

Member FINRA & SIPC

STOCKS

	Online Trades	Broker Assisted Trades
Equity Securities/Exchange - Traded Funds	\$24.95*	\$49.95*

*If a Good Til Cancelled (GTC) order fills over multiple days, you will pay one full commission for each day a fill occurs.

OPTIONS

	Online Trades	Broker Assisted Trades
All Contracts	\$24.95 + \$1.50 each contract*	\$49.95 + \$1.50 each contract
Manual Option Exercise Request: \$25.00		

*Example: 5 contracts online commission = \$24.95 + \$7.50 (5 x \$1.50) = \$32.45.

MUTUAL FUNDS

	Online Trades	Broker Assisted Trades
No Transaction Fee (NTF) Mutual Funds:	\$0	\$0
All other Mutual Funds:	\$24.95	\$49.95

*For any mutual fund available for purchase, please carefully review the fund's Prospectus prior to investing to obtain information regarding any additional charges or expenses that the fund may charge.

FIXED INCOME INVESTMENTS - (CAN ONLY BE PURCHASED THROUGH BROKER ASSISTANCE)

Bonds, Mortgage-Backed Securities, OTC Corporate Bonds, Government Securities, Collateralized Mortgage Obligations, Money Market Instruments/CDs, Municipal Bonds, Unit Investment Trusts, and Zero Coupon Bonds	\$29.95
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MISCELLANEOUS FEES

*The following fees may apply depending on your brokerage account activity and settings. Fees are automatically deducted from your cash balance at the time of the transaction(s) or on a monthly basis.

• Paper Documents Fee (statements, trade confirmations, etc..)	\$30.00 per quarter (unless set up for eDelivery)
• Transfer Out (Full or Partial)	\$100.00
• Voluntary Corporate Action Fee (includes but not limited to tender offers and warrant exercises)	\$50.00
• Mandatory Corporate Action Fee (includes but not limited to Fixed Income Maturities, mergers, reverse stock splits, name changes)	\$25.00
• Physical Certificate Deposit	\$50.00 / certificate
• Physical Certificate Reregistration	As incurred by ETCB from Transfer Agent
• DWAC Charges	\$75.00 / item
• Free Deliveries (DTC)	\$25.00 / security
• Long Positions (Sub Penny Book Entry) - monthly fee	\$0.0000006 / share
• Worthless Securities Removal Processing Charge	\$20.00 / security
• Wires Out	\$30.00
• Check Fee	\$0
• Overnight Mail	As incurred
• Real Time Quotes	Fees passed through as incurred
• Non-DTC eligible Security Transaction Fee, DRS (Direct Registration System) Fee	As incurred by ETCB (includes but not limited to physical settlement fee / Transfer agent fee / processing fee)
• FINRA TAF and ORF Fees	As incurred by ETCB

PLEASE NOTE: Trading in OTC securities incurs additional risk. Please review the [OTC Disclosure](#) on our website for more information.

ATTENTION: Brokerage accounts are established with ETC Brokerage Services ("ETCB"). ETCB is an affiliate of Equity Trust Company; however your brokerage account (should you open one) is maintained with ETCB and all brokerage services and transactions in the brokerage account will be rendered and effected by ETCB (not Equity Trust Company). Any funds needed for brokerage purchases will automatically be pulled via a bank link from your cash account with Equity Trust upon settlement date. In addition, funds received from a sale in your brokerage account will automatically be deposited through this same bank link to your cash account with Equity Trust upon settlement.

PLEASE NOTE: Certain Securities are not available through electronic trading. Access to your account information, trading and other services may be limited or unavailable during periods of peak demand, systems maintenance, or for other reasons. Contact ETCB for assistance at any of these times.

INVESTMENT PRODUCTS: NOT FDIC INSURED • NO BANK GUARANTEE • MAY LOSE VALUE

P. O. BOX 451340 | WESTLAKE, OH 44145 | PHONE: (877) 403-0369 | FAX: (440) 366-3753 | EMAIL: ETCBROKERAGE@ETCBROKERAGE.COM