



LIMITED SERVICE COMMISSION SCHEDULE
Effective June 15, 2020

Stocks

Table with 2 columns: Gross Transaction and Commission Rate. Rows include First \$3,809.52 (\$40.00), Next \$1,190.48 (1.05%), Next \$5,000 (0.58%), Next \$10,000 (0.22%), Next \$10,000 (0.16%), Next \$70,000 (0.15%), and Over \$100,000 (0.14%).

Options

Table with 2 columns: Gross Transaction and Commission Rate. Rows include \$0 to \$7,500 (1.70%), \$7,501 to \$15,000 (1.40%), and \$15,001 and Over (1.00%).

Plus \$3.00 per option on trades of two or more
Maximum charge is \$75.00 per option or 5% of gross amount, whichever is less.

Bonds

Bond mark ups and mark downs are dependent on a number of factors, including bond rating, the number of years until maturity and the size of the order. The below rates summarize the range we would charge for a bond of a given bond rating. The AAA scale will be used for US Government and Agency bonds.

Table with 2 columns: Quality and Mark Up/Mark Down. Rows include AAA Bonds (1.00% - 2.25%), AA Bonds (1.00% - 2.50%), A - BBB Bonds (1.25% - 3.00%), and Below Investment Grade (1.25% - 3.50%).

These general guidelines are intended to cover the vast majority of all trading and exceptions are subject to individual trade review. Minimum firm ticket charge is set at \$40 per trade. Cross trades, while viewed as separate transactions, shall not exceed 125% of the individual suggested markup when combined (subject to de minimus exception).

\*All transactions subject to an overriding \$40.00 minimum. A charge of \$5.00, in addition to any commission charge, will be added to all confirmations to cover the cost of handling. This commission schedule is subject to change without notice.

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