

WHEELHOUSE

SECURITIES

FEE SCHEDULE

Effective August 15, 2011

Mutual Fund and SRS Exchanges	\$10.00 per exchange
Checking Stop Payment	\$10.00 per event
Returned Checks	\$20.00 per event
Check Re-order Fee	\$10.00 per order
Confirmation Fee – Retail Client	\$7.50 per confirmation
US DK Item	\$10.00 per item
Non-US DK Item	\$10.00 per item/day
Euroclear Receive and Deliver	\$50.00 per item
All Other Foreign Receive and Deliver	\$75.00 per item
Inactive Retail Account Fee	\$25.00 per inactive account/year
Inactive Mutual Fund Only Account	\$12.50 per inactive account/year
Margin and COD extensions	\$10.00 per event
Prime Brokerage Receive and Deliver Fees	\$10.00 per event
Reorganization Items Voluntary	\$20.00 per event
Safekeeping – Name & Foreign	\$2.00 per account/position/month
Legal, GNMA and Restricted Item Transfers	\$60.00 per transfer
Outgoing Account Transfers	\$100.00 per transfer
Global Transfers – Receive/Deliver	\$25.00 per transfer plus settlement fees
Accommodation Transfer	\$60.00 per transfer
Register and Ship Certificate	\$60.00 per transfer
Direct Registration	\$10.00 per transfer
Wired Funds	\$25.00 per wire transfer
Document Review to Determine Ability to Custody	\$100.00 per review regardless of outcome
Annual Review Fee	\$150.00

IRA Fees

Traditional IRA, Roth, Coverdell and SEP	\$35.00
Traditional IRA, Roth, Coverdell and SEP Termination	\$75.00
SARSEP, SIMPLE, Qualified Plans	\$50.00
SARSEP, SIMPLE, Qualified Plans Termination	\$75.00
Mutual Fund Only Roth and Regular IRA	\$10.00
Mutual Fund Only Roth and Regular IRA Termination	\$75.00
Internal Transfers from Traditional IRAs/Roth IRA to a Mutual Fund Only	\$50.00

Interest Charges

Margin Debits

Customer margin debits are charged the base rate plus a surcharge:

<u>Net Debit Balance</u>	<u>Surcharge</u>
\$0 - \$29,999	3.00%
\$30,000 - 49,999	2.50%
\$50,000 – and over	1.75%

Account Services

Silver Account Checking	\$2.00 monthly low balance fee if below \$5,000 total net worth
Gold Account Checking	\$75.00
Platinum Account Checking	\$125.00
Gold Corporate Account Checking	\$150.00
PES Cost Basis Reporting	\$24.00
Tax and Year-End Statement	\$2.00