



BrokersFinancial

Schedule of Miscellaneous Pershing Account & Service Fees

Brokers International Financial Services, LLC. Member SIPC
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<u>Account or Service</u>	<u>Fee/Charge</u>	<u>Frequency</u>
Annual Custodial Maintenance for IRA Accounts	\$45.00	Per year
Annual Custodial Maintenance for Mutual Fund Only Accounts	\$12.00	Per year
Annual Custodial Maintenance for Qualified Retirement Plans/SEP and Simple IRA Accounts	\$58.50	Per year
Inactive Account (Non-Retirement Accounts)	\$35.00	Per year
Inactive Account (Non-Retirement Accounts) – Mutual Fund Only	\$22.00	Per year
IRA Account Termination	\$95.00	Per account
Outgoing Transfer	\$70.00	Per transfer
Legal Transfers	\$70.00	Per transfer
Paper Trade Confirmation	\$5.00	Per confirmation
Paper Account Statement	\$0.75	Per statement
UBTI Tax Filing (IRS Form 990-T)	\$200.00	Per Form 990-T
Roth Conversion	\$50.00	Per event

Cash Management Service

Fed Fund Wire	\$30.00	Per wire
Overnight Check Request	\$22.00	Per check
Overnight Check Request – Saturday Delivery	\$28.00	Per check
Overnight Check Request – Foreign Delivery	\$45.00	Per check
Stop Pay Request – Resource Checking	\$45.00	Per check
Stop Pay Request – Disbursement Check	\$30.00	Per check
Qualified Retirement Account Loan Processing Fee	\$100.00	Per loan

Insufficient Funds

ACH Transaction Returned	\$40.00	Per returned ACH
Check Deposit Insufficient Funds	\$30.00	Per returned check

Safekeeping

Safekeeping – Domestic securities and fixed income	\$2.00	Per security per month
Safekeeping – Foreign securities	\$5.00	Per security per month

Investment Related

Transaction Service Fee	\$4.75	Per transaction
Dividend Reinvestment	\$1.00	Per security per event
Margin Extension	\$35.00	Per event
Mutual Fund Sales Load	Per Fund Prospectus	Per buy transaction
Mutual Fund No Load Redemption	\$35.00	Per redemption
FundVest Mutual Fund Redemption or Exchange (if position held less than 30 days)	\$50.00	Per transaction
FundVest Mutual Fund Systematic Redemption or Exchange (if position held less than 30 days)	\$5.00	Per transaction
Bond Redemption	\$10.00	Per redemption
Alternative Investment Subscription, Redemption, or Re-Registration	\$50.00	Per event
Alternative Investment Annual Administration – Registered Products	\$35.00	Per year
Alternative Investment Annual Administration – Non-Registered Products	\$50.00	Per year
Foreign Security Received or Delivered	\$60.00	Per security
Equities / ETFs (Advisory - Edge Program)	\$17.00 + \$0.15 per 100 shares (min charge \$0.50, max charge \$5.00)	Per trade
Options – Entered via Netx360 (Advisory - Edge Program)	\$17.00 + \$0.50 per contract	Per trade
Options – Called into trade desk (Advisory - Edge Program)	\$17.00 + \$1.00 per contract	Per trade
Bonds – Corporate, Municipal, Treasury (Advisory - Edge Program)	\$25.00 + \$1.00 per bond	Per trade
Mutual Funds (Load and No Load) – (Advisory - Edge Program)	\$17.00	Per trade

Reorganization

Mandatory Reorganizations and Reverse Splits (Deposit)	\$5.00	Per event
Mandatory Reorganizations and Reverse Splits (Physical)	\$5.00	Per event
Voluntary Tender Offers	\$23.00	Per event

Form 5500 07.2020

