

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
ACCOUNT MAINTENANCE		
ACAT – Non-ACAT (Full / Partial) 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 ¹	\$2	Per statement
Monthly Non-Statement Charge – Paper ¹	\$2	Per delivery
Monthly Confirmation Charge – Paper ¹	\$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
Retirement Account Fees:		
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
CASH MANAGEMENT SERVICES		
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
INVESTMENT SPECIFIC		
Bonds		
Redemption / Conversion – Physical Only	\$50	Per costs
Voluntary Tender / Exchange Offer / Bond Puts	\$35	Per election
Physical Certificate Deposit	\$25	Per certificate/per customer
Restricted Securities – Clearance or Transfer	\$150	Costs
Stock Option – Exercise (<i>Cashless</i>)	\$35 min	1% of Proceeds + Cost per item
Transaction Charges:		
Fixed Commission	\$35	Per transaction

1. 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. If you experience any difficulties, please email accountservice@e1am.com.
2. All transactions and credits from dividends and interest, as well as charges (such as margin interest), settle in US Dollars.
3. 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.
4. E1 reserves the right to charge any fees incurred by E1 that are a direct result of transactions processed on the customer's behalf.