

## SCHEDULE OF ACCOUNT FEES Effective February 15, 2020

The fees listed below do not include commissions, markups, commission equivalents or advisory fees. These fees apply to brokerage accounts carried by StoneX Financial Inc., your broker's clearing firm.

### SERVICE FEES

ACAT Processing Transfer In	No charge	
ACAT Processing Transfer Out (Full or partial)	\$75.00	Per ACAT processed
Alternative Investments	\$5.00	Per month/per security
Alternative Investments (via AIP)	\$2.00	Per month/per security
Copies of Archived Monthly Statements/Confirms	\$10.00	Per document requested
Corporate Actions	\$50.00	Per event
DRS Reject	\$30 + pass-through of TA & DTC fees	Per event
DRS Transfer	\$100.00 + pass-through of TA & DTC fees	Per event
DTC/Government/DWAC Delivery	\$30 + pass-through of TA & DTC fees	Per receipt or delivery
Foreign Security Custody Fee (Equities and Fixed Income)	2 bps per annum (CA, DE, FR, IT, UK and Euroclear) All other countries variable <sup>1</sup>	Per position/per month (Subject to \$2.50 min)
Foreign Security Custody Fee (Non-U.S. mutual funds/UCITs)	10 bps per annum (\$2.50 minimum)	Per position/per month
Foreign Security Delivery or Cancellation	\$50.00 + settlement fees	Per event/instruction
Inactive Account Fee <sup>2</sup>	\$50.00	Per year/per account
Interested Party Confirm	\$3.25	Per confirm
Margin and COD Extensions (Reg-T)	\$10.00 + interest	Per event
Option Exercise/Assignment Surcharge	\$25.00	Per transaction
Other DTC Items (e.g., reorg, etc.)	\$30 + pass-through of TA & DTC fees	Per delivery
Overnight Delivery Package	\$50.00	Per delivery
Overnight Delivery Package (International delivery)	\$100.00	Per delivery
Paper Delivery Surcharge for Client Confirms <sup>3</sup>	\$0.75	Per confirm
Paper Delivery Surcharge for Client Statements	\$2.50	Per statement
Paper Delivery to a Non-U.S. Address	\$4.50 + applicable additional postage	Per statement/confirm
Pledge Account Annual Fee	\$50.00	Per year
Pledge Account Setup Fee	\$100.00	1-time per account
Retail Handling Fee	\$30.00	Per confirm
Rights/Warrants Subscription	\$75.00	Per issue
UIT Rollover (Manual/email request)	\$75.00	Per request
UIT Rollover (Via UniT)	\$25.00	Per request

### PHYSICAL SECURITY FEES<sup>4</sup>

Bond Redemption/Conversions (physical certificates)	\$100.00	Per transaction
Deposit and/or Return of Physical Securities with DTC	\$50.00	Per transaction
Employee Stock Option Processing	\$50.00	Per transaction
Foreign Physical Certificate Receive/Deliver	\$250.00	Per transaction
Legal Transfer	\$50.00	Per transfer
Precious Metal Safekeeping Fee	75 bps (0.75%) of market value (\$5 quarterly min.)	Per annum, prorated quarterly
Restricted Security Clearance	\$150.00 + pass-through of TA & DTC fees	Per delivery
Transfer & Ship	\$600.00 + pass-through of TA & DTC fees	Per transfer/per certificate
Transfer & Ship (Rush)	\$750.00 + pass-through of TA & DTC fees	Per transfer/per certificate
Vault/Safekeeping	\$5.00	Per certificate/per month

### CASH MANAGEMENT FEES

ACH to Third Party	\$10.00	Per instruction
Check Copies	\$5.00	Per item
Federal Reserve Wire Transfer	\$25.00	Per wire
Incoming Wire Transfer	No charge	
International Wire Transfer	\$50.00	Per wire
Non-Sufficient Funds	\$40.00	Per item
Paid Overdraft Charge	\$35.00	Per item
Pre-Payment	\$35.00 + interest	Per event
Returned Deposit Item	\$40.00	Per item
Rush Order Checks	\$75.00	Per item
Stop Payment	\$30.00	Per item

### IRA FEES (US Customers Only)

Annual Fees (not prorated)	\$50.00	Per year/per account
Private Placement Security – Processing Fee	\$150.00	Per investment
Private Placement Security- Custody Fee	\$5.00	Per month/per investment
Profit Sharing Plan Fee	\$65.00	Per year/per account
Termination Fee	\$50.00	Per account
Termination and Transfer	\$125.00	Per account

### TRANSFER ON DEATH (TOD) FEES

Establishment	\$50.00	Per account
Change of Beneficiary	\$25.00	Per account
Transfer to Beneficiary	\$100.00 + \$50.00 per beneficiary at distribution	

### MARGIN INTEREST

DEBIT BALANCE	MARGIN RATE
\$0- \$50,000	StoneX Base Rate + 2.25%
\$50,001- \$100,000	StoneX Base Rate + 2.00%
\$100,001- 200,000	StoneX Base Rate + 1.75%
\$200,001- 500,000	StoneX Base Rate + 1.50%
\$500,001 and over	StoneX Base Rate + 1.00%

StoneX Base Rate is the Call Money Rate (as published by the Wall Street Journal and Bankrate.com) plus 2.50% per annum.

### Check Payment Instructions:

Make checks payable to 'StoneX Financial Inc.' and include the affected account number in the 'Notes/Memo' field.

John Doe 111 Main Street Your Town, USA	Date: <u>mm / dd / yy</u>	001
PAY TO THE ORDER OF: <u>StoneX Financial Inc.</u> \$ <u>100.00</u>		
<u>One hundred dollars</u> DOLLARS		
Notes: <u>Account Number</u>	Signature: <u>John Doe</u>	

<sup>1</sup> Fee available upon request.

<sup>2</sup> Inactive accounts are defined as accounts holding a security position for a 12-month period (August 1- July 31) without generating a) a trade or b) a free credit or margin interest of at least \$100. Mutual fund systemic reinvestments and exchanges will be considered a trade. Dividend reinvestment activity is not considered a trade. Inactive fees do not apply to retirement accounts where Clearing Firm acts as custodian or servicing agent and collects service fees. Accounts exclusively holding book entry only fixed income positions or mutual fund positions exceeding \$50,000 are exempt from this fee. Clearing Firm reserves the right to charge this fee on a pro rata basis for accounts that terminate their relationship with Clearing Firm and upon termination of the Fully Disclosed Clearing Agreement for any reason by either party.

<sup>3</sup> Clearing firm reserves the right to adjust the surcharge based upon changes in postal, paper, vendor or other cost factors. The paper delivery surcharge for confirmations is accessed on a per trade basis and billed as incurred.

<sup>4</sup> All Physical Security fees are subject to additional charges (e.g. transfer agent fees, DTC fees, etc.) which will be passed through at cost.