

Fee Schedule Effective January 1, 2017

Fee Description	Total Fee	Fee Basis
Overnight Delivery (UPS)	\$50.00	Per Item
International Delivery (UPS)	\$110.00	Per Item
DWAC Charge	\$125.00	Per Item
DWAC Reject Charges	As Incurred	Per Item
Client Foreign Financial Intermediary (Omnibus) Due Diligence Review Fee	\$1,000.00	\$200 / Hr Over 5 Hrs; Per Account
Safekeeping / Reconciliation / Vault Fee	\$85.00	Per Year (Charged Quarterly)
Re-registration of Stock or Alternative Investment	\$50.00	Costs
Clearance or Transfer of Restricted Stock	\$150.00	Costs
Certificate Request DTC	\$1,000.00	Per Certificate
Rush Withdrawal DTC	\$175.00	Additional
Penny Stock Re-registration w/Agent (Domestic)	\$300.00	Per Certificate
Penny stock re-registration w/Agent (Canadian)	\$800.00	Per Certificate
Rejected Deposits DTC or Agent	\$215.00	Per Certificate
Transfer Agent Charges	As Incurred	Per Item
Long Positions (Sub Penny Book Entry)	\$0.0000006	Per Share, Monthly Basis
COR Assisted Dividend Posting (Asset Not Held at COR)	\$15.00	Per Item
IRA Annual Custodial Fee	\$40.00	Per Plan
Transfers (Including Transfer of Roth To/From Traditional IRA)	\$95.00	Per Transfer
Limited Partnerships/AIP	\$100.00	Per Position Annually Charge Quarterly
Termination Fee	\$75.00	Per Plan
Certificate Deposit	\$25.00	Per Position/Per Customer
Cashless Stock Options	\$35 min	1% Of Proceeds Plus Costs ; Per Item
Reg.-T Extension	\$35.00	Per Extension
TOD Distributions	\$225.00	Per Distribution
Prepayment of Unsettled Funds	\$30.00	Interest
ACAT – Non-ACAT (Full or Partial) Transfer (Transfer Out) Plus Free Delivery Charge for Each Position.	\$90.00	Per Account

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Fee Description	Total Fee	Fee Basis
Voluntary Tender/Exchange Offer/Bond Puts	\$50.00	Per Election
Bond Redemption/Conversion (Physical Only)	\$50.00	Plus Costs
Worthless Securities Processing Charges	\$20.00	Per Security Processed
Mandatory Reorg Corporate Actions	\$25.00	Per Account
Dividend Reinvest	\$1.00	Per Dividend Reinvestment Entry
Cash Dividend Outgoing Check	\$10.00	Per Check
Cash Dividend Outgoing ACH	\$0.25	Per ACH
Manual Options Exercise Request	\$25.00	Per Request
Handling (Charge to Customer)	\$20.00	Per Trade
Physical Settlements	\$150.00	Plus Costs
Free Deliveries DTC	\$35.00	Per Security
NY Window / Physical Delivery	\$70.00	Per Security
Trades Settled Same-Day (Cash Trades)	\$30.00	Per Trade
Transfer In and Out/Physical Certificate (Foreign)	\$175.00	Costs
Foreign Custody Fee	2.5 bps Annually **Subject to Market Change	Per Security; Charged Monthly
Stop Payments	\$25.00	Per Check
Returned Checks	\$40.00	Per Check
Photocopies of Checks	\$5.00	Per Check
Returned ACH Items	\$25.00	Per Return
Wire, Domestic (Outgoing)	\$40.00	Per Wire
Wire, International (Outgoing)	\$90.00	Per Wire
Wire Research Requests / Service Messages	\$50.00	Per Request
Foreign Currency Conversions	\$50.00	Per Conversion
Foreign Currency Transaction Postings	\$25.00	Per Posting
Check Writing Stop Pays	\$25.00	Per Stop
CCPA Check writing and Platinum Card	\$60.00	Per Year



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Fee Description	Total Fee	Fee Basis
Monthly Statement Charge-Paper	\$3.95	Per Statement
Monthly Confirm Charge-Paper	\$2.99	Per Confirm
Monthly Statement Charge-Electronic	\$0.50	Per Statement
Monthly Confirm Charge-Electronic	\$0.50	Per Confirm

**COR Clearing is now charging for printed statements and confirms. If you wish to opt into electronic delivery of statements and confirmations instead of paper copies to reduce your fee, please visit www.jhdarbie.com/estements for details.