

	Brokerage		Investment Advisory			Frequency
	Standard Account	Fee Plus Transaction Charge Program	Standard Fee-Based Program	Low-Minimum Fee-Based Program		
MAINTENANCE AND TERMINATION FEES						
Retail (Non-Retirement) Account						
Inactivity						
Accounts with mixed assets	\$40	N/A	N/A	N/A	Annually, per account	
Accounts with mutual funds only	\$12	N/A	N/A	N/A	Annually, per account	
Account Close/Termination						
Termination fees do not apply to non-retirement (retail accounts).						
Fees do apply to accounts closing as a result of a full outgoing transfer.						
Outgoing Transfer - Full (entire account)			\$100		Per event	
Retirement Account						
IRA Maintenance - Mixed Assets			\$50		Invoiced annually, charged in arrears	
IRA Maintenance - Mutual Fund Only			\$12		Invoiced annually, charged in arrears	
Account Close/Termination - All Retirement Accounts			\$95		Account closing	
SARSEP/ Prototype SEP/Simple IRA/Qualified Retirement Plan Maintenance			\$50		Account setup, invoiced annually	
Change from a Mixed Assets to a Mutual Fund Only IRA			\$50		One-time event	
QRP and 403(b)(7) Loans			\$50		Per event	
Limited Partnerships, Private Placements, and other Special Products						
Subscription, Redemption, and Reregistration			\$50		Per event, per position	
Special Product Administration Fee - Registered Securities			\$35		Annually on or around April 1, per position for previous calendar year and upon transfer out	
Special Product Administration Fee - Unregistered Securities			\$125		Annually on or around April 1, per position for previous calendar year and upon transfer out	
Outgoing Transfer of Special Product - Registered Securities			\$35		Per position, per event, for previous and current calendar year	
Outgoing Transfer of Special Product - Unregistered Securities (per position)			\$125		Per position, per event, for previous and current calendar year	
Document Review to Determine Ability to Custody			\$300		Per review, regardless of outcome	
IRS 990-T UBTI Tax Return Filing			\$200		Per return filed, regardless of tax liability	
Physical Private Placement Settlement Fee			\$500		Per settlement	
ASSET CUSTODY AND MISCELLANEOUS PROCESSING ITEMS						
Checking Services						
Corestone Checking (for non-retirement accounts). Annual and other fees may apply. See						
Resource Checking (for IRA accounts). No annual fee applies. Other fees may apply. See						
Custody & Transfer						
Legal, GNMA, and Restricted Items			\$100		Per transfer + transfer agent charges	
Accommodation Transfer	\$75	\$75	\$75	\$75	Per event	
Register & Ship			Not Available			
DRS Transfer (Outgoing)			\$30		Per event	
DRS Transfer (Incoming) aka Direct Registration Fee (select Transfer Agents)			\$15		Per event	
As of the date of this fee schedule, includes Computershare, Wells Fargo, and Registrar and Transfer Company						
Transfer Agents subject to change without notice						
Stock Certificate Deposit (name(s) on certificate matches account title)			No Fee			
Stock Certificate Deposit (name(s) on certificate do not match account title)			\$100		Per CUSIP	
Stock Certificate - Foreign Securities			\$75 + Safekeeping		Per CUSIP	
Overnight Courier						
Standard Delivery			\$12		Per event	
Saturday Delivery			\$18		Per event	
Paper Surcharge (trade confirmation and statement)	\$1.25	\$1.25		N/A	\$1.25	Per physical delivery
Not applicable if account is enrolled in e-delivery						
Dividend Reinvestment			\$1		Per event	
Margin Extension (Reg T)			\$20		Per extension	
Reorganization - Voluntary			\$45		Per event	
Safekeeping, Domestic & Foreign			\$2		Per position, per month	
Wired Funds			\$30		Per event	
Tax-Lot and Portfolio Evaluation Services						
Cost Basis - Standard						
Retirement Accounts (Optional)			\$12		Account setup, annually	
Retail (Non-Retirement) Accounts (Not optional)	\$12	\$12		N/A	\$12	Account setup, annually
Online Performance Package			\$36		Account setup, annually	
Portfolio Performance Package w/ Quarterly Reports - Basic Package			\$75		Account setup, annually	
Portfolio Performance Package w/ Quarterly Reports - Full Package			\$125		Account setup, annually	

It is important to understand that we do have additional choices for resolving unsatisfied obligations. Like many other securities brokers, we reserve the right to sell or otherwise use assets in an account to discharge any obligations the account owner(s) may have to us (including un-matured and contingent obligations), and to do so without further notice or demand. For example, if you have bought securities but have not paid for them, we may sell them ourselves and use the proceeds to settle the purchase.