

Fee Schedule		
Fee Description	Total Fee	Fee Basis
ACAT – Non-ACAT (Full/Partial) Transfer (Transfer Out) plus Free Delivery Charge for each position	\$100	Per Account
AXOS Assisted Dividend Positioning (Asset Not Held at AXOS)	\$15	Per Item
Bond Redemption / Conversion (Physical Only)	\$50	Plus Costs
Cash Dividend Outgoing ACH	\$0.25	Per ACH
Cash Dividend Outgoing Check	\$10	Per Check
Cashless Stock Options	\$35 min	1% of Proceeds + Cost per item
CCPA Check Writing and Platinum Card	\$75	Per Year
Certificate Deposit	\$25	Per Position / Per Customer
Certificate Request DTC	\$1,100	Per Certificate
Check Writing Stop Pays / Stop Payments	\$25	Per Stop
Clearance or Transfer of Restricted Stock	\$150	Costs
Dividend Reinvest	\$1	Per Dividend Reinvestment Entry
DWAC Charge	\$100	Per Item
DWAC Reject Charges	As Incurred	Per Item
Fixed Commission	\$35	Per Trade
Foreign Currency Conversions	\$50	Per Conversion
Foreign Currency Transaction Postings	\$25	Per Posting
Foreign Custody Fee	2.5 bps/year *Subject to Market Changes	Per Security Charged Monthly
Free Deliveries DTC	\$25	Per Security
Inactivity Fee	\$75	Per Inactive Year
International Delivery (UPS)	\$100	Per Item
IRA Annual Custodial Fee	\$65	Per Plan
Long Positions (Sub Penny Book Entry)	\$0	Per Share, Monthly Basis
Mandatory Reorg Corporate Actions	\$50	Per Account
Manual Options Exercise Request	\$25	Per Request
NY Window / Physical Delivery	\$50	Per Security
Overnight Delivery (UPS)	\$40	Per Item
Penny Stock Re-registration w/ Agent (Canadian)	\$750	Per Certificate
Penny Stock Re-registration w/ Agent (Domestic)	\$250	Per Certificate
Photocopies of Checks	\$5	Per Check
Physical Settlements	\$100	Plus Costs
Prepayment of Unsettled Funds	\$30	Interest
Reg. T Extension	\$25	Per Extension
Rejected Deposits DTC or Agent	\$185	Per Certificate
Re-registration of Stock or Alternative Investment	\$100	Costs
Returned ACH Items	\$25	Per Return
Safekeeping / Reconciliation / Vault Fees	\$60	Per Year (Charged Quarterly)
Termination Fee	\$50	Per Plan
TOD Distributions	\$200	Per Distribution
Trades Settled Same-Day (Cash Trades)	\$15	Per Trade
Transfer Agent Charges	As Incurred	Per Item
Transfer In & Out / Physical Certificate (Foreign)	\$150	Costs
Transfers (including Transfer of ROTH to / from Traditional IRA)	\$100	Per Transfer
Voluntary Tender / Exchange Offer / Bond Puts	\$35	Per Election
Wire Research Request / Service Messages	\$50	Per Request
Wire, Domestic (Outgoing)	\$30	Per Wire
Wire, International (Outgoing)	\$75	Per Wire
Worthless Securities Processing Charges	\$20	Per Security Processed
W8-BEN (Mandatory for all Foreign Accounts)	\$60	Renewal every 3 years

These charges are in addition to commissions charged by registered representatives. Commissions are negotiable within FINRA guidelines with our financial professional.

1. All transactions and credits from dividends and interest, as well as all 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.

2. E1 reserves the right to charge any fees incurred by E1 that are a direct result of transactions processed on the customer's behalf.