

NFS FEES
Effective March 2022

Ticket Charges

NYSE Listed Equities	
Auto Market Orders < 2,099 shares	\$35 minimum charge
All Other Orders (e.g., lots > 2,099, GTC, limit)	\$35 plus \$.02/share minimum
NASDAQ & Other Equities	\$35 minimum charge
NYSE Listed Equities - Advisory Accounts (BSE Prefix)	
Auto Market Orders < 2,099 shares	\$30 minimum charge
All Other Orders (e.g., lots > 2,099, GTC, limit)	\$30 plus \$.02/share minimum
NASDAQ & Other Equities - Advisory Accounts (BSE Prefix)	\$30 minimum charge
Mutual Fund Purchases/Sales*	\$16
Mutual Fund Exchanges*	\$16
Mutual Fund NTF Fund Transactions	\$5
Mutual Fund PIPs & SWIPs	\$1 (charged to rep)
Bond Transactions (Agency)	\$60 minimum charge
Bond Transactions (Principal)	\$75 minimum charge
Alternative Investments (DPPs)	\$60 minimum charge (charged to rep)
UIT's	\$60 minimum charge
CD's	\$50 minimum charge

Account Fees

Retirement Account Maintenance Fee	\$35 annually
Retirement Account Termination Fee	\$125
Inactive Account Fee	\$35 annually
Regular Brokerage Account	\$0
Brokerage Access Account	\$0
Brokerage Access Account w/ Debit Card	\$50 annually
Brokerage Portfolio Account	\$100 annually
Alternative Investment (DPP) Annual Custody & Valuation	\$35 per registered position \$125 per unregistered position (max. \$500 per account)
Alternative Investment (DPP) Transfer / Re-registration Fee**	\$50

**Additional \$10 surcharge (\$26 Total) for Non-Paying Fund Families/Zero Paying CUSIPs including, but not limited to, CGM, Dimensional Fund Advisors (DFA), Dodge & Cox, Sequoia, and Vanguard (contact the Home Office for additional information)*

*** Additional fee ranging from \$20-\$100 charged by the transfer agent (not NFS) for transferring an alternative investment into an NFS retirement account*

Various Service Fees

Outgoing Wire Fee	\$15
Overnight Fee (Outgoing Checks)	\$10
Bounced Checks <i>-any incoming check that is deposited into an account with insufficient funds and then returned by the bank</i>	\$20
Stop Payments <i>-charged based upon receipt of notification to stop an outgoing check</i>	\$20
Legal Transfers <i>-charged when a transfer requiring legal documentation is completed</i>	\$100
Legal Returns <i>-certificates returned to a customer due to a "not in good order" status being in effect for more than 45 days</i>	\$75
Physical Reorganizations <i>-charged when a certificate is deposited into a customer account after the mandatory reorganization action date has passed</i>	\$45
Transfer & Ship	
DRS Eligible	\$15.00
Non-DRS Eligible	\$225.00
<i>-charged (per certificate) when a customer requests receipt of a physical certificate</i>	
Mailgrams <i>-sent as a result of a trade related obligation or margin deficiency that requires communication to the customer</i>	\$5
Extensions <i>-requests on behalf of customers for more time for payment/delivery of a security transaction</i>	\$15
TOA Delivery <i>-transfer of customer's entire account to another brokerage firm</i>	\$35
Restricted Stock Transactions <i>-includes legal review and opening the window for the customer to sell the restricted security</i>	\$165.00
Safekeeping <i>-covers deposit, custody & withdrawal of securities held by NFS for safekeeping</i>	\$5.00 per certificate per month (charged to rep)
Overnight Fees <i>-some items (i.e., checks, certificates, certain paperwork) must be overnighted to NFS -fees are split between all reps with items in the package</i>	\$2-\$14 (charged to rep)