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Brokerage Fee Schedule

The fees listed below apply to ALL accounts held at Apex Clearing Corporation (“Apex”), including commission-based brokerage and investment advisory accounts. The listed account and service fees do not include commissions, markups, commission equivalents or billable advisory fees. See the AAMP Wrap Fee Program Brochure and the Guided Investing Wrap Fee Program Brochure for additional information on fees charged to AAMP and Guided Investing advisory accounts.

Client generated trade errors will be charged against the account and positions may be liquidated to cover debits. Contact your financial professional or investments@cu.financial with questions.

TRADE RELATED FEES

Paper Confirmation (No Charge for e-Delivery)	\$2
Employee Stock Option Exercise (plus margin interest as incurred)	\$100
Margin Sell Out Fee (non-advisory)	\$25
Short Forced Buy In fee (per ticket)	\$25
No Load Short Term Redemption (Pershing NTF Funds Only)	\$50
Death Put	\$100
Alternative Investment Cancel Correction	\$10
Alternative Investment Fee	\$30
Alternative Investment Subscription Fees	\$250
Alternative Investment Trade	\$25
Alternative Investment-Receive/Deliver (delinking/link)	\$30

MONEY MOVEMENTS

Overnight Check (Domestic)	\$50
Overnight Check (Foreign)	\$100
Check via Regular Mail (Domestic)	\$5
Check via Regular Mail (International)	\$10
Incoming Wire Transfers (Domestic)*	\$8
Incoming Wire Transfers (International)*	\$14
Outgoing Wire Transfers (Domestic)	\$25
Outgoing Wire Transfers (Foreign)	\$45
Stop Payments on Apex Issued Checks	\$30
Returned Checks/ACH/Wires and Recalls (including amendment repairs)	\$30
ACH Notice of Change/Correction	\$5
Third Party Distribution Notification	\$2
Dividend Check	\$5

RETIREMENT FEES

Annual Retirement Account Maintenance Fee (IRA/SEP)**	\$20
Annual Retirement Account Maintenance Fee (SARSEP, Simple, QRP)	\$55
Retirement Account Termination	\$95
401(k) Annual Maintenance (per account)	\$250

*Only charged in incoming wires into Guided Investing accounts.

**Not charged in AAMP accounts. Charged to all other Apex retirement accounts including Guided Investing accounts.

TRANSFER COSTS

Outgoing Account Transfers to Another Firm	\$75
Stop and/or Replace Certificate	as incurred
DTC Delivery (per security)	\$25
DWAC (per event)	\$100
DWAC / DRS reject	\$125
Physical cert request from Electronic shares	\$900
Physical trade settlement fee	\$300
Physicals Deposit Domestic	\$300
Physicals Deposit Foreign	\$350
Physicals Foreign Accommodation Transfer	\$350
Foreign Free Receives/Delivers	\$35
Foreign Security Transfer Fee	\$50
Safekeeping - Withdrawals (per withdrawal)	\$60
TOD Account Transfer Fee (per transfer)	\$200
Transfers - Accommodation (DRS) (per security)	\$115
Transfers - Accommodation T & S (per security)	\$235
Transfers - Legal (per security)	\$150
Transfers - Restricted (per security)	\$465
Transfers - Rush T & S Premium (per security)	\$350
Direct Registration (DRS)-Outgoing/Incoming (per security)	\$115

ACCOUNT MAINTENANCE

Annual Custody Fee (non-retirement account)	\$0
Paper Statement (No charge for e-Delivery)	\$5
Check Copies	\$15
Alternative Investment Annual Custody Fee (per position)	\$30

HOLDINGS COSTS

Limited Partnership/Private Placements (IRAs only)	\$250
ADR Cancellation / Creation (per transaction, plus agent cancel fees)	\$200
Limited Partnerships / Private Placements - safekeeping (per month)	\$25
Proxy Voting (Foreign): ICSD - All Other Custody Local Settlement Zones	\$250
Proxy Voting (Foreign): ICSD - Euroclear and Clearstream	\$125
Reorg Physical Processing Fee (plus transfer agent fees)	\$125
Reorg Wire Fee (domestic)	\$25
Reorg Wire Fee (international)	\$50
Reorganization Activity - domestic voluntary/Post actionable reorgs - per CUSIP, per account	\$50
Reorganization Activity - international voluntary/Post actionable reorgs - per CUSIP, per account	\$100
Safekeeping - Lost Certificate Replacement	3% of cert value (\$250 min)
Safekeeping - Monthly (per account, per CUSIP)	\$5
Non Transferable Stocks (per month, per security)	\$10

Updated: 4/4/23