

# Brokerage Account Fee Schedule



## National Financial Services

Description	Amount	Frequency
<b>Account Service Fees</b>		
Outgoing Wire Transfer	\$25.00	Per transaction
Outgoing Wire Transfer - Retirement accounts	\$15.00	Per transaction
ACH Transfers	Waived	
Trade Confirmation Postage & Handling	\$5.65	Per trade
Inactive Account Fee <sup>1</sup>	\$25.00	Annually
Check Disbursement Stop Payment	\$20.00	Per transaction
Return or Bounced Check Deposit	\$20.00	Per transaction
Express Mail Overnight Charge	\$20.00	Per transaction
Physical Certificate Reorganization	\$25.00	Per certificate
Voluntary Reorganization	Waived	
Cashless Stock Option Exercise	\$50.00	Per transaction
Margin Mailgram	Waived	
Margin Extension	\$10.00	Per extension
<b>Securities Transfers</b>		
Outgoing Account Transfer	\$125.00	Per transfer
Transfer & Ship Physical Certificate	\$225.00	Per certificate
Accommodation Transfer & Ship	\$285.00	Per certificate
DRS Transfer	\$10.00	Per transaction
Foreign Securities Transfer	Pass through as incurred	Per transaction
Foreign Security Receives & Delivers	Pass through as incurred	Per transaction
Legal Transfer	\$90.00	Per transaction
Legal Return / Rejection	\$60.00	Per transaction
Restricted Stock Transfer	\$140.00	Per transaction
<b>Securities Safekeeping</b>		
Customer Name Safekeeping	\$5.00	Monthly per certificate
Foreign Securities Safekeeping	Waived	
<b>Prototype Retirement Accounts</b>		
IRA & Keogh Maintenance Fee	\$35.00	Annually
IRA & Keogh Termination Fee	\$125.00	Per transaction
Solo 401(k) Setup Fee	\$150.00	Per account
Solo 401(k) Maintenance Fee	\$300.00	Annually
Solo 401(k) Distribution Fee	\$65.00	Per transaction
<b>Asset Management Accounts (Check Writing &amp; Debit Card)</b>		
Select Access Annual Fee	\$10.00	Annually
Select Access Checkbook Maintenance	\$5.00	Annually
Select Access Debit Card Maintenance	\$5.00	Annually
Premiere Access Maintenance	\$100.00	Annually
Premiere/Select Access Stop Payment	\$10.00	Per transaction
Premiere/Select Access Bounced Check	\$15.00	Per transaction

<sup>1</sup> Inactive Account Fee – Not charged to accounts that execute one qualifying trade during the cycle year beginning November.

# Brokerage Account Fee Schedule



Description	Amount	Frequency
<b>Asset Management Accounts (Check Writing &amp; Debit Card), <i>continued</i></b>		
Premiere/Select Access Check Copy	\$2.50	Per check copy
Premiere/Select Access Insufficient Funds	\$20.00	Per transaction
Premiere/Select Access Bill Pay Check Copy	\$20.00	Per check copy
<b>Alternative Investments</b>		
New Product Review Fee	\$100.00	Per CUSIP (approved or rejected)
Transfers Incoming & Outgoing	\$50.00	Per CUSIP, per account
Annual Maintenance Fee <sup>2</sup>	\$35.00	Annually per CUSIP, per account

## Raymond James

Description	Amount	Frequency
<b>Account Service Fees</b>		
Outgoing Wire Transfer	\$25.00	Per transaction
ACH Transfers	Waived	
Trade Confirmation Postage & Handling	\$5.65	Per trade
Inactive Account Fee <sup>3</sup>	\$40.00	Annually
Check Disbursement Stop Payment	\$30.00	Per transaction
Return or Bounced Check Deposit	\$30.00	Per transaction
Express Mail Overnight Charge	\$20.00	Per transaction
Physical Certificate Reorganization	Waived	
Voluntary Reorganization <sup>4</sup>	\$25.00	Per event
Cashless Stock Option Exercise	\$50.00	Per transaction
Margin Mailgram	Waived	
Margin Extension	\$20.00 / \$40.00	First extension / Second extension
<b>Securities Transfers</b>		
Outgoing Account Transfer <sup>5</sup>	\$100.00	Per transfer
Transfer & Ship Physical Certificate	\$150.00	Per certificate
Accommodation Transfer & Ship	\$150.00	Per certificate
DRS Transfer	Waived	
Foreign Securities Transfer <sup>6</sup>	\$150.00	Per transaction
Legal Transfer	Waived	
Legal Return / Rejection	\$80.00	Per transaction
Restricted Stock Transfer	Waived	
<b>Prototype Retirement Accounts</b>		
IRA Maintenance Fee	\$35.00	Annually
IRA Termination Fee	\$100.00	Per transaction
Keogh & 401(k) Employer Account Maintenance	\$75.00	Annually
Keogh & 401(k) Employer Account Termination Fee	\$100.00	Per transaction

<sup>2</sup> Alternative Investment Annual Maintenance Fee - \$35.00 per CUSIP up to a maximum of \$105.00 per year.

<sup>3</sup> Inactive Account Fee – Not charged to accounts that execute one qualifying trade during the year.

<sup>4</sup> Voluntary Reorganization – Only if proceeds from the reorganization exceed \$500.00

<sup>5</sup> Outgoing Account Transfer – Excludes Prototype retirement accounts

<sup>6</sup> Foreign Securities Transfer – Additional fees will be passed through if incurred

# Brokerage Account Fee Schedule



<b>Prototype Retirement Accounts, <i>continued</i></b>		
Keogh & 401(k) Employer Account Setup	\$35.00	Per account
Keogh & 401(k) Employee Account Maintenance	\$30.00	Annually
Keogh & 401(k) Employee Account Termination Fee	\$100.00	Per transaction
<b>Capital Access (Check Writing &amp; Debit Card)</b>		
Standard Account Annual Fee	\$150.00	Annually
Premium Account plus Rewards Program	\$300.00	Annually
Standard Check Reorder	Waived	
Insufficient Funds	\$35.00	Per transaction
Stop Payment	Waived	
<b>Alternative Investments</b>		
New Product Review Fee	Waived	
Transfers Incoming & Outgoing	Waived	
Annual Maintenance Fee <sup>7</sup>	\$100.00	Annually per CUSIP, per account

## Pershing

Description	Amount	Frequency
<b>Account Service Fees</b>		
Outgoing Wire Transfer	\$25.00	Per transaction
ACH Transfers	Waived	
Trade Confirmation Postage & Handling	\$5.65	Per trade
Inactive Account Fee <sup>8</sup>	\$25.00	Annually
Check Disbursement Stop Payment	\$30.00	Per transaction
Return or Bounced Check Deposit	\$20.00	Per transaction
Express Mail Overnight Charge	\$15.00	Per transaction
Express Mail Overnight Charge – Retirement Accounts	\$12.00	Per transaction
Physical Certificate Reorganization	\$25.00	Per certificate
Voluntary Reorganization	Waived	
Cashless Stock Option Exercise	\$50.00	Per transaction
Margin Mailgram	Waived	
Margin Extension	\$10.00	Per extension
Paper Surcharge for Trade Confirmations & Statements <sup>9</sup>	\$0.75	Per document
<b>Securities Transfers</b>		
Outgoing Account Transfer <sup>10</sup>	\$95.00	Per transfer
Transfer & Ship Physical Certificate <sup>11</sup>	\$225.00	Per certificate
Accommodation Transfer & Ship	\$225.00	Per certificate
DRS Transfer	Waived	
Foreign Securities Transfer <sup>12</sup>	Pass through as incurred	Per transaction

<sup>7</sup> Alternative Investment Annual Maintenance Fee – Only charged if the security is held in certificate form.

<sup>8</sup> Inactive Account Fee – Not charged to accounts that execute one qualifying trade during the year. If the account is Mutual Fund only, the fee is \$12.50.

<sup>9</sup> Paper Surcharge - If you are enrolled in e-delivery for trade confirmations and statements, there is no paper statement surcharge.

<sup>10</sup> Outgoing Account Transfer – Excludes Prototype retirement accounts

<sup>11</sup> Transfer & Ship – Pershing will no longer request physical certificates be issued if the security is DRS eligible

<sup>12</sup> Foreign Securities Transfer – Additional fees will be passed through if incurred.

# Brokerage Account Fee Schedule



<b>Securities Transfers, <i>continued</i></b>		
Foreign Security Receives & Delivers	Pass through as incurred	Per transaction
Legal Transfer	\$90.00	Per transaction
Legal Return / Rejection	Waived	
Restricted Stock	\$130.00 / \$180.00	Basic / Full Service per transaction
<b>Securities Safekeeping</b>		
Customer Name Safekeeping	\$5.00	Monthly per certificate
Foreign Securities Safekeeping	\$5.00	Monthly per certificate
<b>Prototype Retirement Accounts</b>		
IRA, SEP, Coverdell & IRS model SEP IRA's maintenance	\$43.50	Annually
Mutual Fund Only IRA & QRP maintenance	\$12.00	Annually
SIMPLE IRA's, 403(b)(7), 401(k) & Keough maintenance	\$58.50	Annually
Individual 401(k) Setup Fee	\$75.00	Per account
Individual 401(k) Maintenance	\$75.00	Annually
Individual 401(k) Distribution Fee	\$50.00	Per transaction
Individual 401(k) Termination & Transfer	\$95.00	Per transaction
Roth Conversion	\$50.00	Per transaction
Mixed Asset to Mutual Fund Only IRA conversion	\$50.00	Per transaction, per account
Retirement Account Termination Fee	\$95.00	Per transaction
<b>Corestone (Check Writing &amp; Debit Card)</b>		
Silver Account Maintenance <sup>13</sup>	\$25.00	Annually
Silver Plus Maintenance	\$50.00	Annually
Gold Account Maintenance	\$100.00	Annually
Gold Corporate Account Maintenance	\$150.00	Annually
Platinum Account Maintenance	\$150.00	Annually
Platinum Corporate Account Maintenance	\$250.00	Annually
Corestone Standard Check Re-Order	\$12.50/\$10.00/\$7.50	Silver/Gold/Platinum, per box
Stop Payment <sup>14</sup>	\$25.00	Per transaction
Insufficient Funds	\$25.00	Per transaction
Check Copies	\$2.50	Per check copy
<b>Alternative Investments</b>		
New Product Review Fee	\$1,200.00	Per CUSIP (approved or rejected)
Transfers Incoming & Outgoing	\$50.00	Per CUSIP, per account
Annual Maintenance Fee	\$35.00	Annually per CUSIP, per account

<sup>13</sup> Silver Account Maintenance – Waived for accounts that have \$25,000 or more in average month end closing cash sweep balances

<sup>14</sup> Stop Payment – Platinum Corestone account stop payment fees are waived

# Brokerage Account Fee Schedule

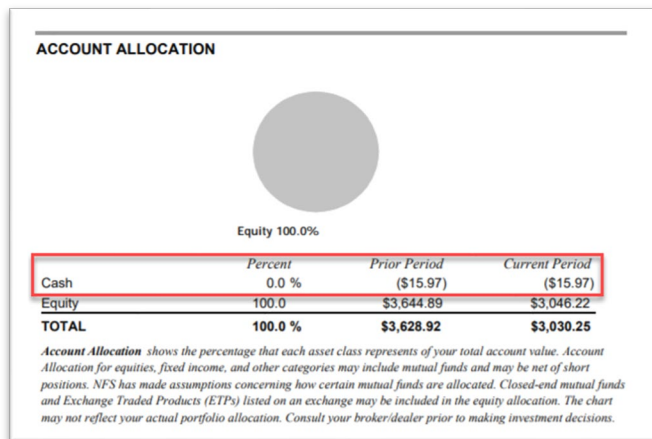


## Cash Debit Interest

### National Financial Services

You may locate cash debits in the Asset Allocation section (commonly found on page 2). Cash debits are presented as a negative balance in the **Cash** line item.

Cash debit balances accrue interest daily at the **National Financial Services Base Lending Rate (NFBLR) + 3% APR**. For the current NFBLR rate, please contact your Financial Professional.



### Pershing

You may locate a cash debit in the Asset Summary section (commonly found on page 1). Cash debits are presented as a negative balance in the **Cash, Money Funds and Bank Deposits** line item.

Cash debit balances accrue interest daily at the **Pershing Base Lending Rate (PBLR) + 1.62% APR**. You may find the current PBLR at <https://www.pershing.com/rates> or contact your Financial Professional.

**Asset Summary**

Percent	Asset Type	Last Period	This Period
100%	Mutual Funds	61,222.22	50,918.88
0%	Cash, Money Funds, and Bank Deposits	-136.12	-179.62
100%	<b>Account Total</b>	<b>\$61,086.10</b>	<b>\$50,739.26</b>

Please review your allocation periodically with your Account Executive. Pie Chart allocation only includes products that are of positive value. Your Account is 100% invested in Mutual Funds.

### Raymond James

You may locate a cash debit in the Your Portfolio section. Cash debits are presented as a negative **CASH** balance. You may find the current Raymond James Cash Debit Rate at <https://www.raymondjames.com/wealth-management/why-a-raymond-james-advisor/client-resources/market-numbers/lending-rates>.

These charges are aggregated and billed through settlement month-end and will be charged at the highest prevailing margin loan rates. Only interest calculated greater than or equal to \$10.00 that period will be charged.

**Your Portfolio**

For more information, visit [raymondjames.com/clientaccess](https://www.raymondjames.com/clientaccess)

	Quantity	Price	Value	Gain or (Loss) <sup>o</sup>	Estimated Annual Income
<b>Cash &amp; Cash Alternatives</b>					
CASH			\$(17.18)		
<b>Cash &amp; Cash Alternatives Total</b>			<b>\$(17.18)</b>		<b>\$0.00</b>

# Brokerage Account Fee Schedule



## Accrued Cash Debit:

Cash debit balances incurred by fees or unpaid trades must be resolved promptly. If the debit balance in your account is not resolved after 30 calendar days, Cantella & Co., Inc., your Financial Professional or the clearing firm where your account is carried, may sell marketable securities to cover the debit balance to prevent the cash debit from accumulating further. Please contact your Financial Professional with any questions.

## Additional Disclosures:

- Please note that the fees above do not include commissions, advisory fees and margin.
- All charges are subject to change if vendor charges change or in extraordinary circumstances.