

<b>Brokerage Commission and Fee Schedule</b>		<b>Effective July 1, 2022</b>	
<b><u>STOCKS/ETFs</u></b>		<b><u>OTHER FEES AND COMPENSATION</u></b>	
Institutional Accounts – Negotiated Retail Accounts – Minimum of \$25 or \$.01 per share unless negotiated.  These commissions and fees apply to securities including, but not limited to, domestic (U.S.) equities traded on national exchanges, short sales, exchange-traded funds (ETFs), and U.S.-traded foreign securities (ADRs, or American Depository Receipts, and ORDs, or Ordinaries). For details on foreign stock trading, see the Foreign Stocks section.	Annual Custody and Recordkeeping fee. The fee is assessed on each account which holds a position and demonstrates no trading activity during the prior year. Charged in January based on the previous calendar year.	\$10	
	DRS Registration/Ship DRS Statement	\$25	
	Trans/Ship Certificate – Non DRS Eligible	\$500	
	Legal Transfer	\$150	
	Legal Return	\$75	
<b><u>Margin Fees:</u></b>		<b><u>OTHER FEES AND COMPENSATION</u></b>	
Margin Interest - NFBLR + 100 basis points Understanding how margin charges are calculated is essential for any investor considering or using margin. For all margin borrowings – regardless of what you use it for – we charge interest at an annual rate based upon the National Financial Broker Lending Rate (“NFBLR”).	Retirement Account Annual Maintenance	\$35	
	Retirement Account Closure	\$125	
	Trade and Margin Extension	\$10	
	Bounced Checks	\$25	
	Alternative Investment Initial Purchase	\$50	
	Alternative Investment Additions/Redemptions	\$50	
	Alternative Investment Transfer/Re-register	\$50	
	Alternative Investment Custody (Annual)	\$125	
	Full Transfer of Account Delivery (ACAT Exit Fee)	\$30	