

# Service Fees Schedule

Effective 06/2022

These charges are in addition to commissions per trade charged by registered representatives. Commissions are negotiable within FINRA guidelines with your financial professional. Commissions are disclosed on trade confirmations. **Some of these fees may not apply to all brokerage account types.**

| ACCOUNT OR SERVICE   | FEE         | FREQUENCY                       |
|--|-------------|---------------------------------|
| <b>ACCOUNT MAINTENANCE</b>   |             |                                 |
| ACAT – Non-ACAT (Full / Partial)<br>Transfer (Transfer Out) plus Free Delivery Charge for each position                              | \$100       | Per account                     |
| AXOS Assisted Dividend Posting ( <i>Asset Not Held at AXOS</i> )   | \$15        | Per item                        |
| Cash Dividend Outgoing ACH   | \$0.25      | Per ACH                         |
| Cash Dividend Outgoing Check   | \$10        | Per check                       |
| Corporate Actions — Mandatory ( <i>if securities are in physical form</i> )  | \$50        | Per account                     |
| Corporate Actions — Voluntary or Mandatory with Options ( <i>if election is made</i> )   | \$25        | Per security                    |
| Dividend Reinvest  | \$1         | Per dividend reinvestment entry |
| Express Mail / Overnight Delivery ( <i>UPS</i> )   | \$40        | Per item                        |
| Extension for Money or Securities Received Past Settlement – Reg. T  | \$25        | Per extension                   |
| Foreign Currency Transaction Postings  | \$25        | Per posting                     |
| Free Deliveries DTC  | \$25        | Per security                    |
| Inactivity Fee   | \$75        | Per inactive year               |
| International Delivery ( <i>UPS</i> )  | \$100       | Per item                        |
| Monthly Statement Charge – Paper <sup>1</sup>  | \$2         | Per statement                   |
| Monthly Non-Statement Charge – Paper <sup>1</sup>  | \$2         | Per delivery                    |
| Monthly Confirmation Charge – Paper <sup>1</sup>   | \$1         | Per confirmation                |
| Physical Settlements   | \$100       | Plus costs                      |
| Prepayment of Unsettled Funds  | \$30        | Interest                        |
| Rejected Deposits DTC or Agent   | \$185       | Per certificate                 |
| Return/Rejected ACH Items  | \$25        | Per return                      |
| Safekeeping / Reconciliation / Vault Fees  | \$60        | Per year (charged quarterly)    |
| Termination Fee  | \$50        | Per plan                        |
| TOD Distribution   | \$200       | Per distribution                |
| Trades Settled Same-Day ( <i>Cash Trades</i> )   | \$15        | Per transaction                 |
| Transfer Agent Charges   | As Incurred | Per item                        |
| Wire Research Request / Service Message  | \$50        | Per request                     |
| Worthless Securities Processing Charge   | \$20        | Per security processed          |
| W8-BEN – Mandatory for all Foreign Accounts  | \$60        | Renewal every 3 years           |
| <b>Retirement Account Fees:</b>  |             |                                 |
| Annual IRA Maintenance — <i>for custodial and tax reporting services provided to maintain an individual retirement account (IRA)</i> | \$65        | Per year/per account            |
| Termination Fee – <i>for transferring out or closing any type of retirement account</i>  | \$100       | Per account                     |
| Transfers – <i>including transfer of Roth to / from Traditional IRA</i>  | \$125       | Per account                     |
| <b>CASH MANAGEMENT SERVICES</b>  |             |                                 |
| Checking — <i>for Platinum Card and check writing account feature, if selected</i>   | \$75        | Per year                        |
| Foreign Currency Conversions   | \$50        | Per conversion                  |
| Stop Payment   | \$25        | Per check                       |
| Wired Funds – <i>Outgoing</i>  |             |                                 |
| Domestic   | \$30        | Per wire                        |
| International  | \$75        | Per wire                        |
| <b>INVESTMENT SPECIFIC</b>   |             |                                 |
| <b>Bonds</b>   |             |                                 |
| Redemption / Conversion – Physical Only  | \$50        | Per costs                       |
| Voluntary Tender / Exchange Offer / Bond Puts  | \$35        | Per election                    |
| <b>Physical Certificate Deposit</b>  | \$25        | Per certificate/per customer    |
| <b>Physical Certificate Request</b> – DTC  | \$1,100     | Per certificate                 |
| <b>Restricted Securities</b> – Clearance or Transfer   | \$150       | Costs                           |
| <b>Stock Option</b> – Exercise ( <i>Cashless</i> )   | \$35 min    | 1% of Proceeds + Cost per item  |
| <b>Transaction Charges:</b>  |             |                                 |
| Fixed Commission   | \$35        | Per transaction                 |

- AXOS Clearing is now charging for printed statements and confirmations. If you wish to opt into electronic delivery instead of paper copies to eliminate the fee, please visit: [www.e1am.com/electronicstmt](http://www.e1am.com/electronicstmt). If you experience any difficulties, please email [accountservice@e1am.com](mailto:accountservice@e1am.com).
- All transactions and credits from dividends and interest, as well as charges (such as margin interest), settle in US Dollars.
- As an accommodation, we can provide currency conversions at prevailing rates through our clearing firm and its financial intermediaries for a service fee of 2.5% of the amount of the transaction. You may, of course, transmit and receive US dollars through financial depositories of your choosing.
- E1 reserves the right to charge any fees incurred by E1 that are a direct result of transactions processed on the customer's behalf.