

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 \$7.00 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, 2015

