



National Financial Services, LLC Ancillary Charges

Account and Service Charges

| Account or Service | Fee Amount | Frequency | Included in WealthPort® Program Fee |
|---|------------|--------------------------|-------------------------------------|
| Cost basis* | \$0.45 | Per statement | X |
| Cost basis – detailed* | \$0.70 | Per statement | X |
| Custody and recordkeeping fee (retail inactivity fee)** | \$35.00 | Annual | |
| HSA annual maintenance fee | \$35.00 | Annual | X |
| HSA liquidation Fee | \$25.00 | Full account liquidation | X |
| Legal transfer fee** | \$150.00 | Per position | |
| Outgoing transfer fee – retail accounts** | \$125.00 | Per outgoing transfer | |
| Paper statement surcharge** | \$1.00 | Per statement | X |
| Paper trade confirmation surcharge** | \$1.00 | Per trade confirmation | X |
| Return of legal item** | \$75.00 | Per item returned | |
| UBTI tax filing fee** | \$300.00 | Annual | |

| Retirement Account Fees | | | |
|--------------------------------|---|-----------------------------|---|
| IRA maintenance fee** | \$35.00 | Annual | X |
| Termination fee** | \$160.00 (\$125.00 termination fee + \$35.00 maintenance fee) | Upon closure of the account | |

| Cash Management Services | | | |
|---|---|--------|--|
| ACH direct deposit or debit bill pay with Visa Classic Debit | \$15.00 (Cash management + account fee + debit card fee) | Annual | |
| ACH direct deposit or debit bill pay with Visa Classic Debit Card** | \$20.00 (Cash management + account fee + checking fee + debit card fee) | Annual | |
| Premier Access with Premier Rewards Debit Card** | No charge | Annual | |
| Premier Access with Premier Rewards | \$10.00 | Annual | |

| Checking | | | |
|--|--|--|--|
| ACH direct deposit and debit bill pay | \$10.00 (Cash management account fee) | Annual | |
| ACH direct deposit and debit bill pay and checking | \$15.00 (Cash management account fee + checking fee) | Annual | |
| Premier Access | \$100.00 | Annual | |
| Select Access personal check reorder** | No charge | | |
| Premier Access personal check reorder** | \$55.00 | Per reorder – includes 500 checks and 90 deposit slips | |
| Select Access/Premier Access stop payment fee – retail account** | \$10.00 | Per stop payment | |
| Select Access/Premier Access returned check fee** | \$15.00 | Per returned check | |

| | | | |
|---------------------------------------|---------|--------------------|--|
| IRA checkwriting stop payment fee** | \$2.50 | Per stop payment | |
| IRA checkwriting returned check fee** | \$10.00 | Per returned check | |
| IRA checkwriting check copy** | \$2.50 | Per check copy | |

| Other Cash Management Services | | | |
|--|----------------------------|-----------------------|--|
| Check request | | | |
| Overnight courier fee** | \$13.00 | Per overnight request | |
| Overnight Saturday delivery fee** | Varies by delivery address | Per overnight request | |
| Mailgrams** | \$5.00 | Per mailgram | |
| Margin extension** | \$20.00 | Per extension | |
| Returned EFT fee | No charge | | |
| Returned check fee – retail account ** | \$15.00 | Per returned check | |
| Returned check fee – retirement account | No charge | | |
| Stop payment/stop check fee – retail account** | \$20.00 | Per stop payment | |
| Stop payment/stop check fee – retirement account | No charge | | |
| Wire transfer** | \$15.00 | Per wire request | |

| Investment Specific | | | |
|--|---------------------------------------|--|--|
| Alternative investment holding fee for registered positions** | \$35.00 for registered positions | Annual – per position, maximum of \$500.00 | |
| Alternative investment holding fee for non-registered positions** | \$125.00 for non-registered positions | Annual – per position, maximum of \$500.00 | |
| Alternative investment document review (due diligence)** | \$100.00 | Per review | |
| Alternative investment purchase, redemption, or re-registration fee** | \$50.00 | Per purchase, redemption, or re-registration | |
| Equity dividend reinvestment | No charge | | |
| Physical reorganization** | \$150.00 | Per reorganization | |
| Restricted stock – returned security priced at \$1 or Less** | \$11.00 | Per returned security | |
| Restricted stock – service request (legend removal, gifting, re-registration)** | \$150.00 | Per service request | |
| Restricted stock – unauthorized sale penalty** | \$40.00 | Per unauthorized sale | |
| Safekeeping fee** | \$15.00 | Per position per month | |
| Transfer and ship – only available on non-DRS eligible securities (DTC transfer or physical certificate request) | \$500.00 | Per request | |
| Transfer and ship DRS eligible securities (outgoing statement to transfer agent)** | \$15.00 | Per request | |
| Transfer and ship DRS eligible securities (incoming statement sent to transfer agent) | \$15.00 | Per request | |
| Voluntary reorganization** | \$20.00 | Per reorganization | |

Asterisks show who the charges defaults to and who can pick up the charge: *Defaults to the financial professional; **Defaults to the client, but the financial professional may choose to reimburse; ***Client charge only