



HARBOUR INVESTMENTS, INC. FEE SCHEDULE

<u>Clearing Charges*</u>		<u>Customer Charges*</u>	
Asset Based Pricing (Blended Scale)	\$0 to \$250,000 .24 bps \$250,001 to \$500,000 .23 bps \$500,001 to \$700,000 .19 bps \$700,000 to \$1,000,000 .18 bps Above \$1,000,000 .16 bps	Overnight Check (Saturday delivery \$18)	\$12
\$75,000 Account Minimum Balance		Margin Extension	\$10
\$175 Minimum Advisory Fee		Returned checks/ACH	\$25
		Stop Payment on Pershing Issued Check	\$10
Listed & OTC Equities	\$8.50 Flat ticket charge	Fed Wire Funds	\$20
		Inactivity Fee	\$0
Options equity/index	\$1.00 per contract	Dividend Reinvestment Fee	\$10
Option Assignment	\$25 in addition to regular charges	Register & Ship Cert Fee	\$40
Alternative Investment	\$50	Legal & GNMA Transfer	\$0
		Voluntary Reorg Charges	\$0
<u>Mutual Funds*</u>		Mandatory Reorg Charges	\$5/month/position
Load/No-Load Purchase	\$12	Customer Name Safekeeping	\$5/month/position
Load/No-Load Redemption	\$12	Domestic/Foreign Security Safekeeping	\$50-\$75
Fund-Vest Purchase / Redemption	\$0**	Foreign Security Clearing (in addition to standard charges)	\$35/item/year
Mutual Fund Exchanges	\$15	Private Placement/ LPs	\$50/item
Mutual Fund DCA	\$0*	Subscription/Redemption Fee	\$100
		Account Transfer Out	\$0
Fixed Income	\$20 per ticket	DK items	\$0
UIT's	\$35 per ticket	Busted Trade	\$0
		Cost Basis	\$0
		Online Performance Package (must have Cost Basis turned on)	
		Performance Package with Quarterly Performance Reports	
		-Basic Package	\$75/account/year
		-Full Package	\$125/account/year
		Registered Alternative Investment	\$35
		Unregistered Alternative Investment	\$125
		1099 Tax and Year End Statements (must enroll for all clients or none)	\$2/account
		<u>Retirement Plans Fee*</u>	
		Traditional and Roth IRA Annual Fee	\$0
		Mutual Fund Only IRA/Roth IRA	\$0
		Qualified Plan Annual Fee	\$50
		Termination Fee on all IRA's	\$100
		Mutual Fund Only to Standard IRA conversion	\$50
		<u>Corestone*</u>	
		Corestone Silver	\$0
		Corestone Silver Plus	\$0
		Corestone Gold	\$0
		Corestone Platinum Corporate Gold Corporate Platinum	\$150 yr/fee***
		Corporate Gold	\$150 yr/fee***
		Corporate Platinum	\$250 yr/fee***

*These charges represent the standard costs. Harbour reserves the right to

** FundVest charge for redemption prior to holding 3 months - \$50.00

*** See attached surcharge list of funds for companies that charge \$25 per ticket.

Short Interest/Debits are charged to the client account.

As of 05/08/2018

***Refer to Corestone Fee Schedule for a complete listing of fees