



## COMMISSIONS & FEES

### Stock Trading

US Equities & Options Trades	Per Trade	Up to 1% of Invested Amount
Foreign Equities	Per Trade	Up to 2% of Invested Amount
Minimum Ticket (Equities & Options)	Per Trade	\$29.99
Fixed Income (Treasuries)	Per Trade	Up to 2% of Invested Amount
Fixed Income (others)	Per Trade	Up to 3% of Invested Amount
Minimum Ticket (Fixed Income)	Per Trade	\$75.00
Mutual Funds	Per Trade	Up to 4.5% of Invested Amount
Foreign Exchange	Per Transaction	Up to 2% of Invested Amount
Confirmation Fee	Per Trade	\$4.00

### Cash Management Fees

ACH to Third Party	Per instruction	\$30.00
AMEX International Dollar Card	Per month/per primary card	\$2.50 + AMEX charges and fees
Check Copies	Per item	\$7.00
Federal Reserve Wire Transfer	Per wire	\$40.00
Incoming Wire Transfer	Per wire	\$0.00
International Wire Transfer	Per wire	\$55.00
Non-Sufficient Funds	Per item	\$45.00
Pre-Payment	Per event	\$45 + interest
Returned Deposit Item	Per item	\$45.00

### IRA Fees (US Customers Only)

Annual Fees (not prorated)	Per year/per account	\$75.00
Private Placement Security – Processing Fee	Per investment	\$150.00
Private Placement Security - Custody Fee	Per month/per investment	\$5.00
Profit Sharing Plan Fee	Per year/per account	\$65.00
Termination Fee	Per account	\$100.00
Termination and Transfer	Per account	\$150.00

### Transfer On Death (TOD) Fees

Establishment	Per account	\$70.00
Change of Beneficiary	Per account	\$45.00
Transfer to Beneficiary		\$125 + \$50 per beneficiary <sup>y</sup>

### Services Fee <sup>1</sup>

ACAT Processing Transfer In		\$0.00
ACAT Processing Transfer Out (Full or partial)	Per ACAT processed	\$150.00
Alternative Investments	Per month/per security	\$5.00
Alternative Investments (via AIP)	Per month/per security	\$2.00
Copies of Archived Monthly Statements/Confirms	Per document	\$20.00
Corporate Actions	Per event	\$60.00
DRS Reject	Per event	\$40 + pass-through of TA & DTC fees
DRS Transfer	Per event	\$110 + pass-through of TA & DTC fees
DTC/Government/DWAC Delivery	Per receipt/delivery	\$40 + pass-through of TA & DTC fees
Foreign Security Custody Fee (Equities and Fixed Income)	Per position/month	3 bps per annum <sup>*</sup>
Foreign Security Custody Fee (Non-U.S. mutual funds/UCITs)	Per position/month	12.5 bps per annum (\$2.50 minimum)
Foreign Security Delivery or Cancellation	Per event/instruction	\$75.00 + settlement fees
Inactive Account Fee	Per year/per account	\$90.00
Interested Party Confirm	Per confirm	\$3.25
Margin and COD Extensions (Reg-T)	Per event	\$35.00 + interest
Option Exercise/Assignment Surcharge	Per transaction	\$75.00
Other DTC Items (e.g., reorg, etc.)	Per delivery	\$40 + pass-through of TA & DTC fees
Overnight Delivery Package	Per delivery	\$65.00
Paper Delivery Surcharge for Client Confirms	Per confirm	\$2.75
Paper Delivery Surcharge for Client Statements	Per statement	\$5.00
Paper Delivery to a Non-U.S. Address	Per statement/confirm	\$9.50 + applicable additional postage
Pledge Account Annual Fee	Per year	\$250.00
Pledge Account Setup Fee	1-time per account	\$175.00
Retail Handling Fee	Per confirm	\$8.00
Rights/Warrants Subscription	Per issue	\$100.00

### Margin Interest Rate

Debit Balance	Margin Rate
\$0 - \$50,000	StoneX Base Rate + 2.75%
\$50,001 - \$100,000	StoneX Base Rate + 1.75%
\$100,001 - 200,000	StoneX Base Rate + 1.25%
\$200,001 - 500,000	StoneX Base Rate + 1.25%
\$500,001 and over	StoneX Base Rate + 0.85%

StoneX Base Rate is the Call Money Rate (as published by the Wall Street Journal and Bankrate.com) plus 2.50% per annum.

\*3 bps per annum or \$2.50 min in CA, DE, FR, IT, UK and Euroclear. All other countries variable

<sup>y</sup>At distribution

<sup>z</sup>Inactive accounts are defined as accounts holding a security position for a 12-month period (August 1 - July 31) without generating a) a trade or b) a free credit or margin interest of at least \$100. Mutual fund systemic reinvestments and exchanges will be considered a trade. Dividend reinvestment activity is not considered a trade. Inactive fees do not apply to retirement accounts where Clearing Firm acts as custodian or servicing agent and collects service fees. Accounts exclusively holding book entry only fixed income positions or mutual fund positions exceeding \$50,000 are exempt from this fee. Clearing Firm reserves the right to charge this fee on a pro rata basis for accounts that terminate their relationship with Clearing Firm and upon termination of the Fully Disclosed Clearing Agreement for any reason by either party.

<sup>1</sup>Clearing firm reserves the right to adjust the surcharge based upon changes in postal, paper, vendor or other cost factors. The paper delivery surcharge for confirmations is assessed on a per trade basis and billed as incurred.