

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%

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 (80 checks)	\$20
Re-orders - Standard Wallet (80 checks)	\$9
Re-orders - Standard Duplicate (80 checks)	\$20
Check Orders -Corporate (shipping and tax not included in the price)	
Initial Order - Three-on-a page (252 checks, with cover)	\$201.73
Re-orders - Three-on-a-page (252 checks without cover)	\$135.31
Check Copies (3 free per month)- Advantage Accounts	\$15 each additional
Check Research- Advantage Accounts	\$5 each
Insufficient Funds	\$10.00
Stop Payment Order (check or ACH transaction)- Advantage Accounts	\$15.00
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. In addition to these fees, please note that other fees may apply. If you have any questions regarding the applicability of these fees, please contact your financial professional.