

# Cape Securities, Inc.

## Fee Schedule

<b>Fee Description</b>	<b>Amount</b>
Annual Inactivity Fee (for accounts that generate no commission in a year's time)	\$50.00
Custody Fee	\$25.00
Full Transfer Fee (full TOA delivery fee)	\$100.00
Trade Extension Fee	\$20.00
Bounced Check Fee (on payments for trades)	\$30.00
Legal Transfer Fee	\$90.00
DRS Registrations/SHIP DRS Statement	\$25.00
Transfer & Ship Certificate Non-DRS Eligible	\$220.00
DWAC Fee	\$75.00
Vision Check Stop Payment Fee	\$25.00
Physical Reorg Fee	\$40.00
Legal Return Fee	\$60.00
Brokerage Access w/checks (no debit card)	\$0.00
Vision Check Writing NSF Fee	\$25.00
Brokerage Access w/ Debit Card (Annually)	\$60.00
IRA Annual Fee (Roth, Traditional IRA, Rollover, SEP, SIMPLE, Keogh)	\$45.00
Termination of qualified accounts	\$50.00
Termination of Profit Sharing & Money Purchase	\$250.00
Wire transfer fee	\$20.00
Accommodation Transfer fee (Alternatives/DTC fund delivery/Non-ACAT)	\$75.00
Safekeeping (Physical Custody of Non-street named certificates) (Monthly)	\$50.00/Cusip

*\*Margin fees & charges disclosed in Margin Account Agreement*

**PPM Safekeeping fee** \$100.00

*\*Annual Custody & Valuation fees shall be capped at \$500 per account per year*

### **Miscellaneous Fees per Transaction**

Equity	\$45.00
Options (fee listed is per trade; add \$1.50 per contract)	\$45.00
Listed Corporate, OTC Corporate, Government Securities, CMOs, CDs, UITs, Mortgage Backed Securities, Zero Coupon Bonds	\$40.00
Municipal Bonds	\$0.00
Load/No-Load Mutual Fund Buys & Sales	\$38.50
Periodic Investment Plan(PIP)/Systematic Withdrawal Plan(SWP) transactions	\$4.00

- Miscellaneous fee is additional fixed commission.