

Brokerage Account Fee Schedule*



Rebillables	Amount	Charged When...
Bounced Checks	\$15.00	A client check is returned due to insufficient funds
Stop Payments	\$15.00	A stop payment is requested on a check sent from a brokerage account
Overnight Delivery	\$15.00	A package is sent overnight to recipient
Legal Transfers	\$150.00	Paper certificates are deposited and require additional paperwork
Legal returns	\$75.00	A paper certificate is sent back to the client due to lack of additional paperwork
TOA Delivery	\$50.00	A non-retirement brokerage account transfers to another firm
IRA Maintenance Fee	\$35.00 / year	A client maintains a retirement brokerage account
IRA Closing Fee	\$125.00	A client closes a retirement brokerage account
HSA Closing Fee	\$25.00	A client closes a HSA account
Physical Reorganizations	\$150.00	Paper certificates are deposited after mandatory reorganization such as a merger
Transfer and Ship (Non-DRS Eligible)	\$500.00	A new paper certificate is sent to the client
(DRS Eligible)	\$15.00	
Select Access	\$10.00 / year ACH + Bill Pay	+\$5.00 / year Checkbook; +\$5.00 / year Debit Card
Premier Access	\$100.00 / year	
Alternative Investment Fee		
Registered	\$35.00 per CUSIP per year	Capped at \$500 per account
Non-Registered	\$125.00 per CUSIP per year	Capped at \$500 per account
Transfer/Re-register	\$50.00	
Wire	\$15.00	A wire is sent from a client's account
Mailgram	\$5.00	A letter is sent to a client notifying them of non-payment for a trade
Trade Extension	\$12.00	A client requests additional time to pay for a trade
Inactivity Fee	\$35.00	A client does not have activity in a brokerage account in a calendar year

Trade Ticket Charges

Mutual Fund Buy/Sell/Exchange	\$12.50	
NTF Fund Buy/Sell/Exchange	\$2.50	
<i>Mutual Fund Surcharge</i>	\$10 in addition to Trade Ticket	Zero Paying CUSIPs (ZPCs)
Stock/ETF	\$10.00	Listed Stock/ETF's - add \$0.02 per share
Bonds	\$16.00	Listed Bond - add \$1.25 per bond
Options	\$10.00	+ \$1.50 / Contract
Precious Metals	\$45.00	
Alternative Investment Transactions	\$50.00	

Other

Margin Rates	NFBLR + 50 Bps	National Financial Base Lending Rate plus .5%
Safekeeping	\$15 / Month	Assets that are not eligible to be held through DTC (Depository Trust Company) Retirement accounts holding Master Limited Partnerships (MLPs) and Limited Partnerships (LPs)
IRS 990-T Tax Filing	\$75.00	

*This schedule applies to brokerage accounts with BCH prefix only, all other accounts should reference the Wrap Fee Disclosure which details fees associated with advisory accounts.

This schedule may be updated periodically as dictated by the fees imposed by our clearing firm National Financial Services.

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