



### **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 - \$50
- 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) - \$25.00

**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

**International Clearance**

- Eurobond Clearance - \$50.00
- All other foreign securities - \$75.00



**\*Infonex may, in certain circumstances, share in a portion of the fees and charges paid to its clearing firm, Pershing, LLC.**

**ACCOUNTS CARRIED AT PERSHING LLC**

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

Not FDIC Insured	* May Lose Value * No Bank Guarantee
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Infonex Investments, Inc.  
Member FINRA and SIPC

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

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