



A subsidiary of Axos Financial¹¹

DAI Securities, LLC ("Correspondent")

June 13, 2023

Schedule B – Client Fee Schedule

(For the avoidance of doubt, neither the charges listed herein nor any markups associated with any such charges shall be applied to monthly minimum clearing costs)

The terms used herein and not otherwise defined shall have the meanings ascribed to them in the parties' Clearing Agreement.

Client Account Handling Fees

Transfers

ACAT and Non-ACAT Transfer Out	\$75 per account
Free Deliveries DTC	\$25 per security

REORG/ Dividends/ ACAT

Mandatory Reorg Corp Actions	\$25 per account
Voluntary Tender/ Exchange Offer/ Bond Put	\$35 per election
Axos Clearing Assisted Dividend Posting (Asset not held at Axos Clearing)	\$15 per item
Cash Dividend outgoing check	\$10 per check

Checks

Stop payments	\$25 per stop
Returned Checks	\$40 per check
Photocopies of Checks	\$ 5 per check
Prepayments of Unsettled Funds	\$30 plus interest
Check Writing Stop Pays	\$25
Returned ACH Items	\$25 per return

Qualified Plan Accounts (IRA, 401(k), Sep, Roth, etc...)

Annual Custodial Fee	\$40 per plan
Transfers (including transfer of Roth to/from Traditional IRA)	\$75 per transfer
Termination Fee	\$50 per plan

Tax Services

W-8BEN Validation Fee	\$60 per item
Withholding Statement Processing Fee	\$500 per item

Alternative Investments (Per Position)

Alternative Investment Custody Fee	\$250 per year (charged quarterly)
Re-registration of Alternative Investments	\$50 plus cost
Safekeeping/Reconciliation/Vault Fee	\$60 per year (charged quarterly)
Alternative Investment Transaction Fee Per	\$100 Subscription or Redemption

Manual Options Exercise Request

\$25 per request

Handling (charge to customer) *

As determined by Correspondent.

**Correspondent may not charge more than \$30 without prior written approval.*

Transfer on death registration (per account)

Application fee	\$60
Change/revocation	\$60
Distribution of assets away from Axos Clearing	\$200

Sub penny Long positions

\$0.0000006 per share monthly

Restricted Stock

Clearance or Transfer of Restricted Stock	\$100 plus out of pocket costs.
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Physical Security Processing

Certificate request <u>DTC</u>	\$1000 per certificate
Rush Withdrawal <u>DTC</u>	\$150 additional
Physical Settlements	\$100 plus cost
Rejected deposits DTC or agent	\$185 per certificate
NY Window / Physical Delivery	\$50 per security



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Transfer agent charges	As incurred by Clearing Broker passed through to the client.
Cashless Stock Options	\$35 Plus 1% of the proceeds plus cost
Trades Settled Same-Day (Cash Trades)	\$15 per trade
Wire Transfers	
Domestic	\$30 per wire
International	\$75 per wire
Wire Research Requests / Service Messages	\$50 per request
Overnight Delivery	\$40
International	\$100 additional fees may apply
Bond Redemption/Conversion	\$50 Plus Cost
Reg.-T Extension	\$25
Foreign Securities	
ADR Fee	.005 plus cost per transaction
Transfer-In and Out/Physical Certificate	\$150 Plus cost
Physical Certificate Request	\$1000 Plus cost
Foreign Currency Conversions	\$50 per conversion
Foreign Currency Transaction Postings	\$25 per posting
Worthless Security Processing	\$30 per security
Physical Security same day turn around deliveries	
Envelope Settlement Service Delivery	\$50 per item
Funds Only Settlement Service Delivery	\$50 per item
Envelope Settlement Service Reclaim Delivery - Funds Only	\$50 per item
Settlement Service Reclaim Delivery -	\$50 per item
Internal cross delivery -	\$40 per item
Over the Window Delivery	\$100 per item
Over the Window Reclaim Delivery -	\$100 per item
Transportation/ Runners	\$50 per item
Receives- Follow up with Settlements	
Envelope Settlement Service	\$50 per item
Funds Only Settlement Service	\$50 per item
Over the Window Receive	\$100 per item
Envelope Settlement Service Reclaim Receive - Funds Only	\$50 per item
Settlement Service Reclaim Receive	\$50 per item
Internal cross-receive	\$40 per item
Over the Window Reclaim Receive -	\$100 per item
DVP Special Processing- Settlements	
Tender/Exchange Offer/Bond Puts	\$35
Vault Services (Per Certificate)	\$60 per year
DWAC charge	\$75
Reject charges	At cost
Axos Clearing Cash Plus Account (ACPA)	
ACPA Check Writing and Platinum Card	\$60 per year

Other Services

For other services that are not identified on this fee schedule, the Correspondent should inquire of Clearing Broker to determine the availability of additional services as well as any costs/fees that may be incurred.