



SW FINANCIAL

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Schedule of Fees

Fee Description	Fee	Fee Basis
Overnight Delivery (UPS)	\$60.00	per item
International Delivery (UPS)	\$120.00	per item
DWAC charge	\$100.00	per item
DWAC Reject charges	At Cost	per item
Client Foreign Financial Intermediary (Omnibus) Due Diligence Review Fee	\$1,000.00	\$200 /Hr. over 5 Hrs. per account
Safekeeping / Reconciliation / Vault Fee	\$100.00	per year (charged quarterly)
Re-registration of Stock or Alternative Investment	\$100.00	Costs
Clearance or Transfer of Restricted Stock	\$150.00	Costs
Certificate request <u>DTC</u>	\$1,000.00	per certificate
Rush Withdrawal <u>DTC</u>	\$250.00	additional
Penny stock re-registration w/agent (domestic)	\$350.00	per certificate
Penny stock re-registration w/agent (Canadian)	\$850.00	per certificate
Rejected deposits DTC or agent	\$300.00	per certificate
Transfer agent charges	As incurred	
Long Positions (Sub penny Book Entry)	\$0.0000006	per share, monthly basis
Axos Assisted Dividend Posting (Asset not held at Axos Clearing)	\$25.00	per item
Annual Custodial Fee	\$100.00	per plan
Limited Partnerships/Alternative Investment Products Custody	\$125.00	per position annually, charged quarterly
Termination Fee (Including ACAT & non-ACAT outgoing transfers)	\$150.00	per account / plan
Certificate Deposit	\$50.00	per position/per customer
Cashless Stock Options	\$35 min	1% of proceeds Plus Costs ; per item
Reg.-T Extension	\$40.00	per extension
TOD Distributions	\$250.00	per distribution
Voluntary Tender/Exchange Offer/Bond Puts	\$60.00	per election
Bond Redemption/Conversion (Physical Only)	\$100.00	Plus Costs
Worthless securities processing charges	\$30.00	per security processed
Mandatory Reorg Corporate Actions	\$50.00	per account
Dividend Reinvest	\$1.25	per dividend reinvestment entry
Cash Dividend Outgoing Check	\$15.00	per check
Cash Dividend Outgoing ACH	\$0.50	per ACH
Manual Options Exercise Request	\$50.00	per request
Firm Commission (fee in addition to broker commission)	Up to \$150.00	per trade
Physical Settlements	\$200.00	Plus Costs



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Free Deliveries DTC	\$50.00	per security
NY Window / Physical Delivery	\$75.00	per security
Annual Maintenance Fee (per account -Non-IRA / Qualified Plan)	\$200.00	Per year
Trades Settled Same-Day (Cash Trades)	\$25.00	per trade
**Margin Interest Rate	Axos Clearing LLC Base Rate + 4.00%	Annualized; charged monthly
Transfer In and Out/Physical Certificate (Foreign)	\$250.00	Costs
Foreign Custody Fee	2.5 bps annually (subject to change based on local market rates)	monthly ; per security
Stop payments	\$50.00	per check
Returned Checks	\$65.00	per check
Photocopies of Checks	\$10.00	per check
Returned ACH Items	\$50.00	per return
Wire, Domestic (Outgoing)	\$50.00	per wire
Wire, International (Outgoing)	\$100.00	per wire
Wire Research Requests / Service Messages	\$75.00	per request
Foreign Currency Conversions	\$75.00	per conversion
Foreign Currency Transaction Postings	\$50.00	per posting
Check Writing Stop Pays	\$50.00	per stop
CCPA Check writing and Platinum Card	\$100.00	per year

*The above fee schedule is for services provided by SW Financial's (SWF) clearing firm, Axos Clearing LLC, and may include additional fees charged and paid directly to SWF. These fees and charges may be passed onto customer accounts to include the costs associated with the processing of transactions and may be a source of additional compensation to SWF and/or its registered representatives.

**The Margin Interest Rate applies only to SWF Margin accounts leveraged to a margin debit balance. Note that total annualized Margin Interest Rate percentage charged includes an additional Base Rate charged by the clearing firm. Additional Base Rate charged by the clearing firm may be subject to change without written notice. Please refer to SWF/Axos Clearing LLC's margin agreement for further details or contact SWF or the clearing firm with any questions about the applicable margin interest rates. Monthly Margin Interest Rate percentage charged to customer accounts will be detailed in monthly statements.

SW Financial charges a firm commission of up to \$150.00 on all transactions in addition to any applicable fees or charges, commissions or markups/markdowns charged to customer accounts.