



Client Services Fee Schedule

Checking & Debit Card Fees	
Advantage Account—Basic (check writing only)	No annual fee
Advantage Account—Standard (debit card)	\$125 annual fee
Check Orders—Individual	
Initial order-standard wallet (40 checks)	Free
Re-order standard wallet (150)	\$9
Initial order-standard duplicate (150 checks)	\$20
Re-order standard duplicate (150)	\$20
Check Orders—Corporate	
Initial order (Three to a page) 300 checks	\$58
Re-order (Three to a page) 150 checks	\$43.50
Misc. Other Fees—Advantage Account	
Deposited item returned	\$10 per item
Insufficient funds	\$20
Stop payment order	\$15
Returned Checks	\$25
Prepayment on sale (payment prior to settlement date)	Margin Rate with \$15 Minimum
Check research	\$5 each
Check copies	Three free copies per month; \$15 each over 3
Client Online Access to account	No Charge
ATM Transaction	No internal service fee
Overnight Express Mail	\$15
Transfer Fees (any additional transfer agent fees are passed on at cost)	
Account Transfer to another broker/dealer (ACAT only)	\$95
Physical Certificate Issuance (shares re-registered and mailed to the client)	\$125 (\$200 rush order)
Rejection of ineligible physical certificates presented for deposit	\$50
Foreign securities (order out)	\$250 per security (pass on fee)
Rush withdrawal registration (3-5 business days)	\$100
Customer name safekeeping	We no longer offer accounts to be opened or changed to “Register & Hold” or “Register & Ship.”
Postage & handling	\$4
Lost Certificate Replacement	
If reported within 90 days	No charge
If reported after 90 days	\$50 plus transfer bonding (usually 3% of market value)
Mutual Funds	
Ticket charge	\$10 per trade
No Load Accommodation Fee	\$25
Wire Transfer Funds	
Domestic	\$15 per wire
International	\$25 per wire
Retirement Account Fees	
IRA Custodial Fee- Annual Maintenance	\$35
IRA Custodial Fee-Termination Fee	\$95
Qualified Retirement Plans- Standard Set up Fee	\$250
Qualified Retirement Plans-Non-standard Set up Fee	\$250
Qualified Retirement Plans-Annual Maintenance	\$150

Annual Inactive Account Fees	
Custodial Accounts	\$30
All other accounts (excluding IRAs, Advantage Standard with debit card, and managed accounts)	\$50

Margin Interest Rates	
<u>Debit balance:</u>	<u>Interest charged:</u>
\$1 - \$10,000	Prime rate + 1.25%
\$10,000.01 - \$20,000	Prime rate + 1.00%
\$20,000.01 - \$30,000	Prime rate + 0.75%
\$30,000.01 - \$50,000	Prime rate + 0.50%
\$50,000.01 - \$100,000	Prime rate
\$100,000.01 and over	Prime rate – 0.50%

* With any of the client services items listed above, there may be certain instances where additional fees apply and will be charged and priced based on the situation.

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