

Client Commission and Fee Schedule



Securian Financial Services, Inc. • CRI Securities, LLC
 400 Robert Street North, St. Paul, MN 55101-2098
 1-800-820-4205

CRI SECURITIES, LLC

Fee Schedule for Commission Based Accounts*

Stocks/ETF's		Fixed Income
Overriding Minimum of \$39 per trade.		Overriding Minimum of \$50 per trade.
Transaction Size	Commission Rate	Mark-Up/commission is negotiable but is not to exceed \$30 per 1,000 par value.
\$ 0 - \$2,499	\$ 30 + 1.70% of principal	
\$ 2,500 - \$6,249	\$ 56 + 0.66% of principal	
\$ 6,250 - \$19,999	\$ 76 + 0.34% of principal	
\$20,000 - \$49,999	\$100 + 0.22% of principal	
\$50,000 - \$499,999	\$155 + 0.11% of principal	
\$500,000 +	\$255 + 0.09% of principal	
		Options
		Overriding Minimum of \$50 per trade.
		\$50 base fee + \$3 per contract

TRADING

- Confirmation charge..... \$3/transaction*
Buys and sells of stocks, bonds, UITs, options and no-load funds will be assessed this fee
- Purchase or redemption of a no-load mutual fund..... \$39/\$49/transaction*
For certain no-load mutual funds, known as surcharge funds, additional \$10/trade applies.
- Settlement extension fee..... \$25/event
Payment not received within 4 business days (T+4) will be subject to this fee plus interest
- Foreign stock execution fee (plus normal commission)..... \$75/transaction
- Additional charges may apply for short sales of stock, exchange fees, options regulatory fees, and other fees associated with security transactions. Charges will vary by security and/or exchange. Please refer to the mutual fund prospectus for charges associated with mutual fund transactions.

ACCOUNT MAINTENANCE

- Inactive accounts (except qualified accounts that use a Pershing Adoption Agreement)...\$50/year*
Defined as an account that does not generate a trade during a calendar year
- IRA, Roth, Coverdell ESA and SEP account annual maintenance fee..... \$50/year**
- Prototype SEP, SARSEP, SIMPLE, 403(b)(7) account annual maintenance fee..... \$65/year**
- Individual (k), Money Purchase, Profit Sharing, 401(k) account annual maintenance fee
 - Plans using Pershing's Simplified Adoption Agreement..... \$75/year
 - Plans using Pershing's Flexible Adoption Agreement..... \$125/year
- Mutual Fund Only IRA account annual maintenance fee..... \$15/year**
- Foreign (non-U.S. address) account fee..... \$50/year
- Securian Freedom small account fee..... \$10/quarter
Defined as an account valued at less than \$25,000 at quarter end
- Conversion from Multi-product IRA to Mutual Fund Only IRA..... \$50/event
- Recharacterization (full)..... \$35/event
- Qualified account closing fee..... \$95 at closing
For IRAs and qualified retirement plan accounts that use Pershing's Adoption Agreement
- Alternative Investments
 - Registered..... \$35/item/year
 - Unregistered..... \$125/item/year
 - A \$1,200 fee will be imposed for each review of documents to ascertain our ability to custody a limited partnership*
- Safekeeping (name or foreign security)..... \$4/month
- Voluntary or mandatory reorganization activities (i.e., tender offers, mergers, etc.)..... \$25/event
- Fixed income certificate deposited after maturity..... \$25/event
No charge if held in a brokerage account
- 529 plan accounts are subject to setup and/or annual maintenance fees charged by the fund company sponsor.

Securian Financial Services, Inc./CRI Securities, LLC
 member FINRA/SIPC
 400 Robert Street North, A5-2016
 Saint Paul, Minnesota 55101

MARGIN INTEREST

For debits created to purchase securities in margin accounts the following rates apply:

Debit Balance	Interest Rate Charge
\$0 - \$9,999	PBLR +2.75%
\$10,000 - \$29,999	PBLR +2.00%
\$30,000 - \$49,000	PBLR +1.50%
\$50,000 +	PBLR +.75%

CASH DUE INTEREST

For debits created in non-margin accounts the following rate applies:

Debit Balance	Interest Rate Charge
\$0.01+	PBLR +1.50%

PBLR - Pershing Base Lending Rate. Please contact your advisor for current margin rates.

TRANSFERS

- Legal transfers..... \$60/ item
Deposit of a stock/bond certificate requiring legal documentation (i.e., estate or Power of Attorney, etc.)
- Outgoing account transfer \$100 at closing
For non-qualified accounts and qualified retirement plan accounts that do not use the Pershing Adoption Agreement
- Accommodation transfer (physical certificate issued in someone else's name)..... \$60/item
- Register and ship certificate..... \$60/item
- Direct registration..... \$15/item
- Foreign settlement charge..... \$75/item

Additional fees, including fees for deposits of physical securities, may be imposed by the transfer agent and charged to your account.

DEPOSITS AND WITHDRAWALS

- Standard overnight delivery of checks..... \$15/ event
- Saturday overnight delivery..... \$18/event
- Foreign delivery..... \$25/event
- Wired funds..... \$25/ event
- Stop payment..... \$25/item
- Insufficient funds (returned checks/ACH debits)..... \$25/item
- Corestone Account - Please consult program information

DOCUMENT DELIVERY (Applies to clients not enrolled in e-delivery)

- Account statement paper surcharge..... \$2/ item*
Accrued monthly, charged quarterly
- Trade confirmation paper surcharge (in addition to the \$3 confirmation charge)..... \$2/ item
Charged at trade execution

This list describes fees most commonly charged to client accounts. For atypical situations, some additional fees may apply. Please contact your advisor with specific questions.

*Only applies to commission based accounts, excluding 529 plan accounts. Commission is netted from a sale or added to a purchase.

**Does not apply to Spectrum, One, and Freedom accounts with a market value \geq \$500,000 or all Signature, Select, Select Advantage, Spectrum Silver, and Spectrum Gold accounts.

DEBIT POLICY

Clients have 60 days to cover non-trade related debits. Non-trade related debits are caused by fees charged to accounts and are reflected as negative Cash and Money Funds balances on account statements. To avoid asset liquidation, cash should be made available when accounts incur fees. Assets will be liquidated to cover the entire debit balance if any non-trade related debit balances are over 60 days old.

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