



Customer Fee Schedule Effective 11/1/2011

Checking & Debit Card Fees	
Advantage Account—Basic (check writing only)	No annual fee for check writing
Advantage Account—Standard (debit card)	\$125 annual fee
Check Orders—Individual*	
Initial order-standard wallet (40 checks)	Free Service
Re-order standard wallet (150)	\$9
Initial order-standard duplicate (150 checks)	\$20
Re-order standard duplicate (150)	\$20
Check Orders—Corporate*	
Initial order (Three to a page) 300 checks	\$58
Re-order (Three to a page) 150 checks	\$43.50
*Additional delivery charges may apply from check vendor on options other than bulk mail	
Misc. Fees—Advantage Account	
Insufficient Funds	\$20
Stop Payment Order	\$15 (reduced from \$25)
Returned Checks	\$25
Check Research	\$5 each
Check Copies	Three free copies per month; \$15 each over 3
ATM Transaction	No internal service fee
Other Fees	
Prepayment on Sale (payment prior to settlement date)	Margin Rate with \$15 Minimum
Overnight Express Mail	\$15
Client Online Access to Account	Free Service
Online Bill Pay	Free Service (was \$7 per month)
Deposited Item Returned	\$10 per item
Postage & Handling	\$6
Bond Redemptions	Free Service
Transfer on Death Application Fee	Free Service
Stop Payment on checks issued by City Securities Corporation	Free Service
Estate Valuations	Greater of \$10 minimum or \$2 per cusip/position
Filing for a Regulatory Extension for payment due on a Trade	\$5 Filing Fee plus margin rate on balance unpaid
Regulatory Trade Violations	\$5
Transfer Fees (any additional transfer agent or depository fees are passed on at cost)	
Account Transfer to another broker/dealer (ACAT)	\$95
Physical Certificate Issuance (if possible)	\$250 per certificate (\$500 rush order)
Delivery of position through Direct Registration System	Free Service
Physical Certificate Reject Fee	\$50 per item
Direct Registration Reject Fee	\$75 per item
Foreign Securities (order out)	\$250 per security
Customer Name Safekeeping	Positions held on an exception basis, fees may apply
GNMA Certificate Issuance	\$125 per item
Reorganization Activity	
Non-Physical	Free Service
Instructions received after expiration	\$250 per item
Lost Certificate Replacement	
If reported within 90 days	Free Service
If reported after 90 days	\$50 plus transfer bonding (usually 3% of market value)
Mutual Funds	
Ticket Charge	\$10 per trade
No-Load Commission	The greater of \$25 or 1% of the investment

Wire Transfer Funds	
Domestic	\$15 per wire
International	\$25 per wire

Retirement Account Fees	
IRA Custodial Fee- Annual Maintenance	\$35
IRA Custodial Fee-Termination Fee	\$95
Qualified Retirement Plans – using First Clearing Prototype	
QRP EZ Plan	
Set up Fee	\$125*
Annual Maintenance Fee	\$75
Amendments (client generated)	\$50
Replacement Kit – Binder	\$50
Replacement Kit – CD	\$25
QRP Standardized Plan	
Set up Fee	\$250*
Annual Maintenance Fee	\$150
Amendments (client generated)	\$50
Replacement Kit – Binder	\$50
Replacement Kit – CD	\$25
QRP Non-Standardize Plan	
Set up Fee	\$250*
Annual Maintenance Fee	\$150
Amendments (client generated)	\$50
Replacement Kit – Binder	\$50
Replacement Kit – CD	\$25
* includes first year maintenance	

Annual Inactive Account Fees	
Custodial Accounts	\$30
All other Accounts (excluding IRAs, Advantage Standard with debit card, and advisory accounts)	\$50

Margin Interest Rates	
Debit balance:	Interest Rate:
\$1 - \$10,000	Prime Rate + 1.25%
\$10,000.01 - \$20,000	Prime Rate + 1.00%
\$20,000.01 - \$30,000	Prime Rate + 0.75%
\$30,000.01 - \$50,000	Prime Rate + 0.50%
\$50,000.01 - \$100,000	Prime Rate
\$100,000.01 and over	Prime Rate – 0.50%

With any of the client services items listed above, there may be certain instances where additional fees apply and will be charged and priced based on the situation.

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Updated JP 9/9/11