

## Securities Processing Charges

### Clearing Firm + BD Fees

#### Checks

Stop Payments	\$40 Per Check
Returned Checks	\$50 Per Check
Photocopies of Checks	\$10 Per Check
Check Writing Stop Payments	\$40 Per Stop Payment
Prepayments	\$50 plus interest
Check Processing Fee	\$10 Per Check
Returned ACH Items	\$40

#### Individual Retirement Accounts (IRA)

IRA Annual Custodial Fee	\$50 Per Plan
IRA Transfers (including transfer of Roth to Traditional IRA)	\$100 Per Transfer
IRA Asset Review	\$400 Per Review
IRA Limited Partnerships	\$50 Per Position
IRA Termination Fee	\$80 Per Plan

#### Alternative Investments

Private Asset Review	\$400
Initial Deposit	\$20 Per Position / Per Customer
Annual Pricing	\$30 per position per year
Safekeeping / Reconciliation	\$60 Per Year (Chg Quarterly)
Re-Registration	\$50

#### Handling Fees

Trade Handling Fee	\$30.00
Paper Statement Handling Fee	5.5 per month
Tax Documents Handling Fee	\$5.50
Account Termination Fee	\$95 per account

#### Transfer on Death Registration (per account)

Application Fee	\$100
Change / Revocation	\$100
Distribution of Assets from COR	\$250

#### Restricted Stock

Account Fee	50 per year (at opening and on Jan)
Clearance or Transfer of Restricted Stock	\$120 plus out of pocket costs

#### Physical Security Processing

Physical Certificate Request (Penny Stock) DTC	\$1000 per certificate
Physical Certificate Request (Other) DTC	\$1000 per certificate
Rush Withdrawal DTC	\$200 Additional
Low Priced security deposit and review (non-listed, non-NMS)	\$1000 per item plus costs
Penny Stock Re-registration with Agent (Domestic)	\$350 Per Certificate
Penny Stock Re-registration with Agent (Canadian)	\$750 Per Certificate
Physical Settlements	\$150 plus costs
Rejected Deposits DTC or Agent	\$250 Per Certificate
Free Deliveries DTC	\$40 Per Security

NY Window / Physical Delivery	\$40 Per Security
Transfer Agent Charges	\$20 plus incurred Charges
Cashless Stock Options	\$50 plus Incurred Charges
Free Deposits to Safekeeping	\$30 Per Deposit
Trades Billed Ex-Clearing	\$39 Per Trade

#### **Wire Transfers**

Domestic	\$40
*International	\$60

#### **Overnight Delivery**

*Domestic	\$40
*International	\$60
*New Zealand and Australia	\$80
Tender / Exchange Offer / Bond Puts	\$25
Bond Redemption / Conversion (Physical Only)	\$50
Reg-T Extension	\$30

#### **Foreign Securities**

Transfer In and Out / Physical Certificate	\$200
Physical Certificate Request	\$700 Plus Costs
Foreign Non-Euroclear	\$75
Foreign Safekeeping	\$50 plus Incurred Charges
DWAC Charge	\$150
Reject Charges	At Cost
Worthless Securities Processing Charge	\$20
Vault Services (Per Certificate)	\$70 per year

#### **COR Clearing Cash Plus Account (CCPA)**

CCPA Checkwriting Only	\$100.00
CCPA Checkwriting and Gold Card	\$100.00
CCPA Checkwriting and Platinum Card	\$150.00
ACAT - Non-ACAT Transfer	\$100 Per Account

#### **Web Access**

Web Access Fee	\$1 per month
Web Access Fee (Trading)	\$5 per month