

Fee Schedule (effective 11/14/16)

No advisor minimum. No account minimum. No inactive account fees.

Equity Trades <i>Under 1,600 shares</i>	Online	Broker-assisted
Market order	\$15.95	\$35
Limit order or Stop order	\$21.95	\$35
All orders over 1,600 shares: \$.01 per share \$95 max (except foreign)		
Foreign Security Transaction Fees and Commissions vary by country— Contact SSG for details		
Bonds & Other Fixed Income		
Agency Trades	\$50 per bond trade	
Principal Trades	NTF (included in bond price / yield)	
Listed Bonds	\$2.50 per bond (\$50 min.)	
Treasuries Auction	\$50	
CDs, New Issues	Commission varies by issuer. Add'l \$35 max. svc fee.	
CDs, Secondary	\$2.50 per \$1000 (\$40 min., \$95 max)	
UITs, ARPs	\$50	
Options	Online	Broker-assisted
Options	\$19.95 + \$1.25 per contract	\$35 + \$1.50 per contract
Option Exercise	n/a	\$35 per assignment
Fee Choice – Alternate Asset-based Trade Pricing Schedule		
Fee Range: 30 to 45 bps Minimum: \$350 annually		
Margin Rate: Annualized rate based on average debit balance		
\$0 - 10,000	Broker Call + 2.5%	
10,001 – 50,000	Broker Call + 2.0%	
50,001 – 100,000	Broker Call + 1.5%	
Over 100,000	Broker Call + 1.0%	
Over 1,000,000	Broker Call + 0.75%	
Broker Call: currently 2.25%. Subject to change. Hard-to-borrow short positions subject to surcharge based on market demand. Ask about our Fully Paid Securities Lending program.		
Cash Management Products		
	Corestone Silver & Silver Plus	Corestone Gold & Platinum
Annual Fee	Checkwriting-\$25 Checks plus Debit Card-\$50	Gold- \$100. Corp- \$150 Platinum-\$150 Corp-\$250
Minimum to open	Silver-\$5,000 SilverPlus-\$5,000	Gold-\$10,000 Platinum-\$20,000
Reorder checks	\$12.50	Gold-\$10, Platinum-\$7.50
Returned check/ACH	\$25	\$25
Stop Payment	\$25	\$25
Overnight Delivery Checks / Debit Card	\$20	\$20
Retirement Accounts		
IRA annual fee- Accts over \$10,000	Free	
IRA annual fee- Accts under \$10,000	\$25	
QRP, SEP, 403b, Individual(k), 401k annual fee	\$50	
Roth IRA Conversion/Recharacterization	\$25	
Retirement acct termination fees	\$90	
Limited Partnership/ Alternative or Private Investments		
Custody Fee per position /year-not prorated	\$60 reg'd/\$150 unreg'd	
Subscription/Redemption/Transfer/Rereg	\$85	
Unrecognized Income Filing	\$200	
New LP Document Legal Review	\$475	

Mutual Funds <i>Over 14,000 funds with 8,000 funds available at NTF or load waived without transaction fees*</i>		
<i>Please see Mutual Fund Network Guide for NTF list, other costs, and disclosures.</i>		
NTF Minimums**	No-load and some Load NTF Funds	Load Funds at NTF^
Regular trades	2,500	5,000
IRAs/QRPs	500	5,000
Periodic (SRS) Purchase/redemption	100	2,500
MF Transaction Fees		Online
Transaction fee funds		\$25
Exchanges (Buy and Sell same day in the same fund family)		\$25
Periodic (SRS) NTF funds		Free
Periodic (SRS) Non-NTF funds		\$5
Periodic (SRS) load funds @ NAV		\$5
*Short-Term Redemption (STR) Fee on NTF Funds: \$75 for shares held at SSG 3 months or less; \$5.50 for periodic redemptions held less than 3 months. **\$25 transaction fee applies on NTF fund redemptions within 3 months of transfer-in. Fund minimums and SSG minimums may vary. ^RIA's may purchase most load funds under a load-waiver. See Fund Prospectus. ^\$5,000 minimum purchase may apply. **Transaction fees apply on orders below the NTF minimum.		
Optional Services for Advisor's Firm		
Advisory Fee Prep Service	\$5 per acct per event min \$100	
Cost basis - enhanced stmt	\$6 per year	
Data Downloads	\$0 to 100 per mo	
Performance Report Basic/Extended	\$66/\$89 acct	
Statements/Confirms on CD	See periodic schedule	
Miscellaneous Account Fees		
Certificate / Legal Transfer / Rule 144	\$75	
Dividend Reinvestment on equities	25¢ per item	
Security Delivery to Transfer Agent	\$15	
Trade Correction, DK'd, Post settlement	\$20 per trade	
ESOP Exercise	\$100	
Foreign Ordinary Share Trfr, Settle, Rereg	\$50 to \$150, by country	
Margin Extension	\$20	
Mutual Fund share class conversion	\$50	
Overnight Check Delivery	\$12	
Precious Metals Service	\$100 trade; 75 bp storage	
Paper Statements or Confirms	\$2 to \$3.50	
Safekeeping / Foreign Custody	\$2 per month	
Transfer Out ACAT/Partial Transfer	\$75 per transfer	
Wire Fee	\$35 domestic/ \$50 forgn	
Corporate Reorg Items		
Voluntary	\$20	
Mandatory	No charge	
Physical delivery	\$50	
Rejected deposit	\$100	
Loan Advance to 70% of account equity (Not available in all states)		
\$25,001 - \$500,000	Prime Rate plus .50%	
\$500,000-\$1 million	Prime Rate plus .40%	
\$1 million or more	Prime Rate plus .35%	

Rates, fees and limits are subject to change.