

Client Brokerage Account Service Fees

Account Service Fees	Amount	Frequency
Annual Qualified Plan Maintenance Fees		
Traditional IRA, Rollover IRA, Roth IRA, Beneficiary Distribution Account IRA, SEP IRA (Mutual Fund Advantage)	\$10.00	Annual
Traditional IRA, Rollover IRA, Roth IRA, Beneficiary Distribution Account IRA, SEP IRA, SIMPLE IRA Prototypes (Non-Mutual Fund Advantage)	\$35.00	Annual
Profit Sharing, Money Purchase Pension, Roth Individual 401(k) and Individual 401(k) Plan Prototypes	\$35.00	Annual
HSA (Health Savings Account)	\$35.00	Annual
Transfer Fees		
Outgoing Account Transfer Fee	\$125.00	Per Event
DRS (Direct Registration System) Transfer	\$20.00	Per Event
Transfer & Ship (Non-DRS Eligible)	\$550.00	Per Event
General Account Maintenance Fees		
Inactive Account Fee - Retail Brokerage Accounts	\$50.00	Annual
Quarterly Paper Document Fee	\$5.00	Quarterly
Retirement Account Termination	\$125.00	Per Event
Fed Funds Wire Transfer	\$20.00	Per Event
Overnight Delivery	\$20.00	Per Event
Check Stop Payment	\$20.00	Per Event
Insufficient Funds (Return Check/ACH Debit)	\$25.00	Per Event
Share Class Conversion Fee	\$4.00	Per Event

Account Service Fees	Amount	Frequency
Physical Certificate Fees		
Certificate Safekeeping (per Certificate)*	\$20.00	Monthly
Legal Transfer	\$200.00	Per Event
Legal Return	\$100.00	Per Event
Physical Reorganization	\$200.00	Per Event
Margin Fees		
Trade Extension	\$15.00	Per Event
Mailgrams	\$10.00	Per Event
Select Access Check Writing Fees		
Cash Management Capable (ACH + Bill Pay)	\$10.00	Annual
Add debit card to Cash Management	\$5.00	Annual
Add a checkbook to Cash Management	\$5.00	Annual
Non-Business Check Book Fee	None	N/A
Business Check Book Fee	\$35.00	Per Event
ATM Fee	\$1.00	Per Event
Check Return Fee	\$15.00	Per Event
Copy of Check	\$2.50	Per Event
Bill Pay Insufficient Fund Fee	\$20.00	Per Event
Share Class Conversion Fee	\$4.00	Per Event
Premier Access Annual Fee	\$100.00	Annual
Metal Card	\$10.00	Annual
Non-Business Check Book Fees	None	N/A
Business Check Book Fees	\$35.00	Per Event
Check Return Fee	\$15.00	Per Event
Copy of Check	\$2.50	Per Event
Bill Pay Insufficient Fund Fee	\$20.00	Per Event
Bill Pay Copy of Check Fee	\$20.00	Per Event

*Covers deposit, custody, and withdrawal.

Trading Fees	Commission and Fees	Frequency
Equities or Exchange Traded ETFs - \$1,000 and greater	\$30.00	Per Trade
Equities or Exchange Traded ETFs - \$0 - \$999.99	\$19.50	Per Trade
Fixed Income (Muni, Corporate Bonds, Government Bonds)	\$30.00	Per Trade
Activity Assessment Fee	From \$0.01 to \$0.03 per \$1,000.00 of principal	Per Sell
Mutual Funds	Commission and Fees	Frequency
A Share and C Share Mutual Funds	Concession fee/Front Sales Load	Per Buy
Mutual Fund Advantage (MFA)	Concession fee/Front Sales Load	Per Buy
Mutual Fund Exchange	\$5.00	Per Sell
Mutual Fund No-Load	\$40.00	Per Trade
No Transaction Fees Mutual Fund (NTF)	N/A	Per Trade
HSA Account liquidation	\$25.00	Per Event
UIT	Commission and Fees	Frequency
UIT Sales Load (Waived on Buy)	N/A	Per Trade
UIT Sales Load (Not Waived on Buy)	Buy - Sales Load assessed/No Transaction Fee. Deferred Sales Charge assessed if sold before the end of the Deferred Sales Charge period.	Per Trade

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