



SW FINANCIAL

Fee Description	Fee	Fee Basis
Overnight Delivery (UPS)	\$60.00	per item
International Delivery (UPS)	\$120.00	per item
DWAC charge	\$100.00	per item
DWAC Reject charges	At Cost	per item
Client Foreign Financial Intermediary (Omnibus) Due Diligence Review Fee	\$1,000.00	\$200 /Hr. over 5 Hrs. per account
Safekeeping / Reconciliation / Vault Fee	\$100.00	per year (charged quarterly)
Re-registration of Stock or Alternative Investment	\$100.00	Costs
Clearance or Transfer of Restricted Stock	\$150.00	Costs
Certificate request <u>DTC</u>	\$1,000.00	per certificate
Rush Withdrawal <u>DTC</u>	\$250.00	additional
Penny stock re-registration w/agent (domestic)	\$350.00	per certificate
Penny stock re-registration w/agent (Canadian)	\$850.00	per certificate
Rejected deposits <u>DTC</u> or agent	\$300.00	per certificate
Transfer agent charges	As incurred	
Long Positions (Sub penny Book Entry)	\$0.0000006	per share, monthly basis
COR Assisted Dividend Posting (Asset not held at COR)	\$25.00	per item
Annual Custodial Fee	\$100.00	per plan
Transfers (including transfer of Roth to/from Traditional IRA)	\$125.00	per transfer
Limited Partnerships/AIP	\$125.00	per position annually charge quarterly
Termination Fee	\$100.00	per plan
Certificate Deposit	\$50.00	per position/per customer
Cashless Stock Options	\$35 min	1% of proceeds Plus Costs ; per item
Reg.-T Extension	\$40.00	per extension
TOD Distributions	\$250.00	per distribution
ACAT – Non-ACAT (Full or Partial) Transfer (Transfer Out) plus Free delivery charge for each position.	\$125.00	per account
Voluntary Tender/Exchange Offer/Bond Puts	\$60.00	per election
Bond Redemption/Conversion (Physical Only)	\$100.00	Plus Costs
Worthless securities processing charges	\$30.00	per security processed
Mandatory Reorg Corporate Actions	\$50.00	per account
Dividend Reinvest	\$1.25	per dividend reinvestment entry
Cash Dividend Outgoing Check	\$15.00	per check
Cash Dividend Outgoing ACH	\$0.50	per ACH
Manual Options Exercise Request	\$50.00	per request
Firm Commission (fee in addition to broker commission)	\$59.00	per trade

Effective January 1, 2017



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Physical Settlements	\$200.00	Plus Costs
Free Deliveries DTC	\$50.00	per security
NY Window / Physical Delivery	\$75.00	per security
Annual Maintenance Fee (per account -Non-IRA / Qualified Plan)	\$100.00	per year
Trades Settled Same-Day (Cash Trades)	\$25.00	per trade
Transfer In and Out/Physical Certificate (Foreign)	\$250.00	Costs
Foreign Custody Fee	2.5 bps annually **subject to change based on local market rates	monthly ; per security
Stop payments	\$50.00	per check
Returned Checks	\$65.00	per check
Photocopies of Checks	\$10.00	per check
Returned ACH Items	\$50.00	per return
Wire, Domestic (Outgoing)	\$50.00	per wire
Wire, International (Outgoing)	\$100.00	per wire
Wire Research Requests / Service Messages	\$75.00	per request
Foreign Currency Conversions	\$75.00	per conversion
Foreign Currency Transaction Postings	\$50.00	per posting
Check Writing Stop Pays	\$50.00	per stop
CCPA Check writing and Platinum Card	\$100.00	per year

*The above fees which are provided by COR Clearing, the clearing firm, may be charged to your account at the time of or prior to the service being rendered. SW Financial and/or its representatives may receive a portion of the fees charged by the clearing firm. These fees and charges may be passed onto you to include the costs associated with the processing of transactions and may be a source of additional compensation to the firm and/or registered representatives.

SW Financial charges a \$59 firm commission on all transactions in addition to any applicable fees or charges, commissions or markups/markdowns charged to your account. A portion of this fee is remitted to the clearing firm and the remainder to SW Financial as transaction based remuneration and may be a profit to the firm, as well as additional compensation to the firm and/or registered representatives.

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