

# Fee Schedule

Altruist Financial LLC



## Equities & ETFs

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Equity, ETF, and Warrants

Commission-free trading refers to \$0 commissions for Altruist Financial brokerage accounts that trade US listed equities, ETFs and warrants via web or mobile devices.

## Mutual Funds

Fund/SERV eligible	\$5 per trade
NTF Funds	\$0 per trade
Exchanges	\$5 per trade
PIPs/SWPs	\$3 per trade

## Fixed Income

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Fixed Income (corporates, municipals, treasuries & agencies, CDS, MBS)

\$10 per trade

## Transfer Charges

ACAT Out (US)	\$75
ACAT Incoming	\$0
DWAC Transfer	\$100 per position
DTC Deliv/Rec	\$25 per position
DRS Inc./Out.	\$115 per position

## Miscellaneous

Returned checks	\$30
Check stop	\$30
Overnight check	\$50
Returned wire	\$30
Tax Certifications	\$5 per account (non-US only)
Tax Document Requests	\$5
Physical Copy Trade Confirm	\$2 per confirmation
Physical Copy Statements	\$5 per statement
Broker assisted phone order	\$20 per trade
Retirement plan services	\$15 per account annually

## Withdrawal Related

Paper check / e-check	\$5
ACH Transfer	\$0
Outgoing wire (US)	\$25
Outgoing wire (Int'l)	\$45

## Regulatory Fees

These fees are rounded up to the nearest penny per trade.

FINRA Trading Activity Fee	\$0.000119 per share (maximum of \$5.95)
SEC 31 Fee	\$0.0000051 per \$1 in stock sales

Additional wire transfer fees charged by any originating, intermediary, or recipient bank may apply. Both incoming and outgoing wire transfer reversals are subject to wire transfer reversal fees. Additional wire transfer reversal fees charged by any originating, intermediary, or recipient bank may apply.

Processing and service fees assessed by third parties may be passed through to the customer's account. Some products and services may require additional fees or transaction minimums not specifically listed here. Prior to placing a trade or requesting any services, it is the customer's responsibility to ask Altruist Financial if any additional fees will apply. These additional fees may include but are not limited to:

401k Annual Maintenance (per account)	\$250
990-T Return, Preparation, and Filing	\$150
ACATS - Outgoing Non Retirement	\$75
ACATS - Outgoing Partial	\$75
ACATS - Outgoing Retirement	\$75
ACH Notice of Change/Correction	\$5
ADR Cancellation / Creation	\$0
Alternative Investment Cancel Correction	\$10
Alternative Investment Fee	\$30
Alternative Investment Subscription Fees	\$250
Alternative Investment Trade	\$50
Alternative Investment-Receive/Deliver (delinking/link)	\$30
Cashless ESOP	\$300
Check Copies	\$15
Data Management Research Requests (Hourly, 2 hour minimum)	\$150
Death Put	\$100
Dividend Check (per item)	\$5
DTC Delivery (per security)	\$25
DWAC (per event)	\$100
DWAC / DRS reject	\$125
Employee Stock Option Plan	\$100
Fail Financing (Foreign)	\$0
Foreign Free Receives/Delivers	\$35

Foreign Security Transfer Fee	\$50
Inaccurate or Missing Trade Files	\$500
Incoming Wire Transfers (Domestic)	\$0
Incoming Wire Transfers (Foreign)	\$0
Limited Partnerships / Private Placements - safekeeping (per month)	\$25
Limited Partnerships / Private Placements	\$250
Mailgrams / NYSE Extensions (per item)	\$25
Margin Sell out fee (per ticket)	\$25
Non Transferable Stocks (per month, per security)	\$10
Outgoing Wire Transfers (Domestic)	\$25
Outgoing Wire Transfers (Foreign)	\$45
Overdraft/Use of Apex Funds/Day Loans	\$0
Overnight Mail - Domestic (per request)	\$50
Overnight Mail - International/Canada (per request)	\$100
Paper Check Draft/regular mail - domestic	\$5
Paper Check Draft/regular mail - international	\$10
Paper Confirm Fee (Retail Paper Only) (per confirm)	\$2
Paper Prospectus Fee (Domestic)	\$3
Paper Prospectus Fee (Foreign)	\$9
Paper Statement Fee (Retail Paper Only) (per statement)	\$5
Physical cert request from Electronic shares	\$900
Physical trade settlement fee	\$300
Physicals Deposit Domestic	\$300
Physicals Deposit Foreign	\$350
Physicals Foreign Accommodation Transfer	\$350
Prepayment - (\$20.00 if amount is less than \$10,000. If amount is over \$10,000, 0.2% of unsettled amount)	\$0
Proxy Voting (Foreign): ICSD - All Other Custody Local Settlement Zones	\$250
Proxy Voting (Foreign): ICSD - Euroclear and Clearstream	\$125
Reorg Physical Processing Fee	\$0
Reorg Wire Fee (domestic)	\$25
Reorg Wire Fee (international)	\$50
Reorganization Activity - domestic voluntary/Post actionable reorgs - per CUSIP, per account	\$50
Reorganization Activity - international voluntary/Post actionable reorgs - per CUSIP, per account	\$100

Retirement Plan Services Annual Maintenance (per account)	\$15
Retirement Plan Services Termination Fee (per event)	\$60
Returned ACH (per return)	\$30
Returned Checks/Wires and Recalls (including amendment repairs)	\$30
Safekeeping - Lost Certificate Replacement 3% of cert value 250.00 min.	\$0
Safekeeping - Monthly (per account, per CUSIP)	\$5
Safekeeping - Withdrawals (per withdrawal)	\$60
Short Forced Buy In fee (per ticket)	\$25
Split Settlement (Euroclear/DTCC)	\$75
Stop Payments on Apex Issued Checks	\$30
Third Party Distribution Notification	\$2
TOD Account Transfer Fee (per transfer)	\$200
Transfers - Accommodation (DRS) (per security)	\$115
Transfers - Accommodation T & S (per security)	\$235
Transfers - Legal (per security)	\$150
Transfers - Restricted (per security)	\$465
Transfers - Rush T & S Premium (per security)	\$350