



FEE SCHEDULE

Bank Wire Funds		
Outgoing	\$15.00 per wire transfer	*
Incoming	none	
Check Stop Payment	\$10.00 per event	
Returned Check	\$20.00 per event	
Overnight Delivery		
Standard Delivery	\$12.00 per item	
Saturday Delivery	\$18.00 per item	
Trade Service Fee	\$7.00 per trade	*+
Inactive Account		
Retail Accounts	\$35.00 per inactive acct/per year	*
Mutual Fund Only Accounts	\$18.00 per inactive acct/per year	*
Physical Certificate Safekeeping	\$2.00 per acct/per position/per month	
Safekeeping - Non-US Market Securities	\$2.00 per acct/per position/per month	
(additional custody fees may apply)	pass through	
Reg T Extension	\$10.00 per event	*
Reorganization Items - Voluntary	\$40.00 per event	*
Retirement Accounts & Savings Accounts		
Traditional IRA, Roth IRA, SEP IRA & Education Saving Accounts	\$45.00 annual fee	*
Traditional IRA, Roth IRA, SEP IRA - Mutual Fund Only	\$12.00 annual fee	*
Traditional IRA, Roth IRA, SEP IRA, Prototype SEP IRA and SIMPLE IRA - Conversion to Mutual Fund Only	\$50.00 per event	
Prototype SEP and SARSEPs	\$58.50 annual fee	
Prototype SEP and SARSEPs - Mutual Fund Only	\$12.00 annual fee	
SIMPLE Plans and 403(b)(7) Custodial Accounts	\$58.50 annual fee	
SIMPLE Plans - Mutual Fund Only	\$12.00 annual fee	
Qualified Retirement Plans (QRP) - Individual (k), Simplified 401(k), Simplified Profit Sharing and Money Purchase plans	\$75.00 annual fee	
Qualified Retirement Plans (QRP) - Flexible 401(k), Flexible Profit Sharing and Money Purchase plans	\$125.00 annual fee	
Termination - All Types	\$95.00 per event	
Alternative Investment Products Processing		
Eligibility Review Fee	\$300.00 charged regardless of outcome	
Subscription, Redemption & Re-registration Fee	\$50.00 per event	
Annual Service Charge - Registered Alt Investment	\$35.00 per position	
Annual Service Charge - Unregistered Alt Investment	\$125.00 per position	
UBTI Tax Return Processing (IRS Form 990-T)	\$200.00 per tax return filed	
Statements		
Paper Delivery of Statement	\$0.75	
Enhanced 1099 Tax & Year-End Statement	\$2.00	
Year End Account Report	\$3.00 plus postage & handling	
Transfers		
Outgoing Account Transfers	\$100.00 per transfer	*
Direct Registration	\$10.00 per transfer	
Transfer Agent - additional fees may apply	pass through	
Deposit & Withdrawal at Custodian (DWAC)	\$5.00 per instruction	
DTC Deposit - pass through	\$3.00 per event	
DTC Withdrawal - pass through	\$5.00 per event	
Transfer Agent - additional fees may apply	pass through	
Legal, GNMA & Restricted Items	\$135.00 per transfer	
Non-US Market Transfer - Euroclear	\$25.00 per item	
All Other Non-US Market Depositories	\$75.00 per item	
Accommodation Transfer	\$60.00 per transfer	
Register & Ship Certificate	\$60.00 per transfer	
Transfer Agent - additional fees may apply	pass through	
Cashless Options Exercise Program	\$50.00 per exercise	

Fees effective November 1, 2017

+ Trade Service Fee does not apply to Northland Asset Management accounts.

* A portion of the total fee charged will be retained by Northland Securities Inc.