

Member FINRA & SIPC

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

*An individual order that has multiple fills at multiple prices will be charged an additional \$1 per transaction for each fill that occurs beyond three (3).

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
ALL 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		

ONLINE ACCESS - (FEES DEDUCTED QUARTERLY)			
Online Trading Access (to place trades online)	\$5.00/month	Online viewing (to view account activity)	\$1.50/month

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.	
• Postage and Handling per trade confirmation	\$5.00 (unless set up for eDelivery)
• Transfer Out (Full or Partial)	\$75.00
• Annual Paper Statement Fee	\$30.00
• Voluntary Corporate Action Fee (includes but not limited to tender offers and warrant exercises)	\$35.00
• Mandatory Corporate Action Fee (includes but not limited to Fixed Income Maturities, mergers, reverse stock splits, name changes)	\$25.00
• Physical Certificate Deposit	\$25.00 / certificate
• 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

Foreign Stock Transaction Fee (non-ADRs) (Liquidation only, no buys allowed as of 10/15/16)	\$100 + commission
Foreign Stock Transfer Fee	\$100 / security

Non-DTC eligible Security Transaction Fee	As incurred by ETC Brokerage (includes but not limited to physical settlement fee /
DRS (Direct Registration System) Fee	Transfer agent fee / processing fee)
OTC Stocks (Bulletin Board and pink-sheet) Execution and Illiquid Charge	All transactions require pre-approval or it may result in a fee by the NSCC based on a percentage of the order. When placing trades in the OTC market, contact ETC Brokerage for details and pre-approval to avoid any possible fee.

ATTENTION: Brokerage accounts are established at Axos Clearing LLC, the clearing firm used by ETC Brokerage Services as your broker. ETC Brokerage Services is an affiliate of Equity Trust Company; however your brokerage account (should you open one) is maintained with ETC Brokerage Services and all brokerage services and transactions in the brokerage account will be rendered and effected by ETC Brokerage Services (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 your Broker** for assistance at any of these times.

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

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