

# NFS Account Fee Schedule

Effective 01/01/2018

Description of Fee	Fee Amount	Details
Standard Brokerage Account	\$0.00	No fee for standard account
Brokerage Portfolio	\$100.00	Annual fee for a Brokerage Portfolio Account
Brokerage Portfolio with Platinum Card	\$150.00	Annual fee for a Brokerage Portfolio Account with the Platinum Visa with Rewards Debit Card
Brokerage Access	\$50.00	Annual fee for Brokerage Access Account with Debit Card (Free if client does not choose debit card privileges)
Wire Fee	\$15.00	Charged when funds are wired out of a client's NFS account
Full TOA Delivery Fee	\$95.00	Charged when an account requests a full transfer leaving NFS
IRA Annual Maintenance Fee	\$50.00	Annual fee on IRA accounts. (Client billed in Oct and acct debited in Dec)
IRA Termination Fee	\$125.00	Charged when an IRA account is closed due to a full distribution or is requesting a transfer leaving NFS
Prospectus Delivery Fee	\$2.00	Charged to registered representative on the account when applicable. i.e. new issue purchases
Trade Extension Fee	\$5.00	Charged when an account requests a Reg-T extension
Annual Custody and Record Keeping Fee	\$65.00	Charged when account has been deemed inactive for a year by NFS
Bounced Check Fee	\$30.00	Charged when a check deposited into an account bounces
Legal Transfer Fee	\$90.00	Charged when a stock certificate has been deposited and requires legal documentation (any paperwork submitted other than a stock bond power)
Transfer and Ship Fee (DRS Eligible)	\$15.00	Charge for sending a DRS Statement for a DRS eligible security
Transfer and Ship Fee (non-DRS Eligible)	\$220.00	Charge for sending a physical certificate for a non-DRS eligible security
Mailgram Fee	\$10.00	Charged when a mailgram is sent to the client. Mailgrams are sent by NFS for margin calls, debits, etc.
Stop Payment Fee	\$15.00	Charged when a stop payment is requested on an outgoing check

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Physical Reorg Fee	\$25.00	Charged when a stock certificate is deposited after the action date on a mandatory reorg item
Legal Return Fee	\$60.00	Charged when a stock certificate has been returned to client due to "not in good order" status for more than 45 days or at the client's request
Restricted Stock Transactions (Full Service)	\$150.00	Charged when NFS coordinates legal review and opens window to sell restricted stock.
Restricted Stock Transactions (Sell without Approval)	\$40.00	Charged when NFS sends shares to the transfer agent
Safekeeping Fee	\$5.00	Charged when a position in certificate form (typically held in type 4 or 5)
Copies of Brokerage Access or Portfolio checks	\$5.00	Charged when a copy of a cashed check is requested
<b>Alternative Investment Fees</b>		
Trade Fee (If executed through NFS Alt Inv Dept)	\$60.00	Charged when an alternative investment position is purchased or sold in an NFS account. ***Note: This fee cannot be passed through to client and will be charged to the rep.
Transfer/Re-registration Fee	\$50.00	Charged when an alternative investment position is transferred into NFS
Annual Custody Fee	\$50.00	Annual fee charged per Alternative Investment position
Document Review Fee	\$125.00	Charged when an Alternative Investment position is requested to be added to the NFS platform. This fee is charged regardless of the outcome.
Direct Sponsor Costs	Varies	Charged by the Sponsor of the Alternative Investment for transfer and/or re-registration. This cost is a direct pass through.