



Commission Schedule

Stocks/Equities, Rights, Warrants, Secondary Market Closed-End Funds (CEFs), Exchange Traded Products (ETPs), and Options – The schedule below details the maximum commission charged to you and received by us for trades of stocks/equities, rights, warrants, secondary market closed-end funds (CEFs), exchange traded products (ETPs) and options transactions. Detailed information concerning your specific commission charge will be provided in your trade confirmation, which we will send you at or prior to completion of your transaction.

Principal or Options Premium Band	% of Principal
\$1 - \$4,999.99	3.90%
\$5,000 - \$9,999.99	2.90%
\$10,000 - \$49,999.99	2.15%
\$50,000 - \$99,999.99	1.50%
\$100,000 - \$249,999.99	1.20%
\$250,000 - \$499,999.99	1.00%
\$500,000 - \$999,999.99	0.85%
\$1,000,000 +	0.70%

- Minimum is \$50
- Schedule for share price < \$1: 19% of principal value, not to exceed \$75.00 or 5%, whichever is greater.
- Schedule price is the maximum