



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/AIP   | \$125.00       | per position annually charge 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.