

DTC transfer fee	\$695.00 <sup>1</sup>	
Cert Processing Fee & Deposit	\$300.00 per cert plus any clearing firm or pass through fees	
LOA Fees	\$195.00 <sup>2</sup> additional per side for third party	
Account Identification Fee	\$12 from Clearing Firm	
Account Identification Fee	\$10 From Scottsdale Capital Advisor	
Transfer & Ship	\$1000.00 per certificate physical delivery or actual cost (whichever is greater) plus express charges and pass through fees plus any rush fees.	
Domestic Wires	\$75.00	
ACH Requests	\$75.00	
Check Request	\$20.00	
Account Closure Fee	\$20.00	
Foreign Wires	\$495.00	subject to additional fees for international accounts
Account Minimum Fee	\$100.00	for accounts under \$100 minimum
Overnight Delivery	\$75.00 or at cost (whichever is greater) plus \$125 if securities deposited and sold and withdrawn within 30 days of sale	
Extensions	\$100.00	per request plus margin interest
IRA Set Up	\$50.00	
IRA Annual Fees	\$50.00	
IRA Account Closing	\$150.00	
Account Transfer Out	\$200.00 Plus	Any other fees
Returned Check	\$75.00	
Legal Transfers	\$250.00	per issue plus transfer agent cost and shipping
Options Exercise/Assign.	\$50.00	Plus % commission
Tenders	\$50.00	per position
Bond Redemption	\$50.00	per item
Foreign Transfer	\$200.00 plus any additional transfer agent fee	
Foreign Security Safekeeping	\$100.00	per quarter per position
Copies of Prior Statements	\$100.00	per item
Accommodations Transfer	\$195.00	plus shipping or at cost whichever is greater
“144” Sales to TA	\$260.00	plus transfer cost, rush and shipping fees
“144” Sales straight to DTC	\$410.00	plus transfer cost, rush and shipping fees
Blue Sheet Request/Research	\$150.00	per request
Regulatory Requests	\$150.00 minimum per account per symbol up to \$360 per hour	
Pre pay request	\$200.00	plus interest
Credit checks on new customer.	\$50.00	processing fee for new account.
DWAC and DRS	\$200.00 plus any TA fees	
ESOP Processing	\$200 per trade	
Account Fees	\$100 per year no accounts that are inactive or with balances less than \$5,000	

Block orders (10,000 shares or more) subject to block fees of .0005 per share in addition to commissions.

These fees are subject to change and may be higher or lower than what is listed above depending on your arrangement with your Registered Rep. Rush fees may be additional. Time spent on special items subject to hourly fee of \$200 per hour, Technical and legal subject to \$360 per hour. Expedited fees for certain items are an additional \$200 to \$300 per request. Concentrated positions on margin subject to an additional 2% of margin balance fee.

<sup>1</sup> Subject to the greater 5% of principal value or .001 per share. DTC in subject to \$200.00 Flat

<sup>2</sup> Subject to greater of 5% of principal value