

# 1st DISCOUNT BROKERAGE, INC.

## FEE SCHEDULE

EFFECTIVE AUGUST 06, 2017

### **BANKING:**

ACH Notice of Correction	\$5	Charged to correct ACH instructions
Paper Check Draft (USD) - Domestic	\$5	Per check request including dividend checks
Paper Check Draft - International	\$10	Per check request including dividend checks
Returned Checks/ACH/Wires & Recalls	\$35	Charged for checks deposited with Apex Clearing, or ACH & Wire items that are rejected for insufficient funds, etc.
Stop Payment of Checks	\$30	Charged for each Stop Payment
Third Party Distribution Notification	\$4	Per notification
Wire Transfers - Domestic	\$30	Charged for each transfer of funds to another domestic financial institution via Federal wire system
Wire Transfers - Foreign	\$75	Charged for each transfer of funds to a foreign financial institution via Federal wire system

### **Apex Select™ Cash Management Fees:**

Annual Debit Card	\$35	
Annual Checking	\$20	
ATM Withdrawal	\$ 1	
Stop Payment	\$35	
Returned ACH/Check	\$35	
Checkbook Order	\$15	Book of 50 non-duplicate
Check Copy	\$15	
Sales Draft Copy	\$15	
Collection Processing	\$25	
Domestic Overnight Shipping	\$45	

International Overnight Shipping \$100

**FEES:**

144 Restricted Stock Sales	Variable	Charged per issuer for fees assessed by 3rd party agent for processing additional required paperwork (Inquire for quote)
ACAT (Full and Partial)	\$150	Charged for each account that transfers to another firm
Accommodation Transfers T&S	\$235	Charged per certificate for transfers of stock from "street name" to personal certificate registration and delivery
Accommodation Transfers DRS Eligible	\$115	Charged per security for transfers of stock from "street name" to book entry at transfer agent
Accommodation Transfers DRS Eligible - Foreign	\$235	Foreign account charge per certificate for transfers of stock from "street name" to book entry at transfer agent
Accommodation Transfers - Rush	\$350	Charged per certificate for rush transfers of stock from "street name" to personal certificate registration and delivery
ADR Transactions Fee	Variable	Additional fees from sponsors. Questions please call 888-642-2811
Advisory Account Administrative Fee	\$150	Charged annually for Advisory Accounts only
Confirm Service Charge	Variable	Processing fee posted on each confirm
Copy of Check	\$15	Charge for each requested copy of a check written from a client's account
Copy of Historic Monthly Statement or Confirmation	\$5	Charged for each requested copy of a statement or confirmation
DTC Delivery	\$25	Per security
DTCC Ineligible Stocks	Variable	Fee quoted by Apex Clearing prior to entering the trade
DWAC	\$75	Charged for transfer of stock, usually in conjunction with the exercise of employee stock options
DWAC/DRS Reject	\$125	Per security
Electronic to Physical Certificate Conversion	\$900	Per security
Estate Account Set-Up Fee	\$100	Charged when an Estate Account is originally set-up

Estate Account Maintenance Fee	\$75	Charged yearly for account maintenance
Extension - NYSE	\$25	Charged as a filing fee for late payments on purchases of securities
FINRA Trading Activity Fee	Variable	May be applicable depending on security(ies) traded and will be charged to the account on a monthly basis
Foreign Account Maintenance Fee	\$150	Charged monthly for foreign accounts
Foreign Account Termination Fee	\$150	Charged for closing a foreign account
Foreign Free Receives/Delivers	\$35	Per transaction
Foreign Security Transfer Fee	\$50	Per security
Inactive Account Fee	\$75	Charged in July for accounts without any trading activity during the previous 12 months
Inactive Account Fee	\$100	Charged in July for accounts without any trading activity during the previous 24 months
Inactive Account Fee	\$150	Charged in July for accounts without any trading activity during the previous 36 months
IRA Maintenance	\$50	Charged yearly per IRA account for account maintenance processing costs
IRA Termination	\$150	Charged for closing all retirement plans, including beneficiary IRA's and accounts belonging to holders over 70 1/2 years of age. If an account balance is \$150 or less and there has not been any customer initiated activity during the past 12 months, the remaining balance will be charged as a termination fee and the account will be closed.
IRA Transfer	\$150	Charged for each retirement account transferring to another firm
Legal Transfers - Standard	\$150	Charged per security per issuer for transfers requiring legal papers and stock powers
Limited Partnerships/Private Placements	\$250	Per investment - IRA only
Liquidations to Cover Debit	\$50	Per liquidated security, in addition to other applicable fees
Lost Certificate Replacement	\$250+	3% of certificate value - \$250 minimum
Low Balance Maintenance Fee Retirement Accounts	\$5	Charged monthly for each account with a total month-end account value of \$150 or less

Low Balance Maintenance Fee Non-Retirement Accounts	\$10	Charged monthly for each account with a total month-end account value of \$150 or less
Margin Sell Out Fee	\$50	Charged per event
Mutual Fund Processing Fee	\$40	Charged for processing mutual fund transactions
Non-transferrable Stocks	\$20	Charged per stock per month
Non-Retirement Account Termination	\$40	Charged for all non-retirement account terminations. If an account balance is \$40 or less and there has not been any customer initiated activity during the previous 12 months, the remaining balance will be charged as a termination fee and the account will be closed.
NSCC Illiquid Stock Trade	\$250+	Determined by NSCC, charged directly to the client's account, and reflected on the monthly statement - \$250 minimum
Physical Deposit - Domestic	\$300	Per security
Physical Deposit - Foreign	\$350	Per security
Physicals - Foreign Accommodation Transfers	\$350	Per security
Physical Trade Settlement	\$300	Charged for trades when the securities are not DTC eligible and a physical certificate is being held. Applies to all Transfer Agents except Pacific Stock Transfer which would be \$600
Reorganization Activity - Voluntary or Post Actionable Domestic	\$50	Charged per issue for reorganizations in which a customer is able to elect to participate, such as a tender offer
Reorganization Activity - Voluntary or Post Actionable International	\$100	Charged per issue for reorganizations in which a customer is able to elect participation, such as a tender offer. Also applied to Survivor/Options/Death Puts
Reorganization Physical Processing Fee	\$125+	Transfer Agent Fees are additional
Restricted Transfers	\$465	Per security
Safekeeping Deposit	\$7.50	Charged per position deposited into Safekeeping at DTC
Safekeeping Limited Partnerships/ Private Placements	\$25	Charged monthly for IRA only
Safekeeping Position	\$5	Charged monthly per position held in Safekeeping at DTC
Safekeeping Withdrawal	\$100	Charged per position withdrawn from Safekeeping at DTC

Short Forced Buy-in Fee	\$25	Per ticket
Stock Loan	Variable	Additional fees from Apex Clearing are charged to the account. Questions please call 888-642-2811
Stock Loan- Hard to Borrow	Variable	May be applicable depending on security(ies) traded and will be charged to the account
TOD Account Transfer Fee	\$250	Charged for TOD Account to transfer assets
Trust Account Maintenance Fee	\$75	Charged yearly for account maintenance

## **POSTAGE & HANDLING**

All Mailing Notices	\$4	Charged for all account related mailings not separately noted below
Overnight Courier - Domestic	\$50	Charged for use of overnight couriers such as FedEx, DHL, UPS, etc
Overnight Courier - International	\$100	Charged for use of overnight couriers such as FedEx, DHL, UPS, etc
Paper Confirms	\$2	Apex Clearing charge for mailing paper confirms
Paper Statement and/or Tax Documents	\$5	Charged for mailing paper statements and/or tax documents
Returned Mail	\$4	Charged per each returned item, and reflected on the monthly statement
Un-cashed Checks Mailing Notice	\$4	Charged by Apex Clearing for mailing notices to payees of checks that remain un-cashed for 180 days past the issue date, and for each successive month that requires an additional notice

## **REGULATORY:**

ORF - Option Regulatory Fee	Fee assessed is based on quantity, and the applicable charge is listed on the confirm
Section 31 Fee	This is a transaction based fee that is assessed by the SEC, and the applicable charge is listed on the confirm
TAF	This is a transaction based fee that is assessed on covered securities by FINRA. The fee varies based on the type of covered security, and the applicable charge is listed on the confirm