



**GWN Securities, Inc.**  
**Member FINRA/SIPC**

Schedule of Service Fees	Fee	Type
Bookkeeping Chare	\$4.50	per trade
Foreign Settlement Charge	\$75.00	initial & \$5.00 quarterly thereafter
Foreign Security Custody	\$2.00	per account position & month
Holding Security in Safekeeping	\$2.00	per account position & month
Inactive Account Custody Fee	\$25.00	per account annual fee
Legal Transfer Fee	\$25.00	per transfer
MF Load Purchase @ NAV	\$14.00	per fund
Mandatory Reorganization	\$5.00	per event
Mutual Fund Redemption	\$14.00	per fund
No Load Mutual Fund Purchase	\$14.00	per fund
No Activity Fee	\$17.00	to \$25.00 per account
Outgoing Transfer Fee	\$65.00	per transfer
Overnight Check	\$12.00	per overnight (Airborne)
Reregister Legal Transfer Fee	\$20.00	per transfer
Resource Checking Stop Payment	\$10.00	per event
Return Checks & Rights Subscription	\$20.00	per event
Stock and Bond Conversion	\$20.00	per event
Trade Extensions	\$10.00	per event
Transfer & Ship Security Fee	\$10.00	per transfer
Voluntary Reorganization (Tender)	\$20.00	per event
Wired Funds to clients bank	\$20.00	per wire transfer

Retirement Schedule Service Fee	Fee	Type
Annual Maintenance Fee (rear)	\$43.50	(IRA, 5305-SEP, Roth IRA)
Annual Maintenance Fee (front)	\$50.00	(403b), Proto-SEP, Simple, QRP
Distribution and Repayment Fee	\$50.00	(QRP, 403b)
Limited Partnership Approval Fee	\$100.00	per approval
Limited Partnership Processing	\$100.00	(Subscription or Redemption)
Roth IRA Conversion	\$25.00	per conversion
Set Up Fees (IRA, SEP)	\$0.00	no charge
Special Products processing	\$35.00	(in addition to Maintenance fee)
Termination Fee	\$95.00	(All Retirement Accounts)



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<b>Brokerage Account Trading Fees</b>		
<b>Stock &amp; ETF Commission Schedule General Discount Price</b>		
Bookkeeping Charge	\$4.50	per trade
Dollar Range Per Trade	Commission Rates	
\$0 - \$2,500	\$26.00	Plus 1.6% of principal
\$2,501 - \$6,000	\$51.00	Plus .6% of principal
\$6,001 - \$22,000	\$69.00	Plus .3% or principal
\$22,001 - \$50,000	\$91.00	Plus .2% of principal
\$50,000 - \$500,000	\$141.00	Plus .1% of principal
\$500,000 - over	\$241.00	Plus .08% of principal

<b>Brokerage Account Trading Fees</b>		
<b>Stock &amp; ETF Commission Schedule</b>	<b>Fee</b>	<b>Type</b>
<b>Maximum - Full Service Rate</b>		
Bookkeeping Charge	\$4.50	per trade
Dollar Range Per Trade	Commission Rates	
\$0 - \$2,500	\$26.00	Plus 1.6% of principal
\$2,501 - \$6,000	\$51.00	Plus 1.4% of principal
\$6,001 - \$22,000	\$69.00	Plus 1.2% or principal
\$22,001 - \$50,000	\$91.00	Plus 1.0% of principal
\$50,000 - \$500,000	\$141.00	Plus .8% of principal
\$500,000 - over	\$241.00	Plus .3% of principal

<b>Absolute Minimum Charge</b>	<b>Type</b>
Listed Market Order Zero to 2099 shares	\$19.00 per ticket
Listed Marekt oder greater than 2099 shares	\$19.00 plus 0.02 per share
Listed Limited Order	\$19.00 per ticket plus 0.02 per share
OTC Equities	\$19.00 per ticket

**Absolute Maximum Commission**

**For the first 100 shares is \$35 plus \$0.50 per share. A representative may choose a commission between the Absolute Minimum and the Absolute Maximum (whichever is less), but may not be lower than the Absolute Minimum.**

<b>Bond Commission Schedule</b>	<b>Fee</b>	<b>Type</b>
Bookkeeping Charge	4.50	per trade
<b>Corporate, Zero-Coupon Bond General Obligation &amp; Revenue</b>	5.00	per 1000 face value or 1% of principal amount, whichever is less, depending on the amount of bonds.
<b>Treasury Bills, Treasury Notes and Treasury Bonds</b>	\$1.25 to \$2.50	per 1,000 face value, depending on the amount of bonds.



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<b>Commission Schedule for Options</b>	<b>Fee</b>	<b>Type</b>
<b>Options with Premium of \$0.50 or less:</b>		
<b>Overriding Minimum \$19 per trade plus \$1.00 per contract</b>		
<b>Contract</b>	<b>Commission</b>	<b>% of Principal</b>
0 - 49	\$1.80 per	Plus 1.5% of principal
50 - 149	\$1.10 per	Plus 1.8% of principal
150 - 499	\$0.75 per	Plus 2.0% of principal
500 - 1,490	\$0.80 per	Plus 2.0% of principal
1,500 - over	\$0.60 per	Plus 1.5% of principal
<b>Options with Premium greater than \$0.50:</b>		
Bookkeeping Charge	\$4.50	per trade
<b>Dollar Range Per Trade</b>	<b>Commission Rates</b>	
\$0 - \$2,499	\$29.00	Plus 1.6% of principal
\$2,500 - \$9,999	\$49.00	Plus 0.8% of principal
\$10,000 - over	\$90.00	Plus 0.8% or principal

**The following are Services and Products available through Pershing:**

- \* **Dividend Reinvestment** - Increasing your portfolio by reinvesting dividends or capital gains from equities or closed-end funds to purchase additional whole and fractional shares of the same security.
- \* **Employer-Sponsored Retirement Plans** - A range of retirement products including SEP, SARSEP and Simple plans, in addition to qualified plans such as Profit Sharing, Money Purchase and 401(k)
- \* **Resource Checking<sup>SM</sup>** - A Checking service that enables you to access the assets in your brokerage account, including cash and all money fund shares. Margin account holders can even take advantage of low-cost borrowing privileges.
- \* **Corestone Checking** - Gold or Platinum - combines all brokerage, check writing, money market fund, and MasterCard debit card activity into a cohesive package, displayed on a monthly-consolidated statement.