

Client Commission and Fee Schedule

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CRI SECURITIES, LLC



Fee Schedule for Commission Based Accounts*

Stocks/ETF's		Fixed Income
Overriding Minimum of \$39.00 per trade.		Overriding Minimum of \$50.00 per trade.
<u>Transaction Size</u>	<u>Commission Rate</u>	Mark-Up/commission is negotiable but is not to exceed \$30.00 per 1,000 par value.
\$ 0 - \$2,499	\$ 30.00 + 1.70% of principal	
\$ 2,500 - \$6,249	\$ 56.00 + 0.66% of principal	
\$ 6,250 - \$19,999	\$ 76.00 + 0.34% of principal	
\$20,000 - \$49,999	\$100.00 + 0.22% of principal	
\$50,000 - \$499,999	\$155.00 + 0.11% of principal	
\$500,000 +	\$255.00 + 0.09% of principal	
		Options
		Overriding Minimum of \$50.00 per trade.
		Commission Schedule
		\$50.00 base fee + \$3.00 per contract

FEEES ASSOCIATED WITH ACCOUNT TRADES

- Confirmation charge..... \$3.00 / 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..... \$39.00/transaction*
- Settlement extension fee..... \$25.00/event
Payment not received within 5 business days (T+5) will be subject to this fee plus interest
- Foreign stock execution fee (plus normal commission)..... \$75.00/transaction
- Portfolio Solutions Accounts
 - Equity Trades..... \$39.00/transaction
 - Fixed Income..... Greater of \$50.00/transaction or \$2.00/bond
- Additional charges apply for short sales of stock. Charges vary by security.
- Please refer to mutual fund prospectus for charges associated with mutual fund transactions

REORGANIZATIONS

- Voluntary reorganization activities (i.e., tender offers, mergers, etc.).....\$25.00/event
There will be no charge for mandatory reorganizations
- Fixed income certificate deposited after maturity..... \$25.00/event
No charge if held in a brokerage account

ACCOUNT MAINTENANCE

- Inactive accounts (except qualified accounts that use a Pershing Adoption Agreement).. \$35.00/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..... \$35.00/calendar year**
- PSP, 401(k), MPP, Individual(k) SIMPLE, 403B, Prototype SEP account annual maintenance fee..... \$50.00/calendar year**
For accounts that use Pershing's Adoption Agreement only
- Mutual Fund Only IRA account annual maintenance fee..... \$10.00/calendar year**
- Conversion from Multi-product IRA to Mutual Fund Only IRA..... \$50.00/event
- Recharacterization (full)..... \$35.00/event
- Qualified account closing fee..... \$95.00 at closing
For IRAs and qualified retirement plan accounts that use Pershing's Adoption Agreement
- Alternative Investments
 - Registered..... \$35.00/item/year
 - Unregistered..... \$125.00/item/year
A \$300 fee will be imposed for each review of documents to ascertain our ability to custody a limited partnership
- Foreign Security Safekeeping.....\$2.00/month
- 529 plan accounts are subject to setup and/or annual maintenance fees charged by the fund company sponsor.

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 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..... \$60.00/item
Deposit of a stock/bond certificate requiring legal documentation (i.e., estate or Power of Attorney, etc.)
- Outgoing account transfer \$100.00 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)..... \$60.00/item
- Register and ship certificate..... \$60.00/item
- Direct registration..... \$15.00/item
- Foreign settlement charge..... \$75.00/item

DEPOSITS AND WITHDRAWALS

- Standard overnight delivery of checks..... \$15.00/ event
- Saturday overnight delivery..... \$18.00/event
- Foreign delivery..... \$25.00/event
- Wired funds..... \$25.00/ event
- Stop payment..... \$25.00/item
- Insufficient funds (returned checks/ACH debits)..... \$25.00/item
- Corestone Account - Please consult program information

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

- Account statement paper surcharge..... \$1.00/item*
Accrued monthly, charged quarterly
- Trade confirmation paper surcharge (in addition to the \$3.00 confirmation charge).... \$1.00/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 ≥ \$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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