

Schedule is applicable to all Brokerage Accounts, unless noted otherwise. There are two categories: Brokerage and Advisory. Within Advisory, fees will differ if account managed by the Investment Adviser Representative (IAR) or a Third Party Strategist.

For all Advisory Accounts using NFS brokerage accounts established on or after February 15, 2021, the transaction fees listed below will not be charged, and are included in an Advisory Fee shown on your Statement of Investment Selection. Service Fees, outlined below, will still apply.

### Transaction Fees

Brokerage			Advisory	
			IAR Managed	Third Party Strategist Managed
<b>Mutual Fund Purchases, Redemption and Exchange</b>		<b>PIP/SWP</b>		
Mutual Fund w/ Sales Load*	\$ 8.50	\$ 2.00	N/A	N/A
Mutual Fund No Sales Load	\$ 10.50	\$ 2.00	\$ 12.50	\$ 8.00
Mutual Fund w/ Surcharge**	\$ 20.50	\$ 2.00	\$ 22.50	\$ 18.00
Mutual Fund NTF Network	N/A	N/A	N/A	N/A

\*Only charged on Redemptions, not purchases.

\*\*Certain fund families are assessed a surcharge by NFS for transactions. A list of these fund families can be found on Wealthscape<sup>SM</sup> or can be obtained from your Financial Professional.

Brokerage			Advisory	
			IAR Managed	Third Party Strategist Managed
<b>Equity Trading</b>				
<b>Principal</b>	<b>Default/Minimum</b>	<b>Alternative</b>	<b>Equity Trading</b>	
First \$2,500 of principal	\$29.95, plus \$0.03 per share	1.4% of principal + \$50	\$17.00	\$8 Applicable to ETF's managed by BlackRock, Vanguard, 3D, Clark Capital, CLS, JA Forlines, Morningstar and PMC
\$2,501-\$9,999 of principal	\$29.95, plus \$0.03 per share	1.3% of principal + \$50		
\$10,000 - \$24,999 of principal	\$29.95, plus \$0.03 per share	1.2% of principal + \$50		
\$25,000 - \$49,999 of principal	\$29.95, plus \$0.03 per share	1.1% of principal + \$50		
\$50,000 - \$99,999 of principal	\$29.95, plus \$0.03 per share	0.90% of principal + \$50		
\$100,000 or more of principal	\$29.95, plus \$0.03 per share	0.75% of principal + \$50		

If security priced less than \$1.00, these fees do not apply. A charge of 3% of the principal is assessed.

<b>Option Trading</b>				
\$49.95 + \$2.25 per contract			N/A	N/A
Brokerage			Advisory	
			IAR Managed	Third Party Strategist Managed
<b>Fixed Income</b>				
For Fixed Income Brokerage Transaction Fees Consult the Bond Mark-Up Schedule			\$40.00	N/A

**Client Brokerage Transaction and Service Fee Schedule - Continued**

**Service Fees**

<b>Annual Account Service Fees</b>		<b>Stock/Certificate/Re-Registration</b>	
Custodial Fee (IRA accounts)	\$40	Certificate Safekeeping	\$15/mo
Custodial Fee (HSA accounts)	\$40	Trade and Margin Extensions	\$15
Inactivity Fee Non IRA	\$35	Transfer & Ship (DRS Eligible)	\$50
Registered Alternative Investments Custody	\$35	Transfer & Ship (non-DRS)	\$500
Non-registered Alternative Investments Custody	\$125	Legal Return	\$75
<b>Cashiering Fees</b>		Legal Transfer	\$150
Insufficient Funds	\$25	Physical Reorganization	\$150
Overnight Mailing Fee	\$15	Restricted Stock Transactions	\$160
Stop / Reissue Check	\$25	Rereg / Transfer Alt Investment	\$50
Wire Fee	\$15	<b>Select Access Annual</b>	
<b>Miscellaneous Fees</b>		ACH/Direct Deposit and Bill Pay	\$10
IRA Termination	\$125	Check Writing	\$5
Non-qualified ACAT Out	\$35	Visa Debit Card	\$5
Duplicate Statement & Confirms	\$3.50	<b>Premiere Access Annual</b>	\$100
Interested Party Mailing	\$5.00		
QTLY Paper Statement Account Fee	\$5.00		
Service and Handling Fee / Per Trade	\$3.50		

**Client Brokerage Transaction and Service Fee Schedule - Continued**

**Bond Mark-Up Schedule**

Defines maximum value Registered Representative is allowed to enter on an order ticket. All grid cells specified in dollars per bond (\$/bond) and represent maximum markup. Expressed in dollars per \$1000 (1M) face (i.e. Purchase of \$50,000 of a 15 year corporate or muni, maximum allowable mark up is \$875. This is calculated by multiplying the 50 bonds by \$17.50).

**Overriding minimum per bond trade is \$40.00.**

		Maturity						
QUANTITY	Corporate & Muni	< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs	
	1 to 99		5	10	17.5	17.5	20	
	100 TO 249		3.75	7.5	15	15	20	
	250 TO 499		2.5	7.5	10	12.5	20	
	500 OR MORE		2.5	5	7.5	10	20	
	GSE	< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs	
	1 to 99		3.75	5	10	15	15	
	100 TO 249		1.25	2.5	7.5	15	15	
	250 TO 499		1.25	2.5	6.25	15	15	
	500 OR MORE		1.25	1.25	5	10	15	
	Treasury	< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs	
	1 to 99		3.75	5	10	15	15	
	100 TO 249		1.25	2.5	7.5	15	15	
	250 TO 499		1.25	2.5	6.25	15	15	
	500 OR MORE		1.25	1.25	5	10	15	
	MBS (includes CMOs, Pass Thrus, Asset Backed Securities, and TIPS)							
			< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs
	1 to 99			5	10	17.5	17.5	20
	100 TO 249			3.75	7.5	15	15	20
	250 TO 499			2.5	7.5	10	12.5	20
	500 OR MORE			2.5	5	7.5	10	20
	CD	< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs	
				2.5	3.75	5	6.25	7.5
	Non-Treasury Zeros	< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs	
	1 to 99			5	8.5	13.13	8.75	8
	100 TO 249			3.75	6.38	11.25	7.5	8
	250 TO 499			2.5	6.38	7.5	6.25	8
	500 OR MORE			2.5	4.25	5.63	5	8
	Treasury Strips	< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs	
	1 to 99			3.75	4.25	7.5	7.5	6
	100 TO 249			1.25	2.13	5.63	7.5	6
	250 TO 499			1.25	2.13	4.69	7.5	6
500 OR MORE			1.25	1.06	3.75	5	6	
* < 1 Year								
Month		1	2	3	4	5	12 - Jun	
% of Principal		0.015625	0.046875	0.0625	0.0875	0.125	0.125	