

Client Fee List as of MARCH 1,
2020

Fee Description	Total Fee	Fee Basis
Overnight Delivery (UPS)	\$50.00	per item
International Delivery (UPS)	\$150.00	per item
DWAC charge	\$100.00	per item
DWAC Reject charges	At Cost	per item
Client Foreign Financial Intermediary (Omnibus) Due Diligence Review Fee	\$1,000.00	\$200 / hr. over 5 hrs.; per account
Safekeeping /Reconciliation/ Vault Fee	\$100.00	Per year (charged quarterly)
Re-registration of Stock or Alternative Investment	\$125.00	Costs
Clearance or Transfer of Restricted Stock	\$200.00	Costs
Certificate request OTC	\$1,500.00	per certificate
Rush Withdrawal OTC	\$250.00	additional
Penny stock re-registration w/agent (Domestic)	\$500.00	per certificate
Penny stock re-registration w/agent (Canadian)	\$1000.00	per certificate
Rejected deposits DTC or agent	\$200.00	per certificate
Transfer agent charges	At Cost	Per item
Lone Positions (Sub penny Book Entry)	\$0.00	per share, monthly basis
AXOS Assisted Dividend Posting (Asset Not held at AXOS)	\$25.00	per item
IRA Annual Custodial Fee	\$80.00	per plan
Transfers (including transfer of Roth to/from Traditional IRA)	\$100.00	per transfer
limited Partnerships/ AIP	\$125.00	per position annually charge quarterly
Termination Fee	\$100.00	per plan
Certificate Deposit	\$50.00	Per position / per customer
Cashless Stock Options	\$35.00	1%of proceeds Plus Costs; per item
Reg-T Extension	\$75.00	per extension
TOD Distributions	\$250.00	per distribution
Prepayment of Unsettled Funds	\$30.00	Interest
ACAT-Non-ACAT (Full or Partial) Transfer (Transfer Out) plus Free Delivery charge for each position	\$100.00	per account
Voluntary Tender / Exchange Offer/ Bond Puts	\$45.00	per election
Bond Redemption/Conversion. (Physical Only)	\$75.00	Plus, costs
Worthless securities processing charges	\$40.00	per security processed
Mandatory Reorg Corporate Actions	\$25.00	per account
Dividend Reinvest	\$1.00	per dividend reinvestment entry
Cash Dividend Outgoing, Check	\$10.00	per check
Cash Dividend Outgoing, ACH	\$0.25	per ACH
Manual Options Exercise Request	\$50.00	per request
Handling (charge to customer)	\$8.50	
Physical Settlements	\$150.00	Plus, Costs
Free Deliveries DTC	\$35.00	per security
NY Window / Physical Delivery	\$50.00	per security
Trades Settled Same-Day (Cash Trades)	\$25.00	per trade
Transferring In & Out / Physical Certificates (Foreign)	\$250.00	Costs
Foreign Custody Fee	2.5 bps Annually **Subject to Market Change	per security, charged monthly
Stop Payments	\$35.00	per check
Returned Checks	\$50.00	per check
Photocopies of Checks	\$5.00	per check
Returned ACH Items	\$35.00	per return
Wire, Domestic (Outgoing)	\$30.00	per wire
Wire, International (Outgoing)	\$85.00	per wire
Wire Research Requests/ Service Messages	\$50.00	per request
Foreign Currency Conversions	\$50.00	per conversion
Foreign Currency Transaction Postings	\$25.00	per posting
Check Writing Stop Payment	\$35.00	per stop
CCPA Check Writing and Platinum Card	\$100.00	per year