



Garden State Securities, Inc.

MEMBER FINRA, SIPC

**FEE SCHEDULE - (As of July 1, 2019)**

Description	Client Fee	Frequency
<b>Reorg / Dividends / Transfers</b>		
ACAT / Non-ACAT (full or partial) Transfer Out *Plus free delivery Charge for each position	\$125.00	Per account
Free Deliveries DTC	\$30.00	Per security
Mandatory Reorg Corporate Actions	\$0.00	Per account
Voluntary Tender / Exchange Offer / Bond Puts	\$35.00	Per election
Axos Clearing-Assisted Dividend Postings (Asset not held at Axos Clearing)	\$15.00	Per item
Cash Dividend Outgoing Check	\$10.00	Per check
<b>Check Processing</b>		
Stop Payments	\$25.00	Per stop
Returned Checks	\$40.00	Per check
Photocopies of Checks	\$5.00	Per check
Prepayment of Unsettled Funds	\$30.00	Per item, plus interest
Check Writing Stop Pays	\$25.00	Per check
Returned ACH Items	\$25.00	Per return
<b>Qualified Plan Accounts (IRA, 401(k), SEP, etc.)</b>		
IRA Annual Custodial Fee	\$40.00	Per plan
Transfers (including transfer of ROTH to/from Traditional IRA)	\$125.00	Per transfer
Termination Fee	\$50.00	Per return
<b>DWAC</b>		
DWAC Charge	\$75.00	Per item
DWAC Reject Charges	\$0.00	At cost
<b>Alternative Investments</b>		
Alternative Investment Reconciliation	\$100.00	Per year (charged quarterly)
Re-registration of Stock or Alternative Investment	\$50.00	Per re-registration, plus cost
<b>Transfer on Death (TOD) Registration</b>		
TOD Application Fee	\$60.00	Per account set-up
TOD Change / Revocation	\$60.00	Per account change
TOD Distributions	\$200.00	Per distribution
<b>Securities Processing</b>		
Long Positions (sub-penny, book entry)	\$0.006	Per 10,000 shares, monthly
Clearance or Transfer of Restricted Stock	\$100.00	Per item, plus cost
<b>Physical Security Processing</b>		
Certificate Request - DTC	\$1,000.00	Per certificate
Rush Withdrawal - DTC	\$150.00	Additional
Physical Settlements	\$100.00	Per settlement, plus cost
Rejected Deposits - DTC or Agent	\$185.00	Per certificate
NY Window / Physical Delivery	\$50.00	Per security
Transfer Agent Charges	\$0.00	As incurred, plus any mark-up
<b>Wire Transfers</b>		
Domestic	\$15.00	Per wire
International	\$75.00	Per wire
Research Requests / Service Messages	\$50.00	Per request
<b>Overnight Delivery (UPS)</b>		
Domestic	\$10.00	Per delivery
International	\$100.00	Per delivery (other fees may apply)
<b>Foreign Securities</b>		
ADR Fee	\$0.005	Per item, plus transaction cost
Transfer In / Out - Physical Certificate (Foreign)	\$150.00	Per certificate, plus cost
Physical Certificate Request	\$1,000.00	Per certificate, plus cost
Foreign Currency Conversions	\$50.00	Per conversion
Foreign Currency Transaction Postings	\$25.00	Per posting

Description	Client Fee	Frequency
<b>Other Fees</b>		
Worthless Security Processing	\$30.00	Per security
Manual Option Exercise Request	\$25.00	Per request
Cashless Stock Options	35.00	Per request, plus 1% of proceeds, plus cost
Trades Settled Same Day (Cash Trades)	\$20.00	Per trade
Bond Redemption / Conversion (Physical Only)	\$50.00	Per item, plus cost
Reg-T Extensions	\$25.00	Per extension
Vault Services	\$60.00	Per year
CCPA Check Writing and Platinum Card	\$60.00	Per year