



# Fee Schedule

Altruist Financial LLC

Effective July 1st, 2024



# Simply *better* pricing.

As a company focused exclusively on RIAs, we understand the impact that our products, service model, and fees have on your clients. Our fees should always be simple, transparent, and as good or better than the most competitive legacy alternatives—never getting in the way of your ability to give authentic advice. The objective is to provide you and your clients with a platform that boasts the lowest possible costs alongside the highest possible value, creating a frictionless path to the best possible outcomes.

**Jason Wenk**  
CEO & Founder



## Administrative

ACAT & Non-ACAT Transfers Out - Full	\$50
ACAT & Non-ACAT Transfers Out - Partial	\$0
Annual Account Maintenance (All Account Types Including Retirement)	\$0
Corrected Tax Forms	\$0
Paper Account Statements & Tax Form Requests (Per Document)	\$5
Paper Trade Confirmations & Prospectus Fee (Per Document)	\$3
Physical Certificates (Handling, Review, Processing, Request, Transfer, Delivery, Settlement, Deposits, Securities & Foreign Accommodation)	\$100
Roth Conversion	\$0
Voluntary Corporate Actions (Reorganizations, Warrants, Rights Exercises, Late Instructions & Death Puts)	\$50
401(k) Plan Administration	\$0
Pass Through <sup>1</sup>	Varies

## Cashiering

ACH, Check or Wire Issue (Return, Reject, Stop Payment, Stale-Dated & Non-Sufficient Funds)	\$25
Check (Copies, Print & Domestic Mail-Prep)	\$5
Expedited Checks (Express Mail & Overnight Delivery)	\$10
Outgoing Domestic Wires - Online <sup>2</sup>	\$15
Outgoing Domestic Wires - Via Form	\$25

## Trading

Equities, ETFs & Warrants <sup>3</sup>	\$0
Fixed Income <sup>2</sup>	
Treasuries (Secondaries including Bonds, Bills, Notes, STRIPS, TIPS & Zero-Coupon)	\$0
Certificates of Deposit, Corporates, Government Agencies & Municipals	\$1 per bond \$10 min / \$200 max
Mutual Funds <sup>4</sup>	
No-Transaction-Fee (NTF): (Includes Select Money Market Funds & All Trades <\$1,000)	\$0
Transaction Fee: Mutual & Money Market Funds (Trades > \$1,000)	\$20
Share-Class Conversions, Exchanges & Short-Term Redemptions	\$20
Periodic Investment Plan (PIP) & Systematic Withdrawal Plan (SWP) (Applies to Transaction Fee Funds) <sup>2</sup>	\$5
Vanguard & DFA	\$5
Broker-Assisted Fee (For Trades & Transfers by Phone)	\$25

<sup>1</sup> Certain pass through fees may apply, including the following: ADR Fees, CDSC Charges, Direct Registration System (DRS) Transfer Out (per item), FINRA Trading Activity Fee (TAF) (per-share), SEC 31 Fee (per \$1 in stock sales), CAT Fees\*, and OCC Fees\*. 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.

<sup>2</sup> Listed fee will apply once feature becomes available.

<sup>3</sup> 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. The trading of ADRs and Over-the-Counter securities are subject to additional fees which may be passed through to you.

<sup>4</sup> Mutual Fund Trade fees apply to orders greater than or equal to \$1,000. Mutual fund trade fees are calculated using the prior day's NAV. Because of this, trades executing at less than \$1,000 may still incur the Mutual Fund fee. The following fund families will incur a reduced transaction fee of \$5.00: Vanguard and Dimensional Fund Advisors (DFA), including their Money Market Fund offerings.

<sup>4</sup> Altruist reserves the right to change the funds made available without transaction fees.

<sup>4</sup> Altruist Financial LLC may receive remuneration from transaction fee fund companies for certain administrative services. This may create a conflict of interest as Altruist could earn more compensation from no-transaction-fee funds than it could earn from other funds available, including funds with a transaction fee.