

AE Financial Services, LLC will bill the customer directly for the following services	AEFS Fee	Frequency
Full Transfer of Accounts Delivery (ACAT Exit Fee)	\$100.00	Per event
Wire Fee	\$15.00	Per event
Legal Transfer	\$300.00	Per event
Transfer & Ship (DRS Eligible)	\$30.00	Per event
Transfer & Ship (Non-DRS Eligible)	\$1,000.00	Per event
Trade & Margin Extension	\$24.00	Per event
Mailgrams	\$10.00	Per event
Physical Reorganization	\$300.00	Per event
Legal Return	\$150.00	Per event
Bounced Checks	\$30.00	Per event
Alternative Investments		
-Transfer / Re-registration	\$50.00	Per event
Annual Custody & Valuation ²		
-Registered Products	\$35.00	Per event
- Non-Registered Products	\$125.00	Per event
Stop Payments	\$30.00	Per event
Safekeeping (covers deposit, custody & withdrawal)	\$30.00	Per certificate per month
Annual Custody Fee ³	\$50.00	Per Account
Dividend Reinvestment ⁴	\$2.00	Per event
NFS Brokerage Access SM Asset Management Account without Debit Card	\$0.00	Per year
NFS Standard Brokerage Account – Cash Management Capable (ACH + Bill Pay)	\$0.00	Per year
- Add a debit card	\$10.00	
- Add a checkbook	\$10.00	
NFS Premier Access Cash Management Account with Visa Premier Rewards Debit Card	\$200.00	Per year

NFS IRA, Rollover IRA, Roth IRA, BDA IRA, SEP IRA, SIMPLE IRA prototypes (“Premiere Select IRA”):

Maintenance Fee ⁵	\$35.00 per account, per year
Liquidation Fee	\$125.00 per account

² The Annual Custody & Valuation fee is charged per CUSIP. Such Annual Custody & Valuation fees shall be capped at \$500 per Account per year.

³ The Annual Custody Fee is assessed on each account which holds a position, and for which there has been no trading activity during the prior calendar year. Fund PIPs/SWPs, Exchanges, NTFs as well as equity dividend reinvestments and margin interest are considered trading activity. Fee will be charged in January following the calendar year of no activity.

⁴ The pricing for Dividend Reinvestment events will not be effective until the capability is made generally available to clients.

⁵ In the event that the customer does not pay the Maintenance Fee by the last Friday in January following the year of the fee cycle, these charges will be passed directly to the registered representative. The Maintenance Fee referenced above shall be charged directly to the following accounts:

- All open accounts with greater than \$0.01 market value
- All closed accounts in excess of \$35.00 market value.