## SCHEDULE OF ACCOUNT FEES Effective February 15, 2022

The fees listed below do not include commissions, markups, commission equivalents or advisory fees. These fees apply to brokerage accounts carried by StoneX Financial Inc., your broker's clearing firm. Items not included in this Schedule of Account Fees will be billed at standard rates (available upon request).

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Interested Party Confirm  Margin and COD Extensions (Reg-T) Option Exercise/Assignment Surcharge Other DTC Items (e.g., reorg, etc.) S30 + pass-throug Overnight Delivery Package Overnight Delivery Package (International delivery) Paper Delivery Surcharge for Client Confirms S0,75 Paper Delivery Surcharge for Client Statements S6,50 Paper Delivery to a Non-U.S. Address Pledge Account Annual Fee Pledge Account Setup Fee S100,00 Retail Handling Fee Rights/Warrants Subscription UIT Rollover (Manual/email request) UIT Rollover (Via Unit)  PHYSICAL SECURITY FEES¹ Bond Redemption/Conversions (physical certificates) Deposit and/or Return of Physical Securities with DTC Employee Stock Option Processing Foreign Physical Certificate Receive/Deliver Legal Transfer Restricted Security Clearance Transfer & Ship  \$600,00 + pass-thr Transfer & Ship	rugh of TA & DTC fees Per delivery bugh of TA & DTC fees Per transfer/per certificate
Interested Party Confirm  Margin and COD Extensions (Reg-T) Option Exercise/Assignment Surcharge Other DTC Items (e.g., reorg, etc.)  Vernight Delivery Package Overnight Delivery Package Overnight Delivery Package (International delivery) Paper Delivery Surcharge for Client Confirms So.75 Paper Delivery Surcharge for Client Statements Paper Delivery Surcharge for Client Statements So.50 Paper Delivery Surcharge for Client Statements So.50 Paper Delivery Surcharge for Client Statements Pledge Account Annual Fee So.00 Pledge Account Setup Fee So.00 Pledge Account Setup Fee So.00 Pledge Account Setup Fee So.00 UIT Rollover (Manual/email request) So.00 UIT Rollover (Via UniT) So.00 PHYSICAL SECURITY FEES Bond Redemption/Conversions (physical certificates) Deposit and/or Return of Physical Securities with DTC So.00 Employee Stock Option Processing Foreign Physical Certificate Receive/Deliver Legal Transfer So.00 Precious Metal Safekeeping Fee Restricted Security Clearance So.00 + interest So.00 + pass-thr	ugh of TA & DTC fees Per delivery
Interested Party Confirm  Margin and COD Extensions (Reg-T) Option Exercise/Assignment Surcharge Other DTC Items (e.g., reorg, etc.)  Overnight Delivery Package Overnight Delivery Package Overnight Delivery Package (International delivery) Paper Delivery Surcharge for Client Confirms Sol.75 Paper Delivery Surcharge for Client Statements Paper Delivery Surcharge for Client Statements Sol.50 Physical Handling Fee Sol.50 Sol.50 Physical Security FEES Bond Redemption/Conversions (physical certificates) Sol.00 Peposit and/or Return of Physical Securities with DTC Sol.00 Employee Stock Option Processing Sol.00 Foreign Physical Certificate Receive/Deliver Sol.00 Precious Metal Safekeeping Fee Sol.00 Precious Metal Safekeeping Fee	
Interested Party Confirm  ### Saction   ###	
Interested Party Confirm  Margin and COD Extensions (Reg-T) Option Exercise/Assignment Surcharge Other DTC Items (e.g., reorg, etc.) Overnight Delivery Package Overnight Delivery Package (International delivery) Paper Delivery Surcharge for Client Confirms Sol.75 Paper Delivery Surcharge for Client Statements Paper Delivery to a Non-U.S. Address Pledge Account Annual Fee Pledge Account Setup Fee Pledge Account Setup Fee Sol.00 Retail Handling Fee Rights/Warrants Subscription UIT Rollover (Manual/email request) UIT Rollover (Via UniT)  PHYSICAL SECURITY FEES <sup>4</sup> Bond Redemption/Conversions (physical certificates) Deposit and/or Return of Physical Securities with DTC Employee Stock Option Processing Foreign Physical Certificate Receive/Deliver Sol.00 Sol. Sol. Sol. 1 interest Sol.00 Sol. 1 interest Sol.00 + pass-throug	Per transfer
Interested Party Confirm  Margin and COD Extensions (Reg-T) Option Exercise/Assignment Surcharge Other DTC Items (e.g., reorg, etc.) S30 + pass-throug Overnight Delivery Package Overnight Delivery Package (International delivery) Paper Delivery Surcharge for Client Confirms S0.75 Paper Delivery Surcharge for Client Statements S6.50 Paper Delivery Surcharge for Client Statements Paper Delivery to a Non-U.S. Address Pledge Account Annual Fee Pledge Account Setup Fee Rights/Warrants Subscription UIT Rollover (Manual/email request) UIT Rollover (Via UniT)  PHYSICAL SECURITY FEES  Band Redemption/Conversions (physical certificates) Deposit and/or Return of Physical Securities with DTC Employee Stock Option Processing	Per transaction
Interested Party Confirm  Margin and COD Extensions (Reg-T) Option Exercise/Assignment Surcharge Other DTC Items (e.g., reorg, etc.)  Overnight Delivery Package Overnight Delivery Package Overnight Delivery Package (International delivery) Paper Delivery Surcharge for Client Confirms Sol.75 Paper Delivery Surcharge for Client Statements Paper Delivery Surcharge for Client Statements Sol.50 Paper Delivery Surcharge for Client Statements Pledge Account Annual Fee Pledge Account Annual Fee Sol.00 Pledge Account Setup Fee Sl100,00 Retail Handling Fee St995 Rights/Warrants Subscription UIT Rollover (Manual/email request) UIT Rollover (Via UniT)  PHYSICAL SECURITY FEES  Bond Redemption/Conversions (physical certificates) Deposit and/or Return of Physical Securities with DTC  \$50.00	Per transaction
Interested Party Confirm  ### Saction   ###	Per transaction
Interested Party Confirm  Margin and COD Extensions (Reg-T) Option Exercise/Assignment Surcharge Other DTC Items (e.g., reorg, etc.) Overnight Delivery Package Overnight Delivery Package (International delivery) Paper Delivery Surcharge for Client Confirms Sol.75 Paper Delivery Surcharge for Client Statements Paper Delivery to a Non-U.S. Address Paper Delivery to a Non-U.S. Address Pledge Account Annual Fee Pledge Account Setup Fee Sto.00 Retail Handling Fee Rights/Warrants Subscription UIT Rollover (Manual/email request) UIT Rollover (Via UniT)  PHYSICAL SECURITY FEES <sup>4</sup>	Per transaction
Interested Party Confirm  Margin and COD Extensions (Reg-T)  Option Exercise/Assignment Surcharge  Other DTC Items (e.g., reorg, etc.)  Overnight Delivery Package  Overnight Delivery Package (International delivery)  Paper Delivery Surcharge for Client Confirms <sup>3</sup> Paper Delivery Surcharge for Client Statements  Paper Delivery to a Non-U.S. Address  Pledge Account Annual Fee  Pledge Account Setup Fee  Retail Handling Fee  Stood  UIT Rollover (Manual/email request)  Stood  \$3.25  \$35.00 + interest  \$30.4 pass-throug  \$25.00  \$100.00  \$6.50 + applicable  \$50.00  Pledge Account Setup Fee  \$100.00  Retail Handling Fee  \$49.95  Rights/Warrants Subscription  UIT Rollover (Manual/email request)  \$75.00  UIT Rollover (Via UniT)  \$25.00	D1
Interested Party Confirm  Margin and COD Extensions (Reg-T) Option Exercise/Assignment Surcharge Other DTC Items (e.g., reorg, etc.)  Overnight Delivery Package Overnight Delivery Package (International delivery) Paper Delivery Surcharge for Client Confirms Paper Delivery Surcharge for Client Statements Paper Delivery to a Non-U.S. Address Pledge Account Annual Fee Pledge Account Setup Fee St0.00 Retail Handling Fee Stgipts/Warrants Subscription UIT Rollover (Manual/email request)  \$3.25 \$35.00 + interest \$30.0 + pass-throug \$30.4 + pass-throug \$30.4 + pass-throug \$30.7 + pass-throug \$30.4 + pass-throug \$30.4 + pass-throug \$40.00 \$50.00 \$50.00 UIT Rollover (Manual/email request)	
Interested Party Confirm  \$3.25  Margin and COD Extensions (Reg-T) Option Exercise/Assignment Surcharge Other DTC Items (e.g., reorg, etc.)  Overnight Delivery Package Overnight Delivery Package Overnight Delivery Package (International delivery) Paper Delivery Surcharge for Client Confirms Paper Delivery Surcharge for Client Statements S6.50 Paper Delivery to a Non-U.S. Address Pledge Account Annual Fee Pledge Account Setup Fee S100,00 Retail Handling Fee S49.95 Rights/Warrants Subscription UIT Rollover (Manual/email request) \$3.25  \$3.25  \$3.25  \$3.25  \$3.00 + interest \$30 + pass-throug \$30 + pass-throug \$30 + pass-throug \$30 + pass-throug \$40.00  \$50.00  \$6.50  \$75.00  UIT Rollover (Manual/email request)	Per request
Interested Party Confirm  \$3.25  Margin and COD Extensions (Reg-T)  Option Exercise/Assignment Surcharge  Other DTC Items (e.g., reorg, etc.)  Overnight Delivery Package  Overnight Delivery Package  Overnight Delivery Package (International delivery)  Paper Delivery Surcharge for Client Confirms³  So.75  Paper Delivery Surcharge for Client Statements  Paper Delivery to a Non-U.S. Address  Pledge Account Annual Fee  \$50.00  Retail Handling Fee  \$49.95  Rights/Warrants Subscription	Per request
Interested Party Confirm  \$3.25  Margin and COD Extensions (Reg-T)  Option Exercise/Assignment Surcharge  Other DTC Items (e.g., reorg, etc.)  Overnight Delivery Package  Overnight Delivery Package  Overnight Delivery Package (International delivery)  Paper Delivery Surcharge for Client Confirms³  So.75  Paper Delivery Surcharge for Client Statements  Paper Delivery to a Non-U.S. Address  Pledge Account Annual Fee  Sto.00  Retail Handling Fee  \$49.95	Per issue
Interested Party Confirm  \$3.25  Margin and COD Extensions (Reg-T)  Option Exercise/Assignment Surcharge  Other DTC Items (e.g., reorg, etc.)  Overnight Delivery Package  Overnight Delivery Package (International delivery)  Paper Delivery Surcharge for Client Confirms <sup>3</sup> Paper Delivery Surcharge for Client Statements  Paper Delivery to a Non-U.S. Address  Pledge Account Annual Fee  \$50.00  Pledge Account Setup Fee  \$100.00	Per confirm
Interested Party Confirm  \$3.25  Margin and COD Extensions (Reg-T)  Option Exercise/Assignment Surcharge  Other DTC Items (e.g., reorg, etc.)  Overnight Delivery Package  Overnight Delivery Package (International delivery)  Paper Delivery Surcharge for Client Confirms <sup>3</sup> Paper Delivery Surcharge for Client Statements  Paper Delivery Surcharge for Client Statements  Pledge Account Annual Fee  \$3.25  \$35.00 + interest  \$30 + pass-throug  \$40 + pas	
Interested Party Confirm  \$3.25  Margin and COD Extensions (Reg-T) Option Exercise/Assignment Surcharge Other DTC Items (e.g., reorg, etc.)  Overnight Delivery Package Overnight Delivery Package (International delivery) Paper Delivery Surcharge for Client Confirms <sup>3</sup> S0.75  Paper Delivery Surcharge for Client Statements Paper Delivery Surcharge for Client Statements S6.50 Paper Delivery Surcharge S0.75	1-time per account
Interested Party Confirm  \$3.25  Margin and COD Extensions (Reg-T)  Option Exercise/Assignment Surcharge  Other DTC Items (e.g., reorg, etc.)  Overnight Delivery Package  Overnight Delivery Package (International delivery)  Paper Delivery Surcharge for Client Confirms³  Paper Delivery Surcharge for Client Statements  \$3.25  \$35.00 + interest \$35.00 + interest \$32.00  \$30 + pass-throug \$25,00  \$100.00  \$30 + pass-throug \$100.00  \$30 + pass-throug \$30 + pass-t	Per year
Interested Party Confirm  \$3.25  Margin and COD Extensions (Reg-T)  Option Exercise/Assignment Surcharge  Other DTC Items (e.g., reorg, etc.)  Overnight Delivery Package  Overnight Delivery Package (International delivery)  Paper Delivery Surcharge for Client Confirms <sup>3</sup> \$3.25  \$35.00 + interest  \$25.00  \$30 + pass-throug  \$25.00  \$100.00  \$30.75	
Interested Party Confirm \$3.25  Margin and COD Extensions (Reg-T) S35,00 + interest Option Exercise/Assignment Surcharge Other DTC Items (e.g., reorg, etc.) Overnight Delivery Package Overnight Delivery Package (International delivery) \$100.00	Per statement
Interested Party Confirm \$3.25  Margin and COD Extensions (Reg-T) \$35.00 + interest Option Exercise/Assignment Surcharge \$25.00  Other DTC Items (e.g., reorg, etc.) \$30 + pass-throug Overnight Delivery Package \$25.00	Per confirm
Interested Party Confirm\$3,25Margin and COD Extensions (Reg-T)\$35,00 + interestOption Exercise/Assignment Surcharge\$25.00Other DTC Items (e.g., reorg, etc.)\$30 + pass-throug	Per delivery
Interested Party Confirm\$3.25Margin and COD Extensions (Reg-T)\$35.00 + interestOption Exercise/Assignment Surcharge\$25.00	Per delivery
Interested Party Confirm \$3.25 Margin and COD Extensions (Reg-T) \$35,00 + interest	
Interested Party Confirm \$3.25	Per transaction
	Per event
	Per confirm
Inactive Account Fee <sup>2</sup> \$65.00	Per year/per account
Foreign Security Custody Fee (Non-o.s. Mutual runds/OCHS) 10 bps per annum \$100.00 + settleme	
Foreign Security Custody Fee (Non-U.S. mutual funds/UCITs)  Euroclear) All other 10 bps per annum	
	B ::: / :1
Foreign Currency Negative Interest Variable 1, pass-thr	
DTC/Government/DWAC Delivery \$30 + pass-throug	
	ough of TA & DTC fees Per event  Per event  Per event
DRS Reject \$30 + pass-throug	
Corporate Actions \$10.00  \$50.00	Per document requested Per event
Copies of Archived Monthly Statements/Confirms \$10.00	
Alternative Investments No charge Alternative Investments (via AIP) No charge	Per month/per security Per month/per security
· · · · · · · · · · · · · · · · · · ·	Per ACAT processed
ACAT Processing Transfer In No charge ACAT Processing Transfer Out (Full or partial) \$100.00	D A CAT

## MARGIN INTEREST

SERVICE FEES

DEBIT BALANCE	MARGIN RATE
\$0 - \$50,000	StoneX Base Rate + 2.50%
\$50,001 - \$100,000	StoneX Base Rate + 2,25%
\$100,001 - 200,000	StoneX Base Rate + 1.75%
\$200,001 - 500,000	StoneX Base Rate + 1.50%
\$500,001 and over	StoneX Base Rate + 1,00%

StoneX Base Rate is the Call Money Rate (as published by the Wall Street Journal and Bankrate.com) plus 2.50% per annum.

## <sup>1</sup> Fee available upon request.

John Doe 111 Main Street Your Town, USA

PAY TO THE StoneX Financial Inc.

Notes: Account Number Signature:

One hundred dollars

Make checks payable to 'StoneX Financial Inc.' and include the affected account number.

Date: mm/dd/yy

John Doe

\$ 100.00

- DOLLARS

Inactive accounts are defined as accounts holding a security position for a 12-month period (August 1 - July 31) without generating a) a trade or b) a free credit or margin interest of at least \$100. Mutual fund systemic reinvestments and exchanges will be considered a trade. Dividend reinvestment activity is not considered a trade, Inactive fees do not apply to retirement accounts where Clearing Firm acts as custodian or servicing agent and collects service fees. Accounts exclusively holding book entry only fixed income positions or mutual fund positions exceeding \$50,000 are exempt from this fee. Clearing Firm reserves the right to charge this fee on a pro rota basis for accounts that terminate their relationship with Clearing Firm and upon termination of the Fully Disclosed Clearing Agreement for any reason by either party.

<sup>2</sup> Clearing firm reserves the right to adjust the surcharge based upon changes in postal, paper, vendor or other cost factors. The paper delivery surcharge for confirmations is accessed on a per trade basis and billed as incurred.

<sup>&</sup>lt;sup>4</sup> All Physical Security fees are subject to additional charges (e.g. transfer agent fees, DTC fees, etc.) which will be passed through at cost.

<sup>&</sup>lt;sup>5</sup> Billed in September of each year.