

IAA FEE SCHEDULE

Retirement Account and Savings Account Fees:

Traditional IRA, Roth IRA & IRS Model 5305 SEP	\$ 35.00 Annual Fee	\$120.00 Termination Fee
Solo 401K Plan fees	\$150.00 Annual Fee	Prorated Annual Fee
Solo 401K Plan Set up fee		\$200.00
SEP and SIMPLE Set up fee		\$25.00
SEP and SIMPLE Plans	\$ 75.00 Annual Fee	\$50.00 + Prorated Fee
Conversion Fee (Roth to Traditional IRA)		\$ 25.00

Asset Management Accounts (Check Writing):

Investment Access with Debit card	\$125.00
Additional Debit cards	\$ 10.00
Overnight delivery of Debit Card or Checks	\$ 25.00
Check re-order	\$ 5.00

Alternative Investments

Limited Partnerships, Limited Liability Partnerships, Non- traded REIT's, and Private Placements are subject to the following per position fees.

Transaction fee	\$ 125.00
Maintenance fee (charged annually)	\$ 75.00

Transfer on Death Accounts

Account Change Fee	\$30.00
Account Set-Up Fee	\$50.00
Account Distribution Fee	0.10%

Cashier & Credit Processing Request:

Stop Payment	\$ 20.00
Returned Check	\$ 30.00
Bank Wire Domestic	\$ 25.00
Bank Wire Foreign	\$ 75.00
Overnight Check	\$ 25.00
Extensions	\$ 20.00
Prepayment fee	Interest charged
Account Pledge	\$200.00
Mailgrams	\$ 5.00

Abandoned Property Accounts:

Escheatment	\$125.00
-------------	----------

Annual Fees Non Retirement Accounts:

Annual Inactive Account Fee	\$ 75.00
Annual Account fee	\$ 35.00
Green Fee**	\$ 50.00

Requests for Duplicate Documents:

Duplicate Tax Documents (paper copies)	\$1.25
Duplicate Confirm (paper copies)	\$1.25
Duplicate Statement (paper copies)	\$1.25

Physical Certificates:

Physical Certificate Reject Fee	\$200.00
Physical Certificate (Non-DRS eligible and DRS Eligible Securities)	\$650.00
Duplicate Statement (paper copies)	\$1.25
Safekeeping Fee	\$ 50.00

Re-orgs:

Voluntary Physical Reorg	\$ 45.00
Voluntary Non-Physical Reorg	\$40.00
Dividends & Reorgs- Coupons Received for Collection	\$10.00
Dividends & Reorgs- Charge for Late Instructions on Expiring Items	\$15.00

Security Transfers:

Legal Deposit/Transfer	\$ 60.00
Outgoing Account Transfers IRA	\$120.00
Outgoing Account Transfers Non IRA	\$ 135.00
Outgoing Partial Transfer	\$ 25.00
Security Transfer fee- International	\$140.00
DRS Transfer & Ship	\$ 25.00
Non-DRS Eligible Transfer & Ship	\$500.00
Deposit/Withdrawal at Custodian (DWAC) Fee	From \$25.00 to \$150.00
Rule 144/Restricted Stock Deposit Fee	\$ 500.00
Free Delivery Fee	\$50.00
Non-Transferable Security Custody	\$2.00 per security, per month

Trade Related Charges:

Service Fee	Please contact your Investment Professional for details
Foreign Trade Surcharge (USD settlements)	
Foreign Execution Fee (local currency settlements)	Please contact your Investment Professional for country specifics
Foreign Currency Exchange Fee	
Mutual Fund	
No-Load Transaction Fee	\$ 25.00
Mutual Fund Exchanges (sell side only)	\$ 10.00
PIP's	\$ 2.50
SWP's	\$ 2.50

Performance Reporting and Account Aggregation (Non-managed Accounts)

Annual Performance Reporting and Account Aggregation Fee	\$ 50.00 per Account
--	----------------------

*Please note that the above listed fees are not all inclusive and are subject to change. For further details please speak with your Investment Professional.

**Fee is waived for accounts enrolled in electronic delivery.