

Brokerage Account Fee Schedule



National Financial Services

Description	Amount	Frequency
Account Service Fees		
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 ¹	\$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
Securities Transfers		
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
Securities Safekeeping		
Customer Name Safekeeping	\$5.00	Monthly per certificate
Foreign Securities Safekeeping	Waived	
Prototype Retirement Accounts		
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
Asset Management Accounts (Check Writing & Debit Card)		
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

¹ 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
Asset Management Accounts (Check Writing & Debit Card), <i>continued</i>		
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
Alternative Investments		
New Product Review Fee	\$100.00	Per CUSIP (approved or rejected)
Transfers Incoming & Outgoing	\$50.00	Per CUSIP, per account
Annual Maintenance Fee ²	\$35.00	Annually per CUSIP, per account

Raymond James

Description	Amount	Frequency
Account Service Fees		
Outgoing Wire Transfer	\$25.00	Per transaction
ACH Transfers	Waived	
Trade Confirmation Postage & Handling	\$5.65	Per trade
Inactive Account Fee ³	\$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 ⁴	\$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
Securities Transfers		
Outgoing Account Transfer ⁵	\$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 ⁶	\$150.00	Per transaction
Legal Transfer	Waived	
Legal Return / Rejection	\$80.00	Per transaction
Restricted Stock Transfer	Waived	
Prototype Retirement Accounts		
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

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

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

⁴ Voluntary Reorganization – Only if proceeds from the reorganization exceed \$500.00

⁵ Outgoing Account Transfer – Excludes Prototype retirement accounts

⁶ Foreign Securities Transfer – Additional fees will be passed through if incurred

Brokerage Account Fee Schedule



Prototype Retirement Accounts, <i>continued</i>		
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
Capital Access (Check Writing & Debit Card)		
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	
Alternative Investments		
New Product Review Fee	Waived	
Transfers Incoming & Outgoing	Waived	
Annual Maintenance Fee ⁷	\$100.00	Annually per CUSIP, per account

Pershing

Description	Amount	Frequency
Account Service Fees		
Outgoing Wire Transfer	\$25.00	Per transaction
ACH Transfers	Waived	
Trade Confirmation Postage & Handling	\$5.65	Per trade
Inactive Account Fee ⁸	\$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 ⁹	\$0.75	Per document
Securities Transfers		
Outgoing Account Transfer ¹⁰	\$95.00	Per transfer
Transfer & Ship Physical Certificate ¹¹	\$225.00	Per certificate
Accommodation Transfer & Ship	\$225.00	Per certificate
DRS Transfer	Waived	
Foreign Securities Transfer ¹²	Pass through as incurred	Per transaction

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

⁸ 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.

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

¹⁰ Outgoing Account Transfer – Excludes Prototype retirement accounts

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

¹² Foreign Securities Transfer – Additional fees will be passed through if incurred.

Brokerage Account Fee Schedule



Securities Transfers, <i>continued</i>		
Foreign Security Receives & Delivers	Pass through as incurred	Per transaction
Legal Transfer	\$90.00	Per transaction
Legal Return / Rejection	Waived	
Restricted Stock (includes Legal Transfer)	\$130.00 / \$180.00	Basic / Full Service per transaction
Securities Safekeeping		
Customer Name Safekeeping	\$5.00	Monthly per certificate
Foreign Securities Safekeeping	\$5.00	Monthly per certificate
Prototype Retirement Accounts		
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
Corestone (Check Writing & Debit Card)		
Silver Account Maintenance ¹³	\$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 ¹⁴	\$25.00	Per transaction
Insufficient Funds	\$25.00	Per transaction
Check Copies	\$2.50	Per check copy
Alternative Investments		
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

Additional Disclosures:

- Please note that the fees above do not include commissions, advisory fees, margin and cash debit interest charges.
- All charges are subject to change if vendor charges change or in extraordinary circumstances.
- Cash debit balances incurred by fees must be resolved promptly. If the debit balance is not covered after 45 calendar days, Cantella & Co. Inc. or the clearing firm where your account is carried, may sell marketable securities to cover the debit balance.

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

¹⁴ Stop Payment – Platinum Corestone account stop payment fees are waived