

Apex RIA Miscellaneous Services Pricing Term Sheet

Pricing Current as of September 7, 2018

Price levels are current as of the date of delivery of this document to you, the Correspondent. All fees are subject to change without notice. Miscellaneous Services fees are amounts due to Apex and do not count towards any minimum charges you may owe to Apex.

I. Execution Services

Domestic Equities and Options must execute through the Apex MNGD Route at no charge. Standard execution rates apply for all non-MNGD orders.

Phone orders and worked orders via Apex Trading Desk (\$15 minimum per order):

Equity worked orders via Apex Trading Desk – electronic or voice	\$0.005 per share
Options worked orders via Apex Trading Desk – electronic or voice	\$0.50 per contract

II. Advisor Charged Miscellaneous Services

Advisor Requested Document Copies	\$5.00 each
Return Mail	\$2.00 per piece
Paper Statement Insert	\$0.25 per mailed pg/acct/month
Paper Prospectus Mailing	\$2.50 per mailing
Overnight Mail – Domestic	\$50.00 per request
Overnight Mail – International (including Canada)	\$100.00 per request
ACH Authentication	\$1.00 per inquiry
Customer Verification	\$1.00 per inquiry
Paper Tax Statements	\$5.00 per statement
Tax Form 5498	\$5.00 per delivery
Manual Account Opening Fee (non-API)	\$15.00 per account

III. Customer Charged Miscellaneous Services

Customer Charged Miscellaneous Services are fees that are due to Apex from your customer. If there are insufficient assets in a customer account to pay for the service performed, then Advisor will be charged for the service.

A. Retirement:

IRA Closing Fee	\$60 per account
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B. Banking:

Outgoing Wire Transfers (Domestic Bank)	\$25.00 per wire
Outgoing Wire Transfers (Foreign Bank)	\$50.00 per wire
Paper Check Draft (USD) Domestic	\$5.00 per check
Paper Check Draft (USD) International	\$10.00 per check
Returned Checks / ACH / Wires and Recalls (Including amendments/repairs)	\$30.00 per item
ACH Notice of Correction	\$5.00 per notice
Stop Payments on Apex Issued Checks	\$30.00 each
Check Copies	\$15.00 each
Third Party Distribution Notification	\$2.00 per notification

C. Operations:

Electronically Delivered Documents	
Confirms	No Charge
Statements	No Charge
Tax Statements	No Charge
Postage and Handling (Paper Only)	
Confirms	\$2.00 per confirm
Statements (monthly and quarterly)	\$5.00 per statement
Outgoing ACAT Transfers	\$75.00 per account
Incoming ACAT Transfers	No Charge
Limited Partnerships/Private Placements (IRAs only)	\$250.00 per investment