



**Commission Schedule  
Standard Client Schedule  
Revised 1/3//2011**

Equities- Standard Commission

**Principal Value**

\$ 0	-	300	10% of Principal		
\$ 301	-	800	\$8.00	+	2.55% of Principal Value
\$ 801	-	2,500	\$16.00	+	1.60%
\$ 2,501	-	20,000	\$28.50	+	1.17%
\$ 20,001	-	30,000	\$110.00	+	.79%
\$ 30,001	-	300,000	\$190.00	+	.532%
\$ 300,001	-	and up	\$1,145.00	+	.212%

In addition to the above the following lot charges will apply:

101 shares – 1000 shares \$7.50 per lot

*No lot charges on 100 shares or less*

1,001 shares or more \$75.00 + \$5.30 per lot

Maximum Commission Charge .98 per share

If principal value exceeds \$300.00 – minimum commission is \$35.00

Odd Lots or a combination of Round Lots and Odd Lots which do not exceed \$.98 per share maximum charge is calculated according to the above chart with lot charges pro rated.

**Stocks, Rights, and Warrants selling for less than \$1.00**

Principal Value

\$ 0	-	1,000	10% of Principal Value		
\$ 1,001	-	10,000	\$44	+	6.5 % of Principal Value
\$ 10,001	-	and over	\$175.00	+	5.3% of Principal Value

On all orders over \$300.00, commission for the order will be calculated using the above formula. After figuration, the commission will be increased by 7% and then an additional 5% on that amount.

*Other service fees may apply, please see your investment executive for details.*

**Options**

Listed Options are subject to a \$21.00 transaction fee.

• *Exercise and Assignment*

Currency Options	\$300.00 per notification
Other Options	\$25.00 per notification

**Mutual Funds**

- Sold at the fund's Public Offering Price as of that day's close of business.
- Redemptions are subject to a \$10 transaction charge.
- Same fund family exchanges are subject to a \$10 transaction charge.
- Systematic investment and withdrawal programs via SRS System are subject to a \$.50 transaction

charge.

- No Load Mutual Funds are subject to a \$25.00 transaction fee.
- No Load Mutual Funds are also subject to a \$10 surcharge, per trade.  
*\*No ticket charges are levied when trades are executed direct with the fund company.*

**For Limited Partnerships, Private Placements & Other Special Products not listed, please see your investment executive for a separate fee schedule.**

### **Bonds and Government Securities**

- Price negotiated at time of purchase or sale.
- Treasury Bonds are subject to a \$30.00 transaction charge.
- Listed Corporate Bonds are subject to a \$35.00 transaction charge.
- OTC Corporate Bonds are subject to a \$35.00 transaction charge.
- Government Bonds are subject to a \$30.00 transaction charge.
- Agency Bonds are subject to a \$30.00 transaction charge.
- Municipal Bonds are subject to a \$30.00 transaction charge.

### **Other Trade Fees**

- Money Markets (CDs, CP, BA's, etc) are subject to a \$35.00 transaction fee.
- UITs & Precious Metals are subject to a \$35.00 transaction fee.
- Mortgage Back/When Used are each subject to a \$35.00 transaction fee.

### **Account Service Fees**

- Margin extensions - \$10 per event
- Confirmation Fee - \$2 per confirmation
- Voluntary Cash Tenders - \$20 per event
- Mandatory Tenders - \$5 per event
- Legal Transfers - \$20 per event
- Accommodation Transfers/Bearer Bond Withdrawals - \$25 per event
- International Safekeeping Charges - \$5 per account, per position, per quarter.
- Returned Check - \$20 per event
- Copy of Check - \$5 per check
- Wired Funds - \$25 per wire
- Inactive Equity Account - \$25.00 per year
- Inactive Mutual Fund Only Account - \$12.50 per year
- Redemptions – Money Markets (CD's, CP, BA's, etc) - \$5 per item
- All Other Bond Redemptions - \$5 per item
- Customer Name Safekeeping Charges for Fixed Income and Equity accounts - \$2 per account, per position, per quarter.
- Outbound Transfers from Non-Retirement Accounts - \$85
- Outbound Transfers from Retirement Account - \$75.00 plus corresponding maintenance fee
- Equity Dividend Reinvestment - \$1.00 per investment, no fee for IRA accounts
- Conversion of Traditional IRAs to Roth IRAs (per conversion) – No fee

### **Annual Custodial Fees**

- Qualified Plans and 403(b)(7) Custodial Accounts - \$50.00
- SIMPLE Plans - \$50.00
- Prototype SEP - \$50.00
- Traditional IRAs, Roth IRAs, Education IRAs, and 5305-SEPs - \$35.00
- Mutual Fund Only Account (Traditional, Roth IRAs) - \$10.00

### **International Clearance**

- Eurobond Clearance - \$50.00

- All other foreign securities - \$75.00



**ACCOUNTS CARRIED AT PERSHING LLC**

**\*Fees Subject to Change at Anytime**

Not FDIC Insured	* May Lose Value * No Bank Guarantee
---------------------	-----------------------------------------

Infinex Investments, Inc.  
Member FINRA and SIPC

***Important Note: All rates are subject to change***