

Optionality Securities, LLC Fee Schedule

Optionality Securities AUM Fees

Highest Total Daily Balance	Tiered Monthly Account Fee
\$0 to \$10,000	\$0
\$10,000.01 – \$25,000	\$10
\$25,000.01 – \$50,000	\$40
\$50,000.01 – \$100,000	\$90
\$100,000 +	\$140

² Optionality **Account Fee** will be charged monthly based on the Asset Tier as shown above. The Tier is based on the highest total daily balance across all accounts for a user during the month preceding the bill date.

Banking & Operational Fees

Banking	
ACH Transfers (Domestic)	\$0
Debit Card Transfers (Domestic Bank)	0.25%
Incoming Wire Transfers (Domestic Bank)	\$0
Outgoing Wire Transfers (Domestic Bank)	\$25 per wire
Incoming Wire Transfers (Foreign Bank)	\$14 per wire
Outgoing Wire Transfers (Foreign Bank)	\$45 per wire
Paper Check Draft (USD) Domestic	\$5 per check
Paper Check Draft (USD) International	\$10 per check
Returned Checks / ACH / Wires and Recalls	\$30 per item
ACH Notice of Correction	\$5 per notice
Stop Payments on Apex Issued Checks	\$30 each
Check Copies	\$25 each
Third Party Distribution Notification	\$2 per notification
Overnight Mail – Domestic	\$100 per request
Overnight Mail – International	\$100 per request
Operations	
Electronic Statements and Confirms	\$0
Paper Confirms	\$2 per confirm
Paper Statements	\$5 per statement
DTC Delivery	\$25 per security
Foreign Free Receives / Delivers	\$35 per transaction
TOD Account Transfer	\$200 per transfer
Dividend Check	\$5 per item
Incoming ACAT Transfers	\$0

Outgoing ACAT Transfers	\$100 per account
Outgoing Non-ACAT Transfers	\$75 per account
IRA Termination Fee	\$100 per account

