

Account Fees and Charges for NFS Accounts

The following are fees and charges for accounts held through National Financial Services, LLC. These fees apply to general brokerage accounts and fee-based advisory accounts. Fees and charges are subject to change. Additional fees may apply for specific account features, such as checkwriting, debit or charge cards, and bill-pay services. Please refer to specific account documentation for further information.

Account Maintenance

Fee/Charge	Amount	Frequency
Inactive account fee	\$60	Annual
Retirement account fee	\$35	Annual
Alternative investment fee (registered products) - Charged per REIT/LP position (for a maximum of \$105 per account). Accounts that hold both registered and non-registered products will be subject to the per client maximum of \$500.	\$35	Annual
Alternative investment fee (non-registered products) - Charged per non-registered REIT/LP position in a brokerage/managed account (maximum of \$500 per account). Accounts that hold both registered and non-registered products will be subject to the per client maximum of \$500.	\$125	Annual
Postage fee - Assessed per trade for the processing, printing and mailing of customer confirmations. Investment Managed Solution (IMS) accounts are exempt from this fee	\$4.50	Per confirmation/ statement sent
Full retirement distribution fee - Processing fee associated when a client makes a full distribution out of a retirement account. In addition, the client will be charged the retirement account fee.	\$95	Per request
Full TOA delivery fee - Processing fee associated with a complete transfer and delivery of assets out of a National Financial Services (NFS) brokerage or managed account. If the account is a Premiere Select retirement account, the retirement account fee will be assessed, as well.	\$95	Per request
Legal return fee - Assessed when a stock certificate is returned to the client due to a "not in good order" status exceeding 45 days or for a return done at the client's request	\$125	Per request
Legal transfer fee - Assessed when a deposited stock certificate requires legal documentation	\$125	Per request
TOA delivery fee and shipment fee - Assessed with the transfer and delivery of a REIT/LP position in or out of a National Financial Services account. This fee will be charged to the client's account and cannot be passed to the advisor.	\$50	Per request

Cash Management Services

Fee/Charge	Amount	Frequency
Brokerage access	No fee	
Brokerage access/debit card	\$60	Annual
Brokerage access check reorders	\$5	Per reorder - 50 checks provided
Brokerage portfolio online bill center/debit card	\$125	Annual
Brokerage portfolio check reorders	No fee	
Brokerage access/portfolio returned-check fee	\$15	Per returned check
Brokerage access/portfolio stop-payment fee	\$10	Per stop-payment request

Cash Management Services (continued)

Fee/Charge	Amount	Frequency
Brokerage portfolio style 38 checks (business checks)	\$55	Per request
Overnight checks from brokerage or managed accounts	\$15	Per request
Returned check and stop-payment fee - Processing fee associated with checks deposited into National Financial brokerage/IMS account that are returned due to insufficient funds. In addition, stop payments on checks cut out of a brokerage/IMS account are also included.	\$25	Per request
Returned ACH payment	No fee	
Returned wire	No fee	
Wire transfer fee	\$25	Per request
Wire transfer fee - Premiere Select retirement accounts	\$15	Per request

Investment-Specific

Fee/Charge	Amount	Frequency
Mailgram fee - Processing fee for mailgram notification sent to address of record to notify client of a trade extension	\$10	Per request
Physical reorganization fee - Assessed when a stock certificate is deposited after the action date on a mandatory reorganization item	\$55	Per transaction
Restricted stock processing fee - Fee associated with the processing of restricted stock in order to make that position eligible for trading.	\$150	Per transaction
Safekeeping fee - A monthly fee per certificate charge for the physical custody of positions held. Safekeeping items include any positions held in Type 4 and Type 5.	\$8	Per security
Trade extension fee - Processing fee associated with trades settled one day or more beyond the settlement date	\$30	Per transaction
Transfer and ship fee - Processing fee for the re-registration and shipping of certificates/direct registration paperwork to customers who do not wish to hold their eligible stock positions in street name	\$275	Per request
Transaction Type	Ticket Charge*	
Mutual fund trades	\$15-45	Per transaction
Mutual fund PIPs and SWPs	No fee	
Equity/ETF trades	\$15-50	Per transaction
Foreign equity*	\$90-100	Per transaction
Fixed-income securities/CDs	\$14.50	Per transaction
UIT trades	\$35-39.50 (dependent on platform)	Per transaction
Option trades	\$20 + \$1.50 per contract	Per transaction
Alternative investments/DPP	\$50	Per transaction

*Ticket charges vary by platform and are not reflective of sales concessions or commission charged by your advisor.

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