Program Annual Fee	\$150
Premium Account plus Rewards Program Annual Fee	\$300
Standard Check Reorder	fee waived (charges apply to premium check designs)

Alternative Investments

Review Fee	fee waived
Transfers In/Out	fee waived
Annual Maintenance Fee	\$100 per CUSIP held in certificate form

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General

Outgoing Wire Transfer	\$25
ACH Transfers	Free
Confirmation Postage & Handling	\$5.65 per trade
Inactive Account Fee	\$25 annual fee. Not charged to accounts that execute one qualifying trade during the year. \$12.50 per year for those accounts with only mutual fund positions.
Stop Payment	\$30
Return/Bounced Check	\$20
Express Mail or other overnight charges	\$20
Physical Reorg	\$25 per certificate
Voluntary Reorg	fee waived
Cashless Option Exercise	\$50
Margin Mailgram	fee waived
Margin Extension	\$10

Securities Transfers

Outgoing Account Transfer	\$95 (except Prototype retirement accounts)
Transfer & Ship	\$225 per certificate

Accommodation Transfer & Ship	\$225 per certificate
DRS Transfer	\$15
Foreign Securities Transfer	pass through fees as incurred
Foreign Receives and Delivers	pass through fees as incurred
Legal Transfer	\$90 per item
Legal Return/Rejection	fee waived
Restricted Stock Transfer	\$40 for expanded service, \$90 for full service (plus legal transfer fee)

Securities Safekeeping

Customer Name Safekeeping	\$5 per certificate per month
Foreign Securities Safekeeping	\$5 per position per month

Prototype Retirement Accounts

IRA, SEP, Coverdell ESA and IRS Model SEP	\$43.50 annual maintenance fee
Mutual Fund Only Traditional IRA's & QRP's	\$12 annual maintenance fee
SARSEP, SIMPLE, 403(b)(7), 401(k) and Keogh	\$58.50 annual maintenance fee
Individual 401(k)	\$75 setup fee, \$75 annual maintenance fee \$50 distribution fee \$95.00 termination/transfer fee

Conversion to a full IRA/Roth IRA from a Mutual Fund Only IRA/Roth IRA	\$50
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Retirement Account Termination Fee	\$95
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Corestone Asset Management Account (checking and debit card)

Silver Account Annual Fee	\$25/waived for accounts that have \$25000 or more in average month end closing cash sweep balances.
Silver Plus Annual Fee	\$50
Gold Account Annual Fee	\$100
Gold Corporate Account Annual Fee	\$150
Platinum Account Annual fee	\$150
Platinum Corporate Account Annual Fee	\$250
*All new investors will receive their first year free.	
Standard Check Reorder	\$12.50 for Silver, \$10 for Gold, \$7.50 for Platinum

Alternative Investments

Review Fee	\$300 per CUSIP (regardless of approval)
Transfers In/Out	\$50 per CUSIP per account
Annual Maintenance Fee	\$35 per position per account

Please note that the fees above do not include commissions, advisory fees or margin interest charges

All charges are subject to change if vendor charges change or in exceptional circumstances.