Client fee schedule

Equity, ETP, closed-end fund, preferred stock and options commission formula

In order to calculate commissions, multiply the price per share and the quantity of the shares to determine the principal amount of the trade. The principal amount is multiplied by the corresponding total charge to the investor to determine the commission on the trade.

Equities, ETPs, closed-end funds, preferred stocks and options

Trade size	Fee to investor
$0–$249,999	1.50%
$250,000–$499,999	1.20%
$500,000–$999,999	0.90%
$1,000,000+	0.60%

Important notes on equity commission

- A $15 minimum commission is applied to all equity transactions.
- A fee of $5 per trade is charged to the investor.
- The maximum commission for all other transactions cannot exceed 5% of the principal.

Example 1	
Shares purchased	100
Value of each share	$20.00
Principal	$2,000.00

Formula
$2,000 × 1.50% = $30

Example 2	
Shares purchased	5,218
Value of each share	$67.80
Principal	$353,780.40

Formula
$353,780.40 × 1.20% = $4,245.36

Commission schedule applies to brokerage accounts only. Additional fees or charges may apply to investment advisory accounts or direct mutual fund accounts.

Due to the many variables involved in each transaction, please be advised that the commission calculation methodologies set forth in this document are simplified explanations of the actual brokerage commission structures and should serve as guidelines only. Fees will affect the ultimate cost or proceeds to the investor. Commissions and fees are subject to change. This schedule does not include all security transaction types. Always refer to your financial professional or contact the appropriate trade desk for the true and exact transaction amount.

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