



## Brokerage Account Fee Schedule

Standard Client Schedule  
Revised January 2020

### Equities/ETFs – Standard Commission

#### Principal Value

\$0	-	300	10% of Principal	
\$301	-	800	\$8.00 +	2.55% of Principal
\$801	-	2,500	\$16.00 +	1.60%
\$2,501	-	20,000	\$28.50 +	1.17%
\$20,001	-	30,000	\$110.00 +	0.79%
\$30,001	-	300,000	\$190.00 +	0.532%
\$300,001	-	And up	\$1,145.00 +	0.212%

In addition to the above, the following lot charges will apply:

101 shares – 1,000 shares	\$7.50 per lot
1,001 shares or more	\$75.00 + \$5.30 per lot
Maximum Commission Charge	\$0.98 per share
If principal value exceeds \$300.00 the minimum commission is \$35.00	

Odd lots or a combination of Round lots and Odd lots which do not exceed \$0.98 per share maximum charge is calculated according to the above charge with lot charges pro-rated.

### Stocks, Rights, and Warrants selling for less than \$1.00

#### Principal Value

\$0	-	1,000	10% of Principal	
\$1,001	-	10,000	\$44.00 +	6.50% of Principal
\$10,001	-	And over	\$175.00 +	5.30%

On all orders over \$300.000 commission for the order will be calculated using the above formula.  
After figuration, the commission will be increased by 7% and then an additional 5% on that amount.  
*Other service fees may apply. Please see your advisor for details.*

### Options

Listed options are subject to a \$21.00 plus \$1 per contract transaction fee.

Exercise and Assignment

Currency Options	\$300.00 per notification
Other Options	\$ 25.00 per notification

### Mutual Funds

	<b>Transaction Charge</b>
Redemptions	\$10
Same Fund Family Exchanges	\$3 per side of trade
No Load Mutual Funds	\$25 some companies charge an additional \$10 surcharge
Loaded Mutual Funds	By Prospectus

### Bonds, Government Securities, and Other Trade Fees

	<b>Transaction Charge</b>
All Bond/CD Redemptions	\$10
Treasury, Government, and Agency Issues	Varies
Listed Corporate Bonds	Varies
OTC Corporate Bonds	Varies
Municipal Bonds	Varies
UITs	Varies
Mortgage Back/When Issued	Varies

\*No ticket charges are levied when trades are executed direct with the fund company.

## Alternative Investments

Purchases/Redemptions  
Re-Registrations  
Transfers  
Special Product Maintenance Fee

### Transaction Charge

\$50 per transaction  
\$50 per event  
\$50 per event  
\$35 for registered securities  
\$125 for non-registered securities

## Account Service Fees

Confirmation Fee	\$2 per confirmation
Confirmation Surcharge	\$0.75 per physical confirmation produced
Statement Surcharge	\$0.75 per physical statement produced
Margin Extensions	\$10 per event
Voluntary Cash Tenders	\$35 per event
Mandatory Tenders	\$15 per event
Legal Transfers	\$70 per event
Returned Check/ACH	\$20 per event
Stop Payment	\$25 per event
Overnight Check Delivery	\$12, \$18 for Saturday Delivery
Check Copy (Corestone)	\$2.50 per check
Wired Funds	\$20 per wire
Inactive Equity Account	\$25 per year
Inactive Mutual Fund Only Account	\$12.50 per year
Mutual Fund Only IRA Conversion	\$50
Retirement Account Termination Fee	\$75
Outbound Transfer – Non-Retirement Account	\$125 per event
Equity Dividend Reinvestment	\$1.00 per investment (no fee for IRA accounts)
Customer Name Safekeeping Charge	\$10 per account, per position, per month
International Safekeeping	\$10 per account, per position, per month
Certificate Cancellation Fee	Varies based on TA
DRS Transfer Fee	Varies based on TA
Register (Transfer) and Ship	\$135 per event
Employee Stock Option Exercise Fee	\$50 per event
DWAC/DTC Deliveries	As Incurred by Transfer Agent
Accommodation Transfers/Bearer Bond Withdrawals	\$25 per event

## Annual Custodial Fees

Qualified Plans	\$75 or \$125 depending on plan type
SIMPLEs, Prototype SEPs and 403b(7) accounts	\$58.50
Traditional, Roth, Education IRAs, and 5305 SEPs	\$43.50
Mutual Fund Only IRAs	\$12.00
Special Product Fee	\$35.00 Registered \$125.00 Unregistered

## International Clearing

Eurobond Clearance	\$50.00
All Other Foreign Securities	\$75.00

### ACCOUNTS CARRIED AT PERSHING LLC

\*Fees subject to change at any time.

This schedule represents Infinex's standard fees and expenses. Please note other fees may apply. Depending upon the circumstances, individual advisors may have the ability to negotiate lower fees and expenses for their clients.

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