

Brokerage Account Fees

Investment Account	WAIVED
UGMA/UTMA	WAIVED
Educations Savings Account	WAIVED
Advantage AMA Account	WAIVED
FCC Custodial IRA	WAIVED

Cashiering Fees

NSF Fee	\$10 per item
Rejection of Physical Certificate Presented for Deposit	\$50
Safekeeping	\$150 per position annually

Margin Rates

		Rates
Less than \$25,000	FCC Base Rate Plus	5.875%
\$25,000 - \$49,999	FCC Base Rate Plus	4.750%
\$50,000 - \$99,999	FCC Base Rate Plus	4.625%
\$100,000 - \$249,999	FCC Base Rate Plus	3.000%
\$250,000 - \$499,999	FCC Base Rate Plus	2.875%
\$500,000 - \$999,999	FCC Base Rate Plus	2.750%
\$1,000,000 - 4,999,999	FCC Base Rate Plus	2.250%
\$5,000,000 - 9,999,999	FCC Base Rate Plus	1.750%
Over \$10,000,000	FCC Base Rate Plus	1.500%

FCC Base Rate (As of March 19, 2020)	3.25%
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Other Fees

Account Transfers Outgoing	\$150
IRA Termination Fee	\$150
Overnight Express Mail	\$15
PrePay Margin Fees for Early Withdrawals	\$15 or margin interest, whichever is greater
Advantage Accounts	
Check Orders - Individual (shipping and tax not included in the price)	
Initial Order - Standard Wallet (40 checks)	Free
Initial Order - Duplicate (100 checks)	\$20
Re-orders - Standard Wallet (100 checks)	\$9
Re-orders - Standard Duplicate (100 checks)	\$20
Check Orders -Corporate (shipping and tax not included in the price)	
Initial Order - Three-on-a page (252 checks, with cover)	\$151.09
Re-orders - Three-on-a-page (252 checks without cover)	\$105.92
Check Copies (3 free per month)	\$15 each additional
Check Research	\$5 each
Insufficient Funds	\$20.00
Stop Payment Order (check or ACH transation)	\$25.00
Debit Cards	
Additional Card	\$15 each
Fast Card Fee (Overnight delivery charged per card)	\$20
Wire Transfers	\$25
Direct Registration Reject Fee (DRS)	\$75 per item
DTC Deliveries	WAIVED
Confirm Postage and Handling	\$6.99
Extensions	WAIVED
Qualified Retirement Plans	
Set-up Fee	\$125 per account
Annual Maintenance Fee - Simple document	\$75 per account
Annual Maintenance Fee - Flex document	\$125 per account
Amendments (Client Generated)	\$50 per amendment
Direct Participation Programs	
Qualified direct investments positioned within a FCC IRA account	\$100 per position annually

Fees are subject to change at the discretion of Hennion and Walsh, Inc. and Wells Fargo First Clearing due to a variety of circumstances including but not limited to regulatory requirements, economic conditions or other reasons.