Royal Alliance
Member of Advisor Group

2018 NFS BROKERAGE FEE SCHEDULE

ITEM	FEE	FREQUENCY
RETIREMENT ACCOUNT FEES		
Traditional IRA, Roth IRA, SEP IRA, SIMPLE IRA “Premiere Select IRA”	$35.00	Annually (in Arrears)
Profit Sharing, Individual K and Money Purchase Prototypes “Premiere Select Retirement Plans”	$35.00	At Set Up, Then Annually
Account Termination	$125.00	Per Transaction
BROKERAGE ACCESS / CHECKWRITING FEES		
Brokerage Access	$0.00	Annual, On Anniversary
Brokerage Access with Visa Classic Debit Card	$100.00	Annual, On Anniversary
Brokerage Portfolio Gold	$150.00	Annual, On Anniversary
Brokerage Portfolio Platinum	$195.00	Annual, On Anniversary
Check Book Initial Order (25 Checks)	$0.00	Per Transaction
Check Book Reorder (50 Checks)	$5.00	Per Transaction
Stop Payment Fee	$15.00	Per Transaction
Check Copies	$2.50	Per Transaction
Returned Checks	$25.00	Per Transaction
Insufficient Funds Returned Checks	$15.00	Per Transaction
Network ATM Transaction	$1.00	Per Transaction
Out of Network ATM Transaction	$2.50 + ATM Surcharge	Per Transaction
Complete Bill Pay (Up to 15 transactions)	$7.95	Per Month
Small Business Bill Pay (Up to 25 transactions)	$17.95	Per Month
ACCOUNT SERVICE FEES		
Inactive Account Fee — Retail Accounts	$50.00	Annually
Inactive Account Fee — Mutual Fund Only Accounts	$0.00	Annually
Cost Basis Tracking	$0.00	
Alternative Investment — Transfer / Re-Registration	$50.00	Per Transaction
Alternative Investment — Review of New Product	$100.00	Per CUSIP
Alternative Investment — Registered Products	$35.00	Annually, Max $500/Year Per Account
Alternative Investment — Unregistered Products	$125.00	Annually, Max $500/Year Per Account
IRS 990-T UBTI Tax Filing (Per Cusip)	$300.00	
Overnight Delivery of Check	$12.00	Per Transaction
Wire Transfer	$15 IRA/Prototype Retirement Plans	$25 Non-Retirement/Non-Prototype Retirement Plans
Insufficient Funds (Return Check / ACH Debit)	$30.00	Per Transaction
Check Stop Payment Fee	$15 IRA/Prototype Retirement Plans	$10 Non-Retirement/Non-Prototype Retirement Plans
TRANSACTIONAL CHARGES		
Outgoing Account Transfer Fee (Non-Retirement)	$95.00	Per Transaction
Termination of Account (Non-Retirement)	$0.00	
Options Assignment	$15.00	Per Transaction
Margin / Regulation T Extension	$50.00	Per Transaction
Physical Reorganization	$20.00	Per Transaction
Legal Transfer	$20.00	Per Transaction
Legal Return (Stock Return to Client — Not in Good Order)	$35.00	Per Transaction
Foreign Securities Transfer	Pass Through Fees	Per Transaction
Certificate Safekeeping	$3.00	Per Month, Per Security

ITEM	FEE	FREQUENCY
TRANSACTIONAL CHARGES (CONTINUED)		
Incoming DRS (Direct Registration System) Transfer	$15.00	Per Transaction; Plus Pass Through Charge from Select Transfer Agents
Outgoing DRS (Direct Registration System) Transfer	$15.00	Per Transaction
Accommodation Transfer / Transfer and Ship Certificate	$40.00	Per Transaction
Cash Due Interest	Current Applicable Rate	Monthly
MARGIN ACCOUNTS (RATES AS OF 6/1/17)	**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	Per Transaction
Load Funds @ NAV	$0.00 to $9.00	Per Transaction
No Load Funds	$0.00 to $9.00	Per Transaction
Mutual Fund PIP / SWP	$0.00	Per Transaction
Mutual Fund Exchange	$0.00	Per Transaction
Fixed Income	$0.00 to $9.00	Per Transaction
UIT	$0.00 to $9.00	Per Transaction
Options	$0.00 to $9.00	Per Transaction
Confirmation Fee	$0.00	Per Transaction

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, Inc. 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.

Royal Alliance Associates, Inc. is a registered broker-dealer and Registered Investment Advisor, member FINRA/SIPC. Advisor Group is a holding company.

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