

## Brokerage Fee Schedule

The fees listed below apply to brokerage accounts held at Apex Clearing Corporation (“Apex”). The listed account and service fees do not include commissions, markups, commission equivalents or billable advisory fees. See the Form ADV Part 2A (Firm Brochure) for information on the fees charged to the AAMP program accounts.

Client generated trade errors will be charged against the account and positions may be liquidated to cover debits. Contact your financial professional or [investments@cacu.com](mailto:investments@cacu.com) with questions.

<b>TRADE RELATED FEES</b>	Paper Confirmation (No Charge for e-Delivery)	\$5
	Employee Stock Option Exercise (plus margin interest as incurred)	\$100
	Margin Sell Out Fee (non-advisory)	\$25
	Short Forced Buy In fee (per ticket)	\$25
	No Load Short Term Redemption (Pershing NTF Funds Only)	\$50
	Death Put	\$100
	Alternative Investment Cancel Correction	\$10
	Alternative Investment Fee	\$30
	Alternative Investment Subscription Fees	\$250
	Alternative Investment Trade	\$25
	Alternative Investment-Receive/Deliver (delinking/link)	\$30
<b>MONEY MOVEMENTS</b>	Overnight Check (Domestic)	\$50
	Overnight Check (Foreign)	\$100
	Check via Regular Mail (Domestic)	\$5
	Check via Regular Mail (International)	\$10
	Outgoing Wire Transfers (Domestic)	\$25
	Outgoing Wire Transfers (Foreign)	\$45
	Stop Payments on Apex Issued Checks	\$30
	Returned Checks/ACH/Wires and Recalls (including amendment repairs)	\$30
	ACH Notice of Change/Correction	\$5
	Third Party Distribution Notification	\$2
	Dividend Check	\$5
<b>RETIREMENT FEES</b>	Annual Retirement Account Maintenance Fee (IRA/SEP)	\$20
	Annual Retirement Account Maintenance Fee (SARSEP, Simple, QRP)	\$55
	Retirement Account Termination	\$95
	401(k) Annual Maintenance (per account)	\$250

June 30, 2020

<b>TRANSFER COSTS</b>	<b>Outgoing Account Transfers to Another Firm</b>	<b>\$95</b>
	<b>Stop and/or Replace Certificate</b>	<b>as incurred</b>
	<b>DTC Delivery (per security)</b>	<b>\$25</b>
	<b>DWAC (per event)</b>	<b>\$100</b>
	<b>DWAC / DRS reject</b>	<b>\$125</b>
	<b>Physical cert request from Electronic shares</b>	<b>\$900</b>
	<b>Physical trade settlement fee</b>	<b>\$300</b>
	<b>Physicals Deposit Domestic</b>	<b>\$300</b>
	<b>Physicals Deposit Foreign</b>	<b>\$350</b>
	<b>Physicals Foreign Accommodation Transfer</b>	<b>\$350</b>
	<b>Foreign Free Receives/Delivers</b>	<b>\$35</b>
	<b>Foreign Security Transfer Fee</b>	<b>\$50</b>
	<b>Safekeeping - Withdrawals (per withdrawal)</b>	<b>\$60</b>
	<b>TOD Account Transfer Fee (per transfer)</b>	<b>\$200</b>
	<b>Transfers - Accommodation (DRS) (per security)</b>	<b>\$115</b>
	<b>Transfers - Accommodation T &amp; S (per security)</b>	<b>\$235</b>
	<b>Transfers - Legal (per security)</b>	<b>\$150</b>
	<b>Transfers - Restricted (per security)</b>	<b>\$465</b>
	<b>Transfers - Rush T &amp; S Premium (per security)</b>	<b>\$350</b>
	<b>Direct Registration (DRS)-Outgoing/Incoming (per security)</b>	<b>\$115</b>
<b>ACCOUNT MAINTENANCE</b>	<b>Annual Custody Fee (non-retirement account)</b>	<b>\$0</b>
	<b>Paper Statement (No charge for e-Delivery)</b>	<b>\$5</b>
	<b>Check Copies</b>	<b>\$15</b>
	<b>Alternative Investment Annual Custody Fee (per position)</b>	<b>\$30</b>
<b>HOLDINGS COSTS</b>	<b>Limited Partnership/Private Placements (IRAs only)</b>	<b>\$250</b>
	<b>ADR Cancellation / Creation (per transaction, plus agent cabel fees)</b>	<b>\$200</b>
	<b>Limited Partnerships / Private Placements - safekeeping (per month)</b>	<b>\$25</b>
	<b>Proxy Voting (Foreign): ICSD - All Other Custody Local Settlement Zones</b>	<b>\$250</b>
	<b>Proxy Voting (Foreign): ICSD - Euroclear and Clearstream</b>	<b>125</b>
	<b>Reorg Physical Processing Fee (plus transfer agent fees)</b>	<b>\$125</b>
	<b>Reorg Wire Fee (domestic)</b>	<b>\$25</b>
	<b>Reorg Wire Fee (international)</b>	<b>\$50</b>
	<b>Reorganization Activity - domestic voluntary/Post actionable reorgs - per CUSIP, per account</b>	<b>\$50</b>
	<b>Reorganization Activity - international voluntary/Post actionable reorgs - per CUSIP, per account</b>	<b>\$100</b>
	<b>Safekeeping - Lost Certificate Replacement</b>	<b>3% of cert value (\$250 min)</b>
	<b>Safekeeping - Monthly (per account, per CUSIP)</b>	<b>\$5</b>
	<b>Non Transferable Stocks (per month, per security)</b>	<b>\$10</b>