

## SCHEDULE OF ACCOUNT FEES Effective February 15, 2022

The fees listed below do not include commissions, markups, commission equivalents or advisory fees. These fees apply to brokerage accounts carried by StoneX Financial Inc., your broker's clearing firm. Items not included in this Schedule of Account Fees will be billed at standard rates (available upon request).

<b>SERVICE FEES</b>		
ACAT Processing Transfer In	No charge	
ACAT Processing Transfer Out (Full or partial)	\$95.00	Per ACAT processed
Alternative Investments (Charged quarterly)	\$10.00	Per month/per security
Copies of Archived Monthly Statements/Confirms	\$10.00	Per document requested
Corporate Actions	\$50.00	Per event
DRS Reject	\$30 + pass-through of TA & DTC fees	Per event
DRS Transfer	\$100.00 + pass-through of TA & DTC fees	Per event
DTC/Government/DWAC Delivery	\$30 + pass-through of TA & DTC fees	Per receipt or delivery
Foreign Currency Negative Interest	Variable <sup>1</sup> , pass-through at cost	
Foreign Security Custody Fee (Equities and Fixed Income)	2 bps per annum (CA, DE, FR, IT, UK and Euroclear)	Per position/per month (Subject to \$2.50 min)
Foreign Security Custody Fee (Non-US mutual funds/UCITs)	All other countries variable <sup>1</sup>	
Foreign Security Delivery or Cancellation	10 bps per annum (\$2.50 minimum)	Per position/per month
Inactive Account Fee <sup>2</sup>	\$50.00 + settlement fees	Per event/instruction
Interested Party Confirm	\$45.00	Per year/per account
Margin and COD Extensions (Reg-T)	Standard Rates Apply	
Mutual Fund Redemption Fee	\$10.00 + interest	Per event
Option Exercise/Assignment Surcharge	\$22.50	Per transaction
Other DTC Items (e.g., reorg, etc.)	\$25.00	Per transaction
Overnight Delivery Package	\$30 + pass-through of TA & DTC fees	Per delivery
Overnight Delivery Package (Saturday Delivery)	\$25.00	Per delivery
Paper Delivery Surcharge for Client Confirmations <sup>3</sup>	\$35.00	Per delivery
Paper Delivery Surcharge for Client Statements (charged quarterly) <sup>3</sup>	\$2.50	Per delivery
Pledge Account Annual Fee	\$2.00	Per statement
Pledge Account Setup Fee	\$50.00	Per year
Retail Handling Fee	\$100.00	1-time per account
Rights/Warrants Subscription	\$5.00	Per confirm
UIT Redemption Fee	\$75.00	Per issue
	\$45.00	Per transaction

<b>PHYSICAL SECURITY FEES<sup>4</sup></b>		
Acommodation Transfer	\$100.00	Per certificate
Bond Redemption/Conversions (physical certificates)	\$100.00	Per transaction
Deposit of Physical Securities with DTC	\$20.00	Per transaction
Employee Stock Option Processing	\$50.00	Per transaction
Foreign Physical Certificate Receive/Deliver	\$250.00	Per transaction
Legal Transfer	\$50.00	Per transfer
Precious Metal Safekeeping Fee	0.5% of market value (\$5 quarterly min.)	Per annum, prorated quarterly
Restricted Security Clearance	\$100.00	Per delivery
Return Deposit of Certificates (DTC)	\$150.00	Per event
Transfer & Ship	\$600.00 + pass-through of TA & DTC fees	Per transfer/per certificate
Transfer & Ship (Rush)	\$750.00 + pass-through of TA & DTC fees	Per transfer/per certificate
Vault/Safekeeping	\$5.00	Per certificate/per month

<b>CASH MANAGEMENT FEES</b>		
ACH to Third Party	\$10.00	Per instruction
Cash Debits	Standard Margin Rates	
Check Copies	\$5.00	Per item
Federal Reserve Wire Transfer	\$20.00	Per wire
Incoming Wire Transfer	No charge	
International Wire Transfer	\$50.00	Per wire
Non-Sufficient Funds	\$40.00	Per item
Paid CMA Overdraft	\$35.00	Per item
Pre-Payment	\$35.00 + interest	Per event
Returned CMA Item	\$40.00	Per item
Rush CMA Checks	\$75.00	Per item
Stop Payment	\$30.00	Per item

<b>IRA FEES (US Customers Only)</b>		
Annual Fees (not prorated) <sup>5</sup>	\$50.00	Per year/per account
Private Placement Security – Processing Fee	\$200.00	Per investment
Private Placement Security- Custody Fee	\$100.00	Per year/per investment
Profit Sharing Plan Fee	\$65.00	Per year/per account
Termination Fee	\$100.00	Per account
Termination and Transfer	\$150.00	Per account

<b>TRANSFER ON DEATH (TOD) FEES</b>		
Termination	\$100.00	Per account
Transfer to Beneficiary	\$100.00 + \$50.00 per beneficiary at distribution	

### MARGIN INTEREST (Only for accounts with margin agreements)

DEBIT BALANCE	MARGIN RATE
\$0 - \$50,000	StoneX Base Rate + 2.25%
\$50,001 - \$100,000	StoneX Base Rate + 2.00%
\$100,001 - 200,000	StoneX Base Rate + 1.75%
\$200,001 - 500,000	StoneX Base Rate + 1.50%
\$500,001 and over	StoneX Base Rate + 1.25%

StoneX Base Rate is the Call Money Rate (as published by the Wall Street Journal and Bankrate.com) plus 2.50% per annum.

### CHECK PAYMENT INSTRUCTIONS

Make checks payable to 'SA Stone Wealth Management Inc.' and include the affected account number in the 'Notes/Memo' field.

John Doe 111 Main Street Your Town, USA	Date: <u>mm / dd / yy</u>	001
PAY TO THE ORDER OF: <u>SA Stone Wealth Management Inc.</u> \$ <u>100.00</u>		
<u>One hundred dollars</u> DOLLARS		
Notes: <u>Account Number</u>	Signature: <u>John Doe</u>	

<sup>1</sup> Fee available by request.

<sup>2</sup> Inactive accounts are defined as accounts holding a security position for a 12-month period (August 1- July 31) without generating a) a trade or b) a free credit or margin interest of at least \$100. Mutual fund systemic reinvestments and exchanges will be considered a trade. Dividend reinvestment activity is not considered a trade. Inactive fees do not apply to retirement accounts where Clearing Firm acts as custodian or servicing agent and collects service fees. Accounts with a value of \$250,000 or greater and/or statement households of \$1 million or greater are exempt from the Annual Inactive Account Fee. Accounts exclusively holding book entry only fixed income positions or an aggregate FundVest position of \$10,000 or more are exempt from this fee. Clearing Firm reserves the right to charge this fee on a pro rata basis for accounts that terminate their relationship with Clearing Firm and upon termination of the Fully Disclosed Clearing Agreement for any reason by either party.

<sup>3</sup> Statement surcharge fee is waived for accounts managed in SASIA with a value of \$100,000 or greater, non-managed accounts with a value of \$250,000 or greater and/or statement households of \$1 million or greater.

<sup>4</sup> All Physical Security fees are subject to additional charges (e.g. transfer agent fees, DTC fees, etc.) which will be passed through at cost.

<sup>5</sup> Accounts with a value of \$250,000 or greater and/or statement households of \$1 million or greater are exempt from the Annual IRA Fee. Billed in September of each year.