



Fee Schedule

Cape Securities, Inc.
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Cape Securities, Inc.

Custody and Administration

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| Annual IRA Fee (ROTH, Traditional IRA, Rollover, SEP, SIMPLE, Keogh) | \$45.00 |
| Annual Custody Fee (for non-Qualified Accounts) | \$25.00 |
| Annual Holding and Reporting (Inactivity) Fee | \$50.00 |
| Annual Safekeeping (Physical Custody of Non-Street Named Certificates) | \$50/CUSIP |
| Private Placement Memorandum (PPM) Safekeeping | \$100.00 |
| Voluntary corporate action instruction (physical reorg) Fee | \$50/instruction |
| Termination of Qualified Accounts | \$75.00 |

Account Transfer

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| Account Transfer Fee (ACAT) | \$150.00 |
| Account Transfer Fee (Non-ACAT) | \$150.00 |
| Deposit/Withdrawal at Custodian (DWAC) | \$75.00 |
| DRS (Direct Registration System) Deposit/Withdrawal | \$50.00 |
| Accommodation Fee | \$35.00 |
| Legal Transfer Fee | \$90.00 |

Money Movement

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| Wire Transfer | \$35.00 |
| Regular Next Day Delivery Fee | \$35.00 |
| Returned Check Fee (Payment of Trades) | \$35.00 |
| Vision Check Reorders | \$15.00 |
| Vision Check- Stop Payment | \$35.00 |
| Vision Check-Returned Check | \$25.00 |
| Vision Check Writing Termination | \$25.00 |
| Vision Platinum Debit Card (Annual) | \$60.00 |

Miscellaneous Fees per Transaction

Miscellaneous fee is additional fixed commission

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| Equity | \$45.00 |
| Foreign Equity Securities | \$50.00 |
| 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 |
| Load/No-Load Mutual Fund Buys & Sales | \$38.50 |
| Periodic Investment Plan (PIP)/Systematic Withdrawal Plan (SWP) transactions | \$4.00 |

- For additional fees, see the Hilltop Correspondent Customer Clearing Brochure Schedule A. When different, the higher fee is applicable.
- Securities may be liquidated without notice to cover account debits.
- Margin interest rate is subject to change, based on prevailing market rates. Quotes are available daily.
- Annual custody and valuation fees shall be capped at \$500 per account.
- Cape Securities, Inc. fee schedule available at www.capesecurities.com