

COMMISSION SCHEDULE & ACCOUNT TRADING FEES

	Brokerage	Investment Advisory			DVP/RVP
	Standard Account	Fee Plus Transaction Charge Program ⁴	Standard Fee-Based Program ⁴	Low-Minimum Fee-Based Program ⁴	CODAccount
Equity					
Domestic Buy/Sell Under \$5/share	\$25 + .05/share Max \$200	\$25 + .02/share Max \$200	N/A	N/A	\$25 flat (Sell orders only; Buy orders not permitted)
Domestic Buy/Sell \$5/share or Greater	\$25 + \$.05/share	\$25 + \$.02/share	N/A	N/A	\$25 flat (Sell orders only; Buy orders not permitted)
International Buy/Sell	\$75 + \$.05/sh	\$75 + \$0.02/sh	N/A	N/A	N/A
Mutual Funds					
Buy/Sell	Varies ¹	\$20	N/A	N/A	N/A
Exchange	\$3	\$3	N/A	N/A	N/A
Systematic Exchange Instructions	\$3	\$3	N/A	N/A	N/A
Options Contracts					
	\$30 + \$1/contract	\$30 + \$1/contract	N/A	N/A	N/A
Fixed Income - Primary Issues					
Bonds (Corporate, Treasury, Municipal)	Varies ¹	\$40 + \$1/bond	N/A	N/A	N/A
Certificate of Deposit	Varies ¹	\$40	N/A	N/A	N/A
Unit Investment Trust	Varies ¹	\$40	N/A	N/A	N/A
Fixed Income - Secondary Issues					
Bonds (Corporate, Treasury, Municipal)	0%-2.5% ²	\$40 ³	N/A	N/A	N/A
Zero Coupon Bonds	0%-1% ²	\$40 ³	N/A	N/A	N/A
Certificate of Deposit	0%-2.5% ²	\$40 ³	N/A	N/A	N/A
Associated Trading Fees					
Trade Confirmation Service Charge	\$4	\$4	N/A	N/A	N/A
Margin Extension Fee (Reg T)	\$20	\$20	N/A	N/A	N/A
Paper Surcharge (Physical delivery of trade confirmation). Not applicable for accounts enrolled in e-delivery.	\$1.25	\$1.25	N/A	\$1.25	N/A
Transaction Fee (Regulatory)	pass-thru	pass-thru	N/A	N/A	N/A

¹ Commission varies by fund family or offering. See prospectus or offering circular for details.

² For Zero Coupon Bonds, based on time period and principal invested.

² For all bonds other than Zero Coupon bonds, based on face value of the transaction.

³ Asset must be designated as advisory eligible.

⁴ Refer to Investment Advisory Client Services Agreement for asset-based fees

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.