



# 2019 BROKERAGE FEE SCHEDULE

A COMPREHENSIVE GUIDE TO **NFS FEES**.

## RETIREMENT ACCOUNT FEES

Traditional IRA, Roth IRA, SEP IRA, SIMPLE IRA "Premiere Select IRA"	\$35.00/yr. (in arrears)
Profit Sharing, Individual K and Money Purchase Prototypes "Premiere Select Retirement Plans"	\$35.00 at set-up, then /yr.
Account Termination	\$125.00/transaction

## CHECKING FEES ASSESSED TO CLIENT ACCOUNTS

Brokerage Access Account (no debit card) -- grandfathered only, no new accounts	No charge
Select Access Account with ACH and Bill Pay	\$10.00/yr.
Select Access -- Checking Upgrade	\$5.00/yr.
Select Access -- Visa Debit Card Upgrade	\$5.00/yr.
Premier Access Account with ACH, Bill Pay, Checking, Rewards Debit Card	\$100.00/yr.
Premier Access -- Metal Card Upgrade	\$10.00/yr.

## ACCOUNT SERVICE FEES

Inactive Account Fee—Retail Accounts	\$50.00/yr.
Inactive Account Fee—Mutual Fund Only Accounts	No charge
Cost Basis Tracking	No charge
Alternative Investment—Transfer/Re-Registration	\$50.00/transaction
Alternative Investment—Review of New Product	\$100.00/CUSIP
Alternative Investment—Registered Products	\$35.00/yr. (Max/yr. \$500.00/account)
Alternative Investment—Unregistered Products	\$125.00/yr. (Max/yr. \$500.00/account)
IRS 990-T UBTI Tax Filing (Per Cusip)	\$300.00
Overnight Delivery of Check	\$12.00/transaction
Outgoing Wire Transfer Fee	\$15.00 IRA/Prototype Retirement Plans // \$25.00/Non-Retirement/Non-Prototype Retirement Plans
Insufficient Funds (Return Check/ACH Debit)	\$30.00/transaction
Outgoing Check—Stop Payment Fee	\$15.00 IRA/Prototype Retirement Plans // \$10.00 Non-Retirement/Non-Prototype Retirement Plans

## TRANSACTIONAL CHARGES

Outgoing Account Transfer Fee (Non-Retirement)	\$95.00/transaction
Termination of Account (Non-Retirement)	No charge
Options Assignment	\$15.00/transaction
Margin/Regulation T Extension	\$50.00/transaction

**TRANSACTIONAL CHARGES**

Mailgram Fee	\$10.00/transaction
Physical Reorganization	\$20.00/transaction
Legal Transfer	\$20.00/transaction
Legal Return (Stock Return to Client—Not in Good Order)	\$35.00/transaction
Foreign Securities Transfer	Pass through fees per transaction
Certificate Safekeeping	\$3.00/mo./security
Incoming DRS (Direct Registration System) Transfer	\$15.00/transaction; plus pass through charge from select transfer agents
Outgoing DRS (Direct Registration System) Transfer	\$15.00/transaction
Accommodation Transfer/Transfer and Ship Certificate	\$40.00/transaction
Cash Due Interest	Current applicable rate/mo.

**MARGIN ACCOUNTS (AS OF 01/01/19)****DEBIT BALANCE****INTEREST RATE**

\$0 to \$9,999	NFBLR + 2.5%
\$10,000 to \$24,999	NFBLR + 2.25%
\$25,000 to \$99,999	NFBLR + 1.25%
\$100,000 to \$499,999	NFBLR + 0.75%
\$500,000+	NFBLR + 0.50%

**TRADING FEES—WMP ADVISORY**

Equity/ETF	\$0.00 to \$9.00	/transaction
Load Funds @ NAV	\$0.00 to \$9.00	/transaction
No Load Funds	\$0.00 to \$9.00	/transaction
Mutual Fund PIP/SWP	No charge	
Mutual Fund Exchange	No charge	
Fixed Income	\$0.00 to \$9.00	/transaction
UIT	\$0.00 to \$9.00	/transaction
Options	\$0.00 to \$9.00	/transaction
Confirmation Fee	No charge	

All fees are assessed against cash or cash sweep in the account. If funds are not available to cover fees or activity-related debits, holdings may be liquidated by Royal Alliance Associates sufficient to cover any outstanding debit. Fees are subject to change and are depicted on a per account basis and are not prorated when an account is closed prior to its anniversary date. Not all fees may be shown or are applicable to all account types, Please speak with your investment professional for additional details.