

Vision Charges and Related Fees

IRA Fees	
Annual Custodial Fee	\$45
Client distribution via check	\$8
Client distribution via wire	\$35
Client distribution via ACH	\$5
Federal or state withholding	\$5
IRA Transfer Fee/ Termination	\$75
Treasury	
Stop Payment	\$50
Bounced Check	\$50
Copy of Checks	\$10
Domestic Wire	\$40
International Wire	\$90
Returned Wire	\$20
Outgoing ACH	\$5
Returned ACH	\$10
Overnight Delivery	\$35
International Delivery	At cost
Miscellaneous Fees/Charges	
Email Confirmation and Statements	FREE
Paper Statements	\$2 per month per account
Paper Statements - International Address	\$5 per month per account
Paper Confirmations	\$2 per confirmation
Paper Confirmations - International Address	\$4 per confirmation
Duplicate Paper Confirmations or Statements	\$2 per item
Prospectus Delivery (paper)	\$2
Prospectus Delivery (paper) - International Address	\$4
Prospectus Delivery (electronic)	Free
Blue Sheets	\$20
Account Escheatment	\$300
Initial review of OTCBB and PinkSheet investments (including, but not limited to Securities, Warrants, Preferred, and Notes)	\$1,500
Subsequent follow on of initially approved deposits above	\$500
Rush Fee	\$500
Additional fee if purchased not from issuer (Per link in the chain of custody)	\$500
NMS Listed Deposits	\$500
Review Fee, Transferred by ACATS (Deposits) OTCBB/Pink Sheets*	\$250
Review Fee, Transferred by ACATS Deposits Listed	\$125
Private Placements Due Diligence Fee	up to 3%
Medallion Guarantee	\$250
Additional Outside Attorney Review	Case by case basis
Designated Account Review Fee	\$100
Document Production Fee	\$250
Settlement and Safekeeping Charges	
DTC Delivery Transfer	\$20 per position
DTC Delivery Transfer - Bonds	\$75 per position
ACAT (outbound)	\$90
Partial ACAT (outbound)	\$25
Fail to Receive/Deliver	\$25.00 where resolved by DTC processing a frozen letter movement.
CNS Fail Charges	Interest of Broker Call plus 6% annually, for the period of CNS Fail charges, generally from trade to settlement date. The interest charge will be the higher of the interest amount or \$25.00 per CUSIP that incurs the charge.
Volatility and Illiquid High Volume/Low Price Charges	Interest of Broker Call plus 6% annually, for the period of NSCC volatility charges, generally from trade to settlement date. The interest charge will be the higher of the interest amount or \$25.00 per CUSIP that incurs the charge
Continuous Net Settlement (CNS) Fail/ CNS Buy Ins	\$10.00 per day per item
Reorg Fees	
ADR Fees	As passed by the ADR agent bank. Generally (\$0.01 - \$0.03) per share
Voluntary Corporate Action	\$65 per event
Mandatory Corporate Action	\$40 per event
Bond Maturity/ Redemption	\$20 per event
Stock Mandatory Redemption (position exited out of DTC)	\$40
Manual Option Exercise	\$5 per exercise request
Worthless/Delisted or Non- Transferable Securities Written off	\$5 per write off
Account Inactivity Fee	\$15 quarterly
DWAC Fee	\$300 plus transfer agent fees
Trading	
As of Trades	Charged at applicable clearing rate
Unauthorized Short Sales	\$200 per event
ORF Fee (Option Only Fee)	AT COST
SEC Fee	AT COST
TAF Fee	AT COST
OCC Clearing Fee	AT COST
Government & Agencies Bonds	\$25 per trade
Custody Fees - International	\$0.001 per share
Mutual Fund Networking Fee	\$5 per trade
Options Exchange Fees - Index Options Only	\$ 0.5 per contract
Exercise and Assignment Fee	\$5 per trade
Trading Fee:	\$20

This list of fees does not include commissions or any other trade related fees as those fees are disclosed on each trade confirmation. J.H. Darbie may participate in certain fees. Fees may change at any time as permitted by applicable regulations and the terms of the clearing charges between J.H. Darbie and the clearing firm.

* Incoming ACATS previously purchased in the open market will not require a review fee.

** The Trading Fee is an additional commission to JH Darbie & Co, Inc. Other regulatory or exchange fees may also apply.