

# Full service brokerage & investment advisory accounts

## Full service brokerage

### Stocks and ETFs<sup>1</sup>

Principal amount	Commission rate
\$0 - \$10,000	\$40 + .0110 of principal; but not less than \$47
\$10,001 - \$25,000	\$55 + .0075 of principal
\$25,001 - \$50,000	\$70 + .0055 of principal
\$50,001 - \$100,000	\$100 + .0040 of principal
\$100,001 and above	\$125 + .0025 of principal
Minimum commission	\$47 per transaction

- Multiple intraday executions of an order for the same stock in the same amount will be calculated as one order.

### Options<sup>1</sup>

Principal amount	Commission rate
\$0 - \$2,500	\$30 + .0240 of principal
\$2,501 - \$10,000	\$54 + .0140 of principal
\$10,001 and above	\$94 + .0080 of principal
Minimum commission	\$55 + \$1.75 per contract

- Any exercise or option assignment will be subject to commission based on the principal amount of the transaction.

### Corporate & municipal bonds

Transactions in Corporate and Municipal securities will be transacted on a principal basis and include a fair market mark-up or mark-down, which will be reflected in the execution price of the security.

### Government securities & agencies

Primary Market U.S. Treasuries purchased directly at Auction \$60 per transaction (bills, notes, & bonds).

Secondary market transactions in Government and Agency securities will be transacted on a principal basis and include a fair market mark-up or mark-down, which will be reflected in the execution price of the security.

### Foreign securities

A clearing fee of \$75 will be added to the underlying base commission (Canadian issues excluded) for any buy or sell transactions.

### Additional fees

### Full service brokerage accounts

### Investment advisory accounts<sup>3</sup>

Wire transfers	\$30 per transfer	\$30 per transfer
International wire transfers	\$50 per transfer	\$50 per transfer
Certification re-registration <sup>2</sup>	\$45 minimum per issue	\$45 minimum per issue
Certification deposit/Withdrawal	\$45 per issue	\$45 per issue
Account transfers and IRA closeout	\$95 per account	\$95 per account
Returned check	\$25 per occurrence	\$25 per occurrence
Overnight check	\$15 per occurrence	\$15 per occurrence
Non-sufficient funds	\$25 per occurrence	\$25 per occurrence
Stop payment	\$25 per occurrence	\$25 per occurrence
Ticket charge	\$5 per transaction	
Cash and stock extensions	\$15 per occurrence	
Annual account and/or IRA fee	\$50 per account	
No-load mutual funds	\$25 per transaction	

Additional account fees may apply for special research items. All fees are subject to change without notice. Fees may be reduced or waived under certain circumstances. For current margin rates, please call 800-888-4700 to speak with Wealth Management Brokerage Services.

<sup>1</sup> Unless noted, commissions are included in the total amount of the transaction.

<sup>2</sup> Additional re-registration fees may be charged by the transfer agent.

<sup>3</sup> These fees, where applicable, are in addition to the asset based advisory fee, which is outlined on your Statement of Investment Selection.

### Investment and Insurance products and services including annuities are:

**NOT A DEPOSIT • NOT FDIC INSURED • MAY LOSE VALUE • NOT BANK GUARANTEED • NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY**

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