

MANAGED ACCOUNT CUSTODIAL FEE SCHEDULE

Fee Description	Total Fee	Fee Basis
ACAT / Non-ACAT (full or partial) Transfer Out * Plus free delivery charge for each position	\$ 75.00	Per account
Free Deliveries DTC	\$ 25.00	Per security
Mandatory Reorg Corporate Actions	\$ 25.00	Per account
Voluntary Tender/Exchange Offer/Bond Put	\$35.00	Per Election
Axos Clearing-Assisted Dividend Postings (Asset not held at Axos Clearing)	\$ 15.00	Per item
Cash Dividend Outgoing Check	\$ 10.00	Per check
Stop Payments	\$ 25.00	Per stop
Returned Checks	\$ 40.00	Per check
Photocopies of Checks	\$ 5.00	Per check
Prepayment of Unsettled Funds	\$ 30.00	Per item, plus interest
Check Writing Stop Pays	\$ 25.00	Per check
Returned ACH Items	\$ 25.00	Per return
IRA Annual Custodial Fee	\$ 40.00	Per plan
Transfers (including transfer of ROTH to/from Traditional IRA)	\$ 75.00	Per transfer
Termination Fee	\$ 50.00	Per plan?
W8 Validation Fee	\$60.00	Per Item
Withholding Statement Processing Fee	\$ 500.00	Per Item
Alternative Investment Reconciliation	\$ 100.00	Per year (charged quarterly)
Re-registration of Stock or Alternative Investment	\$ 50.00	Per re-registration, plus cost
Safekeeping/Reconciliation/Vault Fee	\$ 60.00	Per year, charged quarterly
Manual Option Exercise Request	\$ 25.00	Per request
TOD Application Fee	\$ 60.00	Per account setup
TOD Change / Revocation	\$ 60.00	Per account change
TOD Distributions	\$ 200.00	Per distribution
Long Positions (sub-penny, book entry)	\$ 0.006	Per 10,000 shares, monthly
Clearance or Transfer of Restricted Stock	\$ 100.00	Per item, plus cost
Certificate Request – DTC	\$ 1,000.00	Per certificate
Rush Withdrawal – DTC	\$ 150.00	Additional
Physical Settlements	\$ 100.00	Per settlement, plus cost
Rejected Deposits – DTC or Agent	\$ 185.00	Per certificate
NY Window / Physical Delivery	\$ 50.00	Per security
Transfer Agent Charges	As incurred	As incurred, plus any mark-up
Cashless Stock Options	\$ 35.00	Per request, plus 1% of proceeds, plus cost
Trades Settled Same Day (Cash Trades)	\$ 15.00	Per trade
Domestic Wire	\$ 30.00	Per wire
International Wire	\$ 75.00	Per wire
Wire Research Requests / Service Messages	\$ 50.00	Per request
Overnight Domestic Delivery Check	\$ 40.00	Per delivery
International Check	\$ 100.00	Per delivery (other fees may apply)
Bond Redemption / Conversion (Physical Only)	\$ 50.00	Per item, plus cost
Reg-T Extensions	\$ 25.00	Per extension
ADR Fee	\$ 0.005	Per item, plus transaction cost
Transfer In / Out – Physical Certificate (Foreign)	\$ 150.00	Per certificate, plus cost
Physical Certificate Request	\$ 1,000.00	Per certificate, plus cost
Foreign Currency Conversions	\$ 50.00	Per conversion
Foreign Currency Transaction Postings	\$ 25.00	Per posting
Worthless Security Processing	\$ 30.00	Per security
Envelope Settlement Delivery	\$ 50.00	Per item
Funds Only Settlement Delivery	\$ 50.00	Per item
Envelope Settlement Service Reclaim Delivery – Funds Only	\$ 50.00	Per item
Settlement Service Reclaim Delivery	\$ 50.00	Per item
Internal Cross Delivery	\$ 40.00	Per item
Over-the-Window Delivery	\$ 100.00	Per item
Over-the-Window Reclaim Delivery	\$ 100.00	Per item
Envelope Settlement Service	\$ 50.00	Per item
Funds Only Settlement Service	\$ 50.00	Per item
Over-the-Window Receive	\$ 100.00	Per item
Envelope Settlement Service Reclaim Receive - Funds Only	\$ 50.00	Per item
Settlement Service Reclaim Receive	\$ 50.00	Per item

Axos Invest brokerage accounts held at Axos Clearing. Fees charged by Axos Clearing for custody.



MANAGED ACCOUNT CUSTODIAL FEE SCHEDULE

Internal Cross Receive	\$ 40.00	Per item
Over-the-Window Reclaim Receive	\$ 100.00	Per item
DVP Special Processing – Settlements	\$10.00	Per trade
Tender/Exchange Offer/Bond Puts	\$35.00	Per Election
Vault Services	\$ 60.00	Per year, charged quarterly
DWAC Charge	\$ 75.00	Per item
DWAC Reject Charges	At cost	At cost
ACCPA Check Writing and Platinum Card	\$ 60.00	Per year