

Fee schedule for services

Retirement accounts

Account set-up/annual fees

IRA	\$35
Money purchase/profit-sharing plans/Individual 401(k)	\$35

Termination fees

IRA	\$125
Money purchase/profit-sharing plans/Individual 401(k)	\$125

Annual custody and safekeeping fees for accounts below minimum threshold (brokerage only)

Per master account	\$375
Per additional account	\$125

Commission charges (brokerage only)

Principal amount commission charge for Option transactions

\$0.01 - \$2,499.99	\$30
\$2,500 - \$4,999.99	\$50
\$5,000 - \$19,999.99	\$70
\$20,000 - \$29,999.99	\$100
\$30,000 - \$49,999.99	\$135
\$50,000 +	\$175

Wire fees

Domestic/Foreign institution	\$35
IRA	\$15
Return check fees (NSF)	\$25
Overnight mail	\$20
Legal transfer fee (physical certificate)	\$90
DRS registration/ship DRS statement	\$10
Transit/ship certificate–non DRS eligible	\$220
Stop payment	\$15
Mailgram	\$5

Special service charges

Service fee – mutual funds*	\$20
Service fee – fixed income*	\$10
Service fee – equities and exchange traded funds (ETFs)*	\$5
Voluntary tender offer	\$40
Redemptions–customer name	\$25
Physical reorg	\$25
Account termination fee	\$95
Copies of statements	\$20
Third party checks	\$12
IRS Form 990-T UBTI Tax Return Filing Fee (only if filing is required)	\$300

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