



# SCHEDULE OF MISCELLANEOUS ACCOUNT AND SERVICE FEES

A COMPREHENSIVE GUIDE TO FEES CHARGED TO YOUR NFS ACCOUNT.

## RETIREMENT ACCOUNT FEES

Traditional IRA, Roth IRA, SEP IRA, Educational Savings Accounts	\$35.00/yr. (in arrears)
Profit Sharing, Individual K and Money Purchase Prototypes "Premiere Select Retirement Plans"	\$35.00/yr.
DirectChoice Mutual Fund Only IRA	\$0
Account Termination	\$125.00/transaction

## CHECKING FEES ASSESSED TO CLIENT ACCOUNTS

Select Access Account (ACH and Bill Pay)	\$10.00/yr.
Select Access Account (Checking Upgrade)	\$5.00/yr.
Select Access Account (Visa Debit Card Upgrade)	\$5.00/yr.
Premier Access Account (ACH, Bill Pay, Checking, Visa Debit Card, and Cost-basis Detail)	\$120.00/yr.
Premier Select IRA (Checkbook Reorder)	\$5.00/order
Premier Select IRA / Select Access / Premier Access Check Copy	\$2.50/check
Premier Select IRA / Select Access / Premier Access Return Check	\$15.00/check
Premier Select IRA / Select Access / Premier Access Stop Payment	\$10.00/check

## ACCOUNT SERVICE FEES

Inactive Account Fee (Retail Accounts)	\$50.00/yr. <sup>1</sup>
Inactive Account Fee (DirectChoice)	\$0
Cost Basis Tracking	\$0
Alternative Investment (Transfer/Re-registration)	\$50.00/transaction
Alternative Investment (Registered Products)	\$35.00/yr. (\$500.00/account max/yr.)
Alternative Investment (Unregistered Products)	\$125.00/yr. (\$500.00/account max/yr.)
IRS 990-T UBTI Tax Filing	\$300.00/CUSIP
Standard Overnight Check Delivery	\$20.00/transaction
Saturday Overnight Check Delivery	\$40.00/transaction
Outgoing Wire Transfer Fee	\$25.00 <sup>1</sup>
Insufficient Funds (Return Check/ACH Debit)	\$35.00/transaction <sup>1</sup>
Check Stop Payment Fee	\$25.00

<sup>1</sup> Securities America adds an additional amount ("markup") on fees imposed by NFS.

**TRANSACTIONAL CHARGES**

Outgoing Account Transfer Fee (Non-retirement)	\$150.00/transaction <sup>1</sup>
Termination of Account (Non-retirement)	\$0
Options Assignment	\$25.00/transaction
Margin/Regulation T Extension	\$25.00/transaction
Physical Reorganization	\$20.00/transaction <sup>1</sup>
Legal Transfer	\$60.00/transaction <sup>1</sup>
DRS (Direct Registration System) Transfer	\$10.00/transaction
Accommodation Transfer/Transfer and Ship Certificate	\$60.00/transaction <sup>1</sup>
Cash Due Interest	Current applicable rate/mo. <sup>1</sup>
Transaction Fee (Regulatory fee assessed on proceeds from most equity and option sells transactions)	\$5.10/million as of 2/25/21
Options Regulatory Fee	\$0.03570/transaction as of 8/1/20
Third Party Check	\$15.00/check
Document Copy Fee	\$5.00 <sup>2</sup>
Trade Confirmation Fee (Brokerage Paper Confirm)	\$1.50 <sup>5</sup>
Trade Confirmation Fee (Brokerage eDelivery Confirm)	\$0
Trade Confirmation Fee (Advisory Paper Confirm)	\$1.50 <sup>4</sup>
Trade Confirmation Fee (Advisory eDelivery Confirm)	\$0
Trade Confirmation Fee (Paper Prospectus Fee)	\$1.50 <sup>5</sup>
Surcharge Fee (charged on select Mutual Funds in addition to standard trading fee)	\$10.00

**MARGIN ACCOUNTS (RATES AS OF 11/20)<sup>3</sup>**

Debit Balance	Interest Rate
\$0 to \$9,999.99	NFBLR + 3.00% <sup>1</sup>
\$10,000.00 to \$24,999.99	NFBLR + 2.50% <sup>1</sup>
\$25,000.00 to \$99,999.99	NFBLR + 2.00% <sup>1</sup>
\$100,000.00 to \$499,999.99	NFBLR + 1.50% <sup>1</sup>
\$500,000.00 and above	NFBLR + 1.00% <sup>1</sup>

**TRADING FEES – INVESTMENT ADVISORY (UNWRAPPED PROGRAMS ONLY)<sup>4</sup>**

Mutual Funds	\$7.00/transaction
Mutual Fund PIP/SWP	\$0
Mutual Fund Exchange	\$0
No Transaction Fee (NTF) Funds	\$0
Listed Equities	\$7.00/transaction
OTC Equities	\$7.00/transaction
Options	\$7.00/transaction
Corp Listed Bonds	\$7.00/transaction

**TRADING FEES – BROKERAGE**

Contact your financial professional for information regarding commissions or transaction fees.

<sup>1</sup> Securities America adds an additional amount (“markup”) on fees imposed by NFS.

<sup>2</sup> A fee assessed by Securities America and not NFS.

<sup>3</sup> Contact your financial professional for current rates.

<sup>4</sup> Fee does not apply to electronic delivery or quarter confirm summaries.

<sup>5</sup> Paid for by financial professional and not assessed when sent electronically.

Specific client programs may have fees that vary. In these instances, please consult the client/account agreement for pricing schedule. All fees are assessed against cash or cash sweep in the account. If funds are not available to cover fees or activity-related debits, holdings sufficient to cover any outstanding debit may be liquidated by Securities America. Fees are subject to change and are depicted on a per account basis and are not prorated when an account is closed prior to its anniversary date. Not all fees may be shown or are applicable to all account types. Please speak with your investment professional for additional details.

Securities offered through Securities America, Inc., broker-dealer and member of FINRA and SIPC. Investment advisory services offered through Securities America Advisors, Inc. and/or Arbor Point Advisors LLC, registered investment advisers. Securities America, Inc., Securities America Advisors, Inc., and Arbor Point Advisors LLC are separately owned and other entities and/or marketing names, products or services referenced here are independent.