



Brokerage account commission & fee schedule

Standard Client Schedule
Revised February 2023

The listed fees do not include commissions, markups, commission equivalents or advisory fees. These fees apply to brokerage accounts held at Osaic Institutions. Some of these fees may not apply to all brokerage account types. Some of these fees may be waived under certain conditions.

Account or Service	Fee	Frequency
Equities		
Principal value		
\$500 and under	\$25	
Above \$500	The default commission is \$75 + (.75% of the transaction value of \$.55 per share, whichever is less) The maximum allowable commission is 5% of principal value	
Options		
Principal value		
\$800 and under	\$40	
\$800.01 - \$2,999.99	\$40 + 2.5% (cannot exceed 5% of principal value)	
\$3,000 and over	\$40 + 2.0% (cannot exceed 5% of principal value)	
Maximum	\$40	Per contract
Minimum	\$4	Per contract
Exercise and assignment		
Currency options	\$300	Per notification

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Other	\$25	Per notification
Mutual funds		
Mutual fund redemption (loaded)	\$13	Per transaction
No load mutual funds	\$13	Per transaction*
Loaded mutual funds	Per prospectus	Per transaction

**Some companies charge an additional \$10 surcharge*

Bonds, government securities, and other trade fees		
All bond/CD redemptions	\$10	Per transaction
Treasury, government, and agency issues	Varies	Per transaction
Listed corporate bonds	Varies	Per transaction
OTC corporate bonds	Varies	Per transaction
Municipal bonds	Varies	Per transaction
UITs	Per prospectus	Per transaction
Mortgage back/when issued	Varies	Per transaction
Alternative investments		
Purchases/redemptions	\$50	Per transaction
Re-registrations	\$50	Per event
Transfers	\$50	Per event
Special product maintenance fee (registered securities)	\$35	Per year
Special product maintenance fee (non-registered securities) ¹	\$85	Per year

No ticket charges are levied when trades are executed direct with the fund company.

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¹ Osaic Institutions adds an additional amount (“markup”) on the fee imposed by Pershing.

ACCOUNTS CARRIED AT PERSHING LLC.

These are the standard commission charges. Actual charges could be less depending upon the circumstances of your transaction. Representatives have the discretion to lower the suggested commission as long as the commission charged falls within the parameters established by Osaic Institutions mutual funds, variable annuities and other products sold by prospectus have a stated commission or load amount which can be found in the prospectus.

Account or Service	Fee	Frequency
Account service fees		
Confirmation surcharge	\$1.50	Per physical confirmation
Margin extensions ¹	\$20	Per event
Voluntary cash tenders	\$50	Per event
Mandatory tenders ¹	\$10	Per event
Returned check/ACH	\$20	Per event
Stop payment ¹	\$10	Per event
Overnight check delivery, saturday ¹	\$12	Per event
Check copy (corestone)	\$2.50	Per check
Wired funds	\$25	Per wire
Inactive equity account ¹	\$50	Per year
Mutual fund only IRA conversion	\$50	Per event
Retirement account termination fee	\$95	Per event
Outbound transfer – non-retirement account ¹	\$150	Per event
Equity dividend reinvestment	\$1.00	Per investment (no fee for IRA accounts)
Customer name safekeeping charge	\$10	Per account, per position, per month
Certificate cancellation fee	Varies based on TA	Per transaction

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DRS transfer fee	\$15	Per transaction
Employee stock option exercise fee	\$50	Per event
DTC delivery	As incurred by Transfer Agent	Per event
DK item	\$10	Per item, per day
Account low balance fee ²	\$10 ³	

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Account or Service	Fee	Frequency
Custodial fees		
Qualified Plans	\$75 or \$125	Per year
Traditional, Roth, Education IRAs, and 5305 SEPs	\$43.50	Per year
Special Product Fee (Registered Securities)	\$35.00	Per year
Special Product Fee (Non-registered Securities)	\$85.00	Per year
UBTI Tax Filing	\$50	Per year
International clearing		
Eurobond Clearance ¹	\$50	Per transaction
All Other Foreign Securities	\$75	Per transaction

¹ Osaic Institutions adds an additional amount (“markup”) on the fee imposed by Pershing.

² A fee assessed by Osaic Institutions and not Pershing.

³ Low balance is accounts with a value less than \$100 and not enrolled in e-delivery, charged in June annually.

ACCOUNTS CARRIED AT PERSHING LLC.

Fees subject to change at any time. This schedule represents Osaic Institutions’ standard fees and expenses. Please note other fees may apply. Depending upon the circumstances, individual advisors may have the ability to negotiate lower fees and expenses for their clients.

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