



FEES

1: BROKERAGE FEE SCHEDULE

CUSTODY AND ADMINISTRATION

Annual IRA Fee (ROTH, Traditional IRA, Rollover, SEP, SIMPLE, Keogh)	\$45.00
Annual Custody Fee (for non-Qualified Accounts)	\$25.00
Annual Holding and Reporting (Inactivity) Fee	\$50.00
Annual Safekeeping (Physical Custody of Non-Street Named Certificates)	\$50/CUSIP
Private Placement Memorandum (PPM) Safekeeping	\$100.00
Voluntary Corporate Action Instruction (Physical Reorg) Fee	\$50/instruction
Termination of Qualified Accounts	\$75.00

ACCOUNT TRANSFER

Account Transfer Fee (ACAT)	\$150.00
Account Transfer Fee (Non-ACAT)	\$150.00
Deposit/Withdrawal at Custodian (DWAC)	\$75.00
DRS (Direct Registration System) Deposit/Withdrawal	\$50.00
Accommodation Fee	\$35.00
Legal Transfer Fee	\$90.00

MONEY MOVEMENT

Wire Transfer	\$35.00
Regular Next Day Delivery Fee	\$35.00
Returned/Bounced Check Fee (payment for trades)	\$35.00
Vision Check Reorders	\$15.00
Vision Check- Stop Payment	\$35.00
Vision Check-Returned Check	\$25.00
Vision Check Writing Termination	\$25.00
Vision Platinum Debit Card (Annual)	\$60.00

MISCELLANEOUS FEES PER TRANSACTION

Miscellaneous Fees are additional fixed commission.

Equity Transactions	\$45.00
Foreign Equity Securities	\$50.00
Options (fee is per trade; add \$1.75 per contract)	\$45.00
Listed Corporate, OTC Corporate, Government Securities, CMOs, CDs, UITs, Mortgage Backed Securities, Zero Coupon Bonds	\$40.00
Load/No-Load Mutual Fund Buys & Sales	\$38.50
Periodic Investment (PIP)/Systematic Withdrawal (SWP) Plans per transaction	\$4.00

- For additional fees, see the Hilltop Correspondent Customer Clearing Brochure Schedule A. When different, the higher fee is applicable.
- Securities may be liquidated without notice to cover account debits.
- Margin interest rate is subject to change daily. Quotes are available daily.
- Annual custody and valuation fees are capped at \$500 per Account.
- Cape Securities, Inc. fee schedule available at www.capesecurities.com.

2: CONTACT INFORMATION

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