



Schedule of Fees

Member FINRA and SIPC

Effective 7/1/2010

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|--|-------|
| Accommodation and Legal Transfers | \$90 |
| Account Transfers | \$60 |
| Direct Registration System (DRS) Transfers | \$10 |
| Annual Custody ¹ | \$50 |
| Legal Transfer Returns | \$60 |
| Mailgrams | \$5 |
| Physical Reorganization | \$36 |
| Physical Safekeeping of Securities, per certificate, per month | \$5 |
| Returned Check | \$20 |
| Retail Confirmation | \$8 |
| Stop Payment | \$15 |
| Trade Extensions | \$12 |
| Transfer & Ship – non-DRS Eligible | \$220 |
| Wired Funds | \$20 |

Asset Management Account Fees

Annual Fees

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|--|--------|
| Brokerage Access (check writing) | Waived |
| Brokerage Access with Debit Card | \$50 |
| Brokerage Portfolio with Gold Debit Card | \$100 |
| Brokerage Portfolio with Platinum Debit Card | \$150 |

Retirement Account Fees

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|---------------------|------|
| Annual Custodial | \$35 |
| Account Termination | \$75 |
| Wired Funds | \$15 |

Important Disclosures

Additional fees may apply depending on the type of services offered. Please contact your Investment Representative for further information.

¹The Annual Custody fee is assessed on each account which holds a position, and for which there has been no trading activity during the prior calendar year. Transactions such as Mutual Fund PIPs/SWPs, Exchanges, NTFs as well as equity dividend reinvestment and margin interest are considered trading activity. This fee will be charged in January following the calendar year of no activity. The parameters for this fee are subject to review at any time.