

Below is a list of fees that may be charged to your account with Phoenix Financial Services that is custodied at AXOS customer handling, commissions or any other trade related fee as those fees are disclosed on each trade confirmation. "at cost", "prorated", "interest charged", or that provide a range as a guideline, the fee listed is the highest amount that may change at any time as permitted by applicable regulations and the terms of the clearing agreement between Phoenix

Fee Description	Total Fee
Overnight Delivery (UPS)	\$50.00
International Delivery (UPS)	\$150.00
DWAC charge	\$100.00
DWAC Reject charges	
Client Foreign Financial Intermediary (Omnibus) Due Diligence Review Fee	\$1,000.00
Safekeeping / Reconciliation / Vault Fee	\$100.00
Re-registration of Stock or Alternative Investment	\$125.00
Clearance or Transfer of Restricted Stock	\$200.00
Certificate request DTC	\$1,500.00
Rush Withdrawal DTC	\$250.00
Penny stock re-registration w/agent (domestic)	\$500.00
Penny stock re-registration w/agent (Canadian)	\$1,000.00
Rejected deposits DTC or agent	\$200.00
Transfer agent charges	
Long Positions (Sub penny Book Entry)	\$0.00
AXOS Assisted Dividend Posting (Asset not held at AXOS)	\$25.00
IRA Annual Custodial Fee	\$80.00
Transfers (including transfer of Roth to/from Traditional IRA)	\$100.00
Limited Partnerships/AIP	\$125.00
Termination Fee	\$100.00
Certificate Deposit	\$50.00
Cashless Stock Options	
Reg.-T Extension	\$75.00
TOD Distributions	\$250.00
Prepayment of Unsettled Funds	\$30.00
ACAT – Non-ACAT (Full or Partial) Transfer (Transfer Out) plus Free delivery charge for each position.	\$100.00
Voluntary Tender/Exchange Offer/Bond Puts	\$45.00
Bond Redemption/Conversion (Physical Only)	\$75.00
Worthless securities processing charges	\$40.00
Mandatory Reorg Corporate Actions	\$25.00
Dividend Reinvest	\$1.00
Cash Dividend Outgoing Check	\$10.00
Cash Dividend Outgoing ACH	\$0.25

Manual Options Exercise Request	\$50.00
Handling (charge to customer)	\$8.50
Physical Settlements	\$150.00
Free Deliveries DTC	\$35.00
NY Window / Physical Delivery	\$50.00
Trades Settled Same-Day (Cash Trades)	\$25.00
Transfer In and Out/Physical Certificate (Foreign)	\$250.00
Foreign Custody Fee	
Stop payments	\$35.00
Returned Checks	\$50.00
Photocopies of Checks	\$5.00
Returned ACH Items	\$35.00
Wire, Domestic (Outgoing)	\$30.00
Wire, International (Outgoing)	\$85.00
Wire Research Requests / Service Messages	\$50.00
Foreign Currency Conversions	\$50.00
Foreign Currency Transaction Postings	\$25.00
Check Writing Stop Pays	\$35.00
CCPA Check writing and Platinum Card	\$100.00

Clearing. The list of fees does not include

With the exception of fees that are "pass through",
 it will be charged for the service provided. Fees
 in Financial Services and AXOS Clearing.

Fee Basis
per item
per item
per item
per item
\$200 / hr over 5 hrs; per account
per year (charged quarterly)
Costs
Costs
per certificate
additional
per certificate
per certificate
per certificate
per share, monthly basis
per item
per plan
per transfer
per position annually charge quarterly
per plan
per position/per customer
1% of proceeds Plus Costs ; per item
per extension
per distribution
interest
per account
per election
Plus Costs
per security processed
per account
per dividend reinvestment entry
per check
per ACH

per request
Plus Costs
per security
per security
per trade
Costs
per security; charged monthly
per check
per check
per check
per return
per wire
per wire
per request
per conversion
per posting
per stop
per year