

# SCHEDULE OF MISCELLANEOUS ACCOUNT AND SERVICE FEES

Effective April 27<sup>th</sup>, 2021



The listed fees do not include commissions, markups, commission equivalents or advisory fees. Some of these fees may not apply to all account types. Some of these fees may be waived under certain conditions.

ACCOUNT OR SERVICE	FEE AMOUNT	FREQUENCY / NOTES
<b>Account Maintenance</b>		
Investment Account	\$65.00	Annual if does not meet the waiver criteria <sup>1</sup>
UGMA Account	\$45.00	Annual if does not meet the waiver criteria <sup>1</sup>
Advantage AMA Account	\$125.00	Annual if does not meet the waiver criteria <sup>1</sup>
FCC Custodian IRA	\$50.00	Annual if does not meet the waiver criteria <sup>1</sup>
Postage & Handling	Free	
Overnight Mail / Postage	\$15.00	Per request
Automated Customer Account Termination (ACAT) and Transfer (Outgoing)	\$95.00	Per account
Individual Retirement Account (IRA) Termination	\$95.00	Per account
<b>Cash Management Services</b>		
<b>Standard Wallet Checks</b>		
Initial Order (40)	Free	Account Opening
Reorder (100 per box)	\$9.00	Per request
Standard Duplicate Checks (100)	\$20.00	Per request
<b>Corporate Checks, three per page (252)</b>		
Initial Order (with cover)	\$151.09	Per request
Reorder (without cover)	\$105.92	Per request
Additional Debit Card	\$15.00	Per request
Overnight Delivery of Debit Card	\$20.00	Per request
Return of Deposited Check	\$10.00	Per returned check
Stop Payment of Client-Issued Advantage Check	\$25.00	Per stop payment request
Insufficient Funds	\$20.00	Per returned check
Automated Transfer (ACH)	Free	
Domestic or Foreign Wire	\$25.00	Per wire

<sup>1</sup> Account Fees will be waived if one of the following criteria is met:

- 1) One or more accounts that contain assets totaling \$500,000 or more as of June 30. This include all personal brokerage accounts householded by brokerage firm.
- 2) Any Investment Account, IRA, or Advantage Account with mutual fund positions of \$100,000 or more. (Money market funds, closed-end funds, and exchange-traded funds do not count toward this exemption.)
- 3) Investment Accounts that have completed at least six trades during the period July 1 of the previous year and the end of June in the current year.
- 4) Managed accounts that pay a fee in lieu of commission (normal quarterly asset management fees will continue to apply).
- 5) Delivery versus Payment accounts.
- 6) Investment Accounts opened on or after January 1 of the current year.
- 7) Individual participant's account that are part of a Qualified Retirement Plan (QRP), excluding IRA accounts.
- 8) 529 Education Savings Plan accounts.
- 9) Annuity only accounts.

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<b>Investment Specific</b>		
<b>Physical Certificate Issuance Fees</b>		
Standard Delivery	At Cost	Per certificate
Rush Delivery	At Cost	Per certificate + Transfer agent fees applies
Re-register Physical Certificate	\$125.00	Per certificate
GNMA Certificate Issuance	\$35.00	Per certificate
Foreign Security Certificate Issuance	\$500.00	Per certificate
<b>Physical Securities Safekeeping Fees</b>		
Initial Presentment	\$500.00	One-time fee per position
Annual Fee	\$150.00	Per Position
Bond Redemption	Free	
No-Load Mutual Fund Trade (non-advisory only)	\$25.00	Per Trade
Replacing Securities Lost by Client	\$100.00	Additional transfer bonding fee applies
Prepayment Fees on Trades	Prime + 50bps	Minimum \$15.00
Direct Participation Program	\$100.00	Per position
Direct Registration Reject Fee	\$75.00	Per rejection
Physical Certificate Reject Fee	\$50.00	Per item
<b>Reorganization Activity</b>		
Non Physical	Free	
Instructions Received After Expiration	\$100.00	Per item
Qualified Retirement Plans	At Cost	Per request

Fees are subject to change without notice. Please call us to verify the fee amounts listed above.

## Brokerage & Insurance

Amuni offers a wide variety of brokerage and insurance options that may fit your investment needs. We charge commissions on most brokerage and insurance transactions. Contact your Amuni representative to get the commission and trade processing fees for any transaction you are considering.

## Managed Accounts

We offer a wide range of advisory account solutions to optimize how your wealth is managed. In an advisory relationship, you pay quarterly investment management fees based on a percentage of billable assets rather than paying transaction-based commissions and trade processing fees. Costs vary based on your preferences and needs. Your Amuni representative can help you determine whether a managed account is appropriate for your investment needs. Current ADV available upon request.

## Margin Account

A margin Account lets you pledge the securities in your account as collateral. You can borrow up to 50% of the value of your marginable assets. Be aware that carrying securities on margin does carry risk. Your Amuni representative can give you current variable interest rates and help you determine whether borrowing on margin is right for you.



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