



Client Fee Schedule Effective October 1, 2021

Fee Description	Total Fee	Fee Basis
Reorg / Dividends / Transfers		
ACAT / Non-ACAT (full or partial) Transfer Out * Plus free delivery charge for each position	\$125.00	Per account
Free Deliveries DTC	\$25.00	Per security
Mandatory Reorg Corporate Actions	\$25.00	Per account
Voluntary Tender / Exchange Offer / Bond Puts	\$35.00	Per election
Axos Clearing-Assisted Dividend Postings (Asset not held at Axos Clearing)	\$15.00	Per item
Cash Dividend Outgoing Check	\$10.00	Per check
Check Processing		
Stop Payments	\$50.00	Per stop
Returned Checks	\$75.00	Per check
Photocopies of Checks	\$10.00	Per check
Prepayment of Unsettled Funds	\$50.00	Per item, plus interest
Check Writing Stop Pays	\$50.00	Per check
Returned ACH Items	\$60.00	Per return
Qualified Plan Accounts (IRA, 401(K), SEP, etc.)		
IRA Annual Custodial Fee	\$75.00	Per plan
Transfers (including transfer of ROTH to/from Traditional IRA)	\$100.00	Per transfer
Termination Fee	\$75.00	Per return
Tax Services		
W8 BEN Validation Fee	\$60.00	Per item
Withholding Statement Processing Fee	\$500.00	Per item
DWAC		
DWAC Charge	\$75.00	Per item
DWAC Reject Charges	\$25.00 + cost	At cost
Alternative Investments		
Alternative Investment Reconciliation	\$100.00	Per year (charged quarterly)

Re-registration of Stock or Alternative Investment	\$50.00	Per re-registration, plus cost
Transfer on Death (TOD) Registration		
TOD Application Fee	\$60.00	Per account set up
TOD Change / Revocation	\$60.00	Per account change
TOD Distributions	\$200.00	Per distribution
Securities Processing		
Long Positions (sub-penny, book entry)	\$0.006	Per 10,000 shares / monthly
Clearance or Transfer of Restricted Stock	\$100.00	Per item, plus cost
Physical Security Processing		
Certificate Request – DTC	\$1,000.00	Per certificate
Rush Withdrawal – DTC	\$150.00	Additional
Physical Settlements	\$100.00	Per settlement, plus cost
Rejected Deposits – DTC or Agent	\$185.00	Per certificate
NY Window / Physical Delivery	\$50.00	Per security
Transfer Agent Charges	as incurred	As incurred, plus any mark-up
Physical Security - same day turn around deliveries		
Envelope Settlement Service Delivery	\$50.00	Per item
Funds Only Settlement Service Delivery	\$50.00	Per item
Envelope Settlement Service Reclaim Delivery - Funds Only	\$50.00	Per item
Settlement Service Reclaim Delivery	\$50.00	Per item
Internal Cross Delivery	\$40.00	Per item
Over the Window Delivery	\$100.00	Per item
Over the Window Reclaim Delivery	\$100.00	Per item
Receives - Follow up with Settlements		
Envelope Settlement Service	\$50.00	Per item
Funds Only Settlement Service	\$50.00	Per item
Over the Window Receive	\$100.00	Per item
Envelope Settlement Service Reclaim Receive - Funds Only	\$50.00	Per item
Settlement Service Reclaim Receive	\$50.00	Per item
Internal Cross Receive	\$40.00	Per item
Over the Window Reclaim Receive	\$100.00	Per item
Wire Transfers		
Domestic	\$40.00	Per wire
International	\$100.00	Per wire
Research Requests	\$50.00	Per request
Overnight Delivery (UPS)		
Domestic	\$50.00	Per delivery
International	\$125.00	Per delivery (other fees may apply)

Foreign Securities		
ADR Fee	\$0.005	Per item, plus transaction cost
Transfer In / Out – Physical Certificate (Foreign)	\$150.00	Per certificate, plus cost
Physical Certificate Request	\$1,000.00	Per certificate, plus cost
Foreign Currency Conversions	\$50.00	Per conversion
Foreign Currency Transaction Postings	\$25.00	Per posting
Other Fees		
Worthless Security Processing	\$50.00	Per security
Manual Option Exercise Request	\$50.00	Per request
Cashless Stock Options	\$35.00	Per request, plus 1% of proceeds, plus cost
Trades Settled Same Day (Cash Trades)	\$15.00	Per trade
Bond Redemption / Conversion (Physical Only)	\$75.00	Per item, plus cost
Reg-T Extensions	\$50.00	Per extension
Vault Services	\$75.00	Per year
CCPA Check Writing and Platinum Card	\$100.00	Per year
DVP Special Processing - Settlements	\$10.00	Per trade
Tender/Exchange Offer/Bond Puts	\$35.00	Per item
Handling Fee	\$49.95	Per Trade
Account Fee- Annual (Non IRAs)	\$75.00	Per Year

*The above fees may be charged to your account with ARIVE Capital Markets LLC which is carried by Axos Clearing LLC (“Axos Clearing”).

The list of fees does not include commissions or any other trade-related fee as those fees are disclosed on each trade confirmation.

With the exception of fees that are “pass through”, “at cost”, “prorated”, “interest charged”,

or that provide a range as a guideline, the fee listed is the highest amount that will be charged for the service provided.

Fees may change at any time as permitted by applicable regulations and the terms of the clearing agreement between ARIVE Capital Markets LLC and Axos Clearing.