

Commission and Fee Schedule

Fee Schedule

Domestic/International Wire	\$30/50
Returned Check/ Wire/ACH	\$30
Check Distribution domestic/International	\$5/\$10
International Delivery	At cost
Blue Sheets	\$5
DTC Delivery Transfer – stock/ Bonds	\$50/\$100 per position
ACAT (outbound)	\$100
Illiquid Charges	12% interest charge
Short interest	Pass through
ADR Pass-Through Fees	As passed by the ADR agent bank. Generally (\$0.01 – \$0.03) per share
Stock Mandatory Redemption (position exited out of DTC)	\$50
Manual Option Exercise	\$5 per exercise request
Worthless/Delisted or Non- Transferable Securities Written off	\$10 per write off
Account Inactivity Fee	\$10 quarterly
Errors (cancel & rebill)	\$5.00 per side
Order Handling Fee (Call the order Desk)	\$25.00
As of Trades	\$10.00 per trade
Corporate Actions	\$10 for Mandatory and \$50 for Voluntary
Interest Charge regular/high risk	Broker s Call Rate or Velox rate (whichever is higher) plus 100 bps/300 bps
Equity Trust IRA fee	\$50 annual fe, termination \$75
3 rd Party Charge	Pass through
DRS/DWAC	\$100/item
Buy-in or Sell-out	\$25

Fees, Costs, Conflicts, and Standards of Conduct

IPO

You pay issue price, issuer pay us fee, no fee charge to customers.

When you sale those shares, there will be commission charged. Please discuss with your investment consultants.

Trading with consultants

The minimum charge: \$35, maximum charge: 5% of the total amount of trade

Customers doing their own on-line trading, please refer to following:

Stocks and ETFs

- You pay us a fee, called a commission, for each security you buy or sell.
Fixed: USD 0.01/share
Minimum per order: USD 5.00.
- You pay regulatory fees:
SEC Transaction Fee: USD 0.000008 * Value of Aggregate Sales
FINRA Trading Activity Fee: USD 0.000145 * Quantity Sold¹

1. Maximum USD 7.27 per trade. In the case of partial executions, each execution is considered one trade.

Options

\$1/contract, minimum\$5/trade.