

## Mailing

|   |          |
|---|----------|
| Paper Confirm Fee (Retail Paper Only) (per confirm)     | \$2.00   |
| Paper Statement Fee (Retail Paper Only) (per statement) | \$5.00   |
| Paper Prospectus Fee (Retail Paper Only) (per mailing)  | \$5.00   |
| Paper Tax Statements (1099, 1042, 5498)                 | \$5.00   |
| Duplicate Trade Confirmation                            | \$3.00   |
| Duplicate Account & Tax Statement                       | \$10.00  |
| Overnight Mail - Domestic (per request)                 | \$50.00  |
| Overnight Mail - International/Canada (per request)     | \$100.00 |
| Return Mail (per piece)                                 | \$2.00   |

## Banking

|   |               |
|---|---------------|
| ACH Notice of Change/Correction                                     | \$5.00        |
| Stop Payments on Apex Issued Checks                                 | \$30.00       |
| Check Copies  | \$30.00       |
| Prepayment  | min. \$100.00 |
| Returned Checks/ACH/Wires and Recalls (including amendment repairs) | \$50.00       |

## Transfer

|   |          |
|---|----------|
| DWAC Transfer (per security)            | \$200.00 |
| DRS Transfer (per security)             | \$215.00 |
| DWAC / DRS reject                       | \$125.00 |
| TOD Account Transfer Fee (per transfer) | \$200.00 |

## Proxy

|   |          |
|---|----------|
| Proxy Voting (Foreign): ICSD - Euroclear and Clearstream                | \$125.00 |
| Proxy Voting (Foreign): ICSD - All Other Custody Local Settlement Zones | \$250.00 |

## Account

|   |                            |
|---|----------------------------|
| Account Verification Fee                                    | \$15.00                    |
| Entity Account Opening Fee (Corporations, LLC, Partnership) | \$100.00                   |
| Entity Account Annual Fee (Corporations, LLC, Partnership)  | \$200.00                   |
| Subpoena request research processing fee                    | \$150 per hour; min. \$150 |
| Dormant Processing Fee                                      | \$100.00                   |
| Enhanced Account Maintenance Fee (per month)                | \$50.00                    |

## Securities Processing

|   |               |
|---|---------------|
| Transfers - Legal (per security)                  | \$250.00      |
| Transfers - Restricted (per security)             | \$565.00      |
| Transfers - Accomodation T & S (per security)     | min. \$335.00 |
| Transfers - Rush T & S Premium (per security)     | min. \$350.00 |
| Non Transferable Stocks (per month, per security) | \$10.00       |
| Safekeeping - Monthly (per account, per CUSIP)    | \$30.00       |
| Safekeeping - Withdrawals (per withdrawal)        | \$200.00      |
| Physicals Deposit Domestic / per certificate      | \$300.00      |
| Physicals Deposit Foreign / per certificate       | \$350.00      |
| Physicals Foreign Accomodation Transfer           | \$350.00      |
| Physical cert request from Electronic shares      | min. \$900.00 |
| Physical Trade Fee (Non-DTCC)                     | \$300.00      |

## Reorganization

|   |          |
|---|----------|
| Reorganization Activity - domestic voluntary/<br>Post actionable reorgs - per CUSIP, per account      | \$25.00  |
| Reorganization Activity - international voluntary/<br>Post actionable reorgs - per CUSIP, per account | \$25.00  |
| Reorg Wire Fee (domestic)   | \$25.00  |
| Reorg Wire Fee (international)  | \$50.00  |
| Mandatory Offers (delivery of physical certificate)   | \$125.00 |

**Firstrade Cash Management Account:** Consolidate your banking and brokerage services all into one account. [More information and Fee schedule.](#)

For assistance - U.S. Toll 1.800.869.8800, [service@firsttrade.com](mailto:service@firsttrade.com)

Effective 8/10/2018