

FEE SCHEDULE

Bank Wire Funds

Outgoing	\$15.00	per wire transfer
Incoming	none	

Check Stop Payment \$10.00 per event

Return Check..... \$20.00 per event

Trade Service Fee \$9.00 per trade

DK Items - (Institutional Client) \$10.00 per item

Inactive Account

Retail Accounts	\$35.00	per inactive acct/per year
Mutual Fund Only Accounts.....	\$18.00	per inactive acct/per year

Overnight Delivery \$20.00 \$5.00 more for Saturday delivery

Physical Certificate Safekeeping..... \$2.00 per acct/per position/per month

Reg T Extension..... \$10.00 per event

Reorganization Items - Voluntary..... \$40.00 per event

Retirement Accounts

IRA, ROTH, SEP.....	\$40.00	annual fee
Mutual Fund only	\$17.50	annual fee
SARSEP, SIMPLE, PSP, MPP, 403b(7)	\$50.00	annual fee
Termination - all types	\$95.00	
Traditional conversion to Roth	\$25.00	

Special Products Processing:

Alternative Investments (AI) - LP, LLC and Private Placements

Document Review Fee \$300.00 charged regardless of outcome

Annual Service Charge

Registered AI Product..... \$35.00 per position/per year

Unregistered AI Product \$125.00 per position/per year

Subscription, Redemption &

Re-registration fee \$50.00 per event

UBTI Tax Return Processing

(IRS Form 990-T)..... \$200.00 per tax return filed

Statements

Paper Delivery of Statement \$1.00 per statement

Special Non-Quarterly

Statement Production..... \$1.00 per statement

Enhanced Tax & Year-End Statement. \$5.00

Year End Account Report..... \$5.00

Duplicate Statements/Confirmation .. \$1.00 per item

Trade Cancel Fee \$15.00 per event

Transfers

Legal, GNMA & Restricted Items .. \$60.00 per transfer

Outgoing Account Transfers \$100.00 per transfer

Accommodation Transfer..... \$60.00 per transfer

Register & Ship Certificate \$60.00 per transfer

Direct Registration \$10.00 per transfer

Cashless Options Exercise Program.... \$50.00 per exercise

Estate Evaluation \$200.00

Fees effective June 1st, 2013

