



Brokerage Fee Schedule

The fees listed below apply to brokerage accounts held at Apex Clearing Corporation (“Apex”). The listed account and service fees do not include commissions, markups, commission equivalents or billable advisory fees. See the Form ADV Part 2A Appendix 1 (Wrap Fee Program Brochure) for information on the fees charged to the AAMP program 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)	\$5
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
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

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)
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 cabel 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