

# 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

|                                  |       |
|----------------------------------|-------|
| \$ .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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