Triad Advisors
Member of Advisor Group

2022 CLIENT BROKERAGE FEE SCHEDULE

A COMPREHENSIVE GUIDE TO FEES CHARGED TO YOUR NFS ACCOUNT.

RETIREMENT ACCOUNT FEES

Traditional IRA, Roth IRA, SEP IRA, Educational Savings Accounts	$35.00/yr.
Profit Sharing, Individual K and Money Purchase Prototypes “Premier Select Retirement Plans”	$35.00/yr.
Manual Distribution Fee	$20.00/event
Account Termination	$125.00/account
IRS 990-T UBTI Tax Filing	$75.00/event

CASH MANAGEMENT FEES ASSESSED TO CLIENT ACCOUNTS

Select Access with Visa Debit Card	$50.00/yr.[1]
Premier Access with Visa Debit	$125.00/yr.[1]
Check Copy	$5.00/monthly
Overnight Check	$25.00/request
Returned Check Fee	$25.00/occurrence[1]
Stop Payment Fee	$25.00/occurrence[1]
Wire Transfer (Fed Funds)	$15.00/wire

ACCOUNT SERVICE FEES

Annual Custody Fee—Retail Accounts	$50.00/yr.[1]
Cost Basis Tracking	No charge
Alternative Investment - Purchase/Redemption/Transfer/Re-registration	$50.00
Alternative Investment—Registered Products	$35.00/CUSIP/yr. (Max/yr. $500.00/account)
Alternative Investment—Unregistered Products	$125.00/ CUSIP/yr. (Max/yr. $500.00/account)
Alternative Investment—Document Review Fee	$100.00/request

MARGIN ACCOUNTS (RATES AS OF 11/20)[2]

AVERAGE DEBIT BALANCE	INTEREST RATE
$0.00 to $24,999	NFBLR + 3.00%[1]
$25,000 to $49,999	NFBLR + 2.50%[1]
$50,000 to $99,999	NFBLR + 2.00%[1]
$100,000 to $499,999	NFBLR + 1.50%[1]
$500,000 and above	NFBLR + 1.00%[1]

1 Triad Advisors adds an additional amount (“markup”) on fees imposed by NFS.
2 Contact your financial professional for current rates.

TRANSACTIONAL CHARGES

Outgoing Account Transfer Fee (Non-Retirement)	$150.00/transaction[1]
Margin/Regulation T Extension	$12.00
Physical Reorganization	$40.00/CUSIP[1]
Legal Transfer	$90.00
DRS (Direct Registration System) Transfer	$15.00/transaction[1]
Accommodation Transfer/Transfer and Ship Certificate	$220.00/transaction[1]
Transaction Fee (Regulatory Fee assessed on proceeds from most equity and option sells transactions)	$22.10 per million as of 2/18/20
Options Regulatory Fee	$0.03570/transaction as of 8/1/2020 per contract
Statement Reprint Fee	$5.00/statement[2]
Confirmation Reprint Fee	$2.00 each[2]
Trade Confirms	$1.50[4]
Foreign Stock (Non-ADR)	$90.00/transaction[1]
Unauthorized Short Sale	$200.00/transaction
Precious Metals	$70.00/transaction[1]
Restricted Stock Return to Client	$60.00/certificate
Restricted Stock (Rule 144) Processing	$150.00/transaction
Restricted Stock Sale prior to approval	$200.00/transaction
Employee Stock Option Processing Fee	$35.00/transaction[2]
Safekeeping Fee	$5.00/certificate/month
Mutual Fund Prospectus Delivery	$1.50[5]

TRADING FEES - INVESTMENT ADVISORY (UNWRAPPED PROGRAMS ONLY)[3]

Equity	$7.00
Mutual Fund	$7.00
Mutual Fund Prospectus Delivery	$1.50[5]
Surcharge Mutual Funds	$10.00 additional
Alternative Investment – Registered Daily NAV REITs	$50.00
Fixed Income	$7.00
UIT	$7.00
Options	$7.00
Trade Confirms	$1.50[4]
Minimum Advisory Fee	$35.00[5]

TRADING FEES - INVESTMENT ADVISORY (WRAPPED PROGRAMS ONLY)[3]

Mutual Fund Prospectus Delivery	$1.50[5]
Surcharge Mutual Funds	$10.00
Trade Confirms	$1.50[4]
Minimum Advisory Fee	$50.00[5]

TRADING FEES—BROKERAGE

Please contact your financial professional or refer to your trade confirmation for information regarding commissions or transaction fees.

1 Triad Advisors adds an additional amount ("markup") on fees imposed by NFS.
2 A fee assessed by Triad Advisors and not NFS.
3 For No Transaction Fee funds, all trading fees to client are $0.
4 Fee does not apply to electronic delivery or quarter confirm summaries.
5 Fee applicable to the financial professional quarterly.

Specific client programs may have fees that vary. In these instances, please consult the client/account agreement for pricing schedule. All fees are assessed against cash or cash sweep in the account. If funds are not available to cover fees or activity-related debits, holdings sufficient to cover any outstanding debit may be liquidated by Triad Advisors. Fees are subject to change and are depicted on a per account basis and are not prorated when an account is closed prior to its anniversary date. Not all fees may be shown or are applicable to all account types. Please speak with your financial professional for additional details.