

STOCKS		
	Online Trades	
Equity Securities/Exchange - Traded Funds	\$19.95*	
*Fees can be different subject to arrangements with your Designated Financial Professional. Contact your Designated Financial Professional to confirm your fees.		
OPTIONS		
	Online Trades*	Broker Assisted Trades
All Contracts	\$18.00 + \$1.00 each contract	\$18.00 + \$1.00 each contract
Manual Option Exercise Request: \$25.00		
Example: 5 contracts online commission = \$18.00 + \$50.00 (5 x \$1.00) = \$23.00		
*Fees can be different subject to arrangements with your Designated Financial Professional. Contact your Designated Financial Professional to confirm your fees.		
MUTUAL FUNDS		
	Online Trades - NTF Funds	Online Trades - Non-NTF Funds
ALL Mutual Funds	\$0	\$20.00
*For any mutual fund available for purchase, please carefully review the fund's Prospectus prior to investing to obtain information regarding any additional charges or expenses that the fund may charge. Fees can be different subject to arrangements with your Designated Financial Professional. Contact your Designated Financial Professional to confirm your fees.		
FIXED INCOME INVESTMENTS		
Bonds, Mortgage-Backed Securities, OTC Corporate Bonds, Government Securities, Collateralized Mortgage Obligations, Money Market Instruments/CDs, Municipal Bonds, Unit Investment Trusts, and Zero Coupon Bonds		
	\$36.00 *	
* Fees can be different subject to arrangements with your Designated Financial Professional. Contact your Designated Financial Professional to confirm your fees.		
ALTERNATIVE ASSET TRADING		
	Basic	Flex Pricing
	\$125	Tiered
MISCELLANEOUS FEES		
*The following fees may apply depending on your brokerage account activity and settings. Fees are automatically deducted from your cash balance at the time of the transaction(s) or on a monthly basis.		
• Paper Documents Fee (statements, trade confirmations, etc.)		\$30.00 per quarter (unless set up by eDelivery)
• Transfer Out (Full or Partial)		\$100.00
• Voluntary Corporate Action Fee (includes but not limited to tender offers and warrant exercises)		\$50
• Mandatory Corporate Action Fee (includes but not limited to Fixed Income Maturities, mergers, reverse stock splits, name changes)		\$25
• Physical Certificate Deposit		\$50.00 / certificate
• Physical Certificate Reregistration		As incurred by ETCB from Transfer Agent
• DWAC Charges		\$75.00 / item
• Free Deliveries (DTC)		\$25.00 / security
• Long Positions (Sub Penny Book Entry) - Monthly Fee		\$0.0000006 / share
• Worthless Securities Removal Processing Charge		\$20.00 / security
• Wires Out		\$30.00 *International wire fee = \$50
• Overnight Check Fee		\$50.00
• Check Stop Payment & Returned ACH Fees		\$25.00
• Overnight Mail		As incurred
• Real Time Quotes		Fees passed through as incurred
• Non-DTC eligible Security Transaction Fee DRS (Direct Registration System) Fee		As incurred by ETCB (includes but not limited to physical settlement fee / Transfer agent fee / processing fee)
• FINRA TAF and ORF Fees		As incurred by ETCB
• AI Re-registration Fee		\$100

PLEASE NOTE: Trading in OTC securities incurs additional risk. Please review the [OTC Disclosure](#) on our website for more information.

PLEASE NOTE: Certain Securities are not available through electronic trading. Access to your account information, trading and other services may be limited or unavailable during periods of peak demand, systems maintenance, or for other reasons. Contact your Designated Financial Professional for assistance at any of these times.

INVESTMENT PRODUCTS: NOT FDIC INSURED • NO BANK GUARANTEE • MAY LOSE VALUE

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