

Commission & Fee Schedule

ViewTrade Securities, Inc. DBA Gatsby

Commissions & Trading Fees:

US Listed & OTC Securities	\$0 per trade
Broker-assisted trades	\$0 per trade
LQT Fee	\$.05 per contract

Regulatory Trading Fees:

SEC	\$0.00207 per \$100 of principal traded (on sells only). Rounded to the nearest penny
Finra TAF Fee (Options)	\$0.002 per contract for each sale of an option
Finra TAF Fee (Equities)	\$0.000119 per share for each sale of a covered equity security, with a maximum charge of \$5.95 per trade. Rounded to the nearest penny
Options Regulatory Fee (ORF Fee)	\$0.04 per contract

Banking Charges:

Outgoing Wire Transfers (Domestic Banks)	\$25.00 per wire
Outgoing Wire Transfers (Foreign Bank)	\$45.00 per wire
Incoming Wire Transfers (Domestic Bank)	\$8.00 per wire
Incoming Wire Transfers (Foreign Bank)	\$14.00 per wire
Paper Check Draft (USD) Domestic	\$5.00 per check
Paper Check Draft (USD) International	\$10.00 per check
Returned Checks / ACH / Wires and Recalls (Including amendments/repairs)	\$30.00 per item
ACH Notice of Correction	\$5.00 per notice
Stop Payments on Apex Issued Checks	\$30.00 each
Check Copies	\$15.00 each
Third Party Distribution Notification	\$2.00 per notification
Prepayment	\$20.00 if amount is less than \$10,000. If the amount is over \$10,000, 0.2% of unsettled amount.
Overnight Mail – Domestic	\$50.00 per request
Overnight Mail – International (including Canada)	\$100.00 per request

Operational Charges:

Confirms: Postage and Handling (Paper Only)	\$2.00 per confirm
Statements (monthly and quarterly): Postage and Handling (Paper Only)	\$5.00 per statement
	Requested data that cannot be retrieved from the SFTP site or Postedge data: \$150.00/hour fee (2 hour minimum) for statements from August 2012 and newer. Available via SFTP for 60 days.
Historical statements	For statements prior to August 2012, Apex will request a Statement of Work (SOW). The costs associated with such SOW will be passed to Correspondent.
Outgoing ACAT Transfers	\$75.00 per account
DTC Delivery	\$25.00 per security
Foreign Free Receives/Delivers	\$35.00 per transaction
TOD Account Transfer Fee	\$200.00 per transfer
Limited Partnerships/Private Placements (IRAs only)	\$250.00 per investment
401K Annual Maintenance	\$250.00 per account
Margin Sell out Fee	\$25.00 per ticket
Mailgrams / NYSE Extensions	\$25.00 per item
Short Forced Buy-In Fee	\$25.00 per ticket
Employee Stock Option Plan (ESOP)	\$100.00 per transaction
Cashless Stock Option Plan	\$300.00 per transaction plus any ancillary costs
990-T Return, Preparation, and Filing	\$150.00 per return
Standard Legal Transfers	\$150.00 per security
Restricted Transfers	\$465.00 per security
144 Sales	Inquire for Quote
Accommodation Transfers (T&S)	\$235.00 per security
DRS Transaction	\$115.00 per security
Rush Transfer and Ship	\$350.00 per security
DWAC	\$100.00 per event
DWAC/DRS Reject	\$125.00 per security
Physical Trade Settlement	\$300.00 per security

Physicals - Deposit: Domestic	\$300.00 per security
Physicals - Deposit: Foreign	\$350.00 per security
Physicals - Foreign Accommodation Transfer	\$350.00 per security
Foreign Security Transfers Fee	\$50.00 per security
Non-transferable stocks	\$10.00 per month each
Safekeeping: Monthly	\$5.00 per account per cusip
Safekeeping: Deliver to AOR	\$60.00 per withdrawal
Safekeeping – Limited Partnerships/Private Placements	\$25.00 each per month
Lost Certificate Replacement	3% of Certificate Value (\$250.00 minimum)
Electronic to Physical Certificate Conversion	\$900.00 per security

Reorganizational Charges:

Dividend Check	\$5.00 per item
Domestic Voluntary / Post Actionable Reorgs	\$50.00 per CUSIP per Account
International Voluntary / Post Actionable Reorgs	\$100.00 per CUSIP per Account
Death Put	\$100.00 per request
Reorg Physical Processing Fee	\$125.00 plus Transfer Agent Fee
Reorg Wire Fee (Domestic)	\$25.00 each
Reorg Wire Fee (International)	\$50.00 each

Retirement Charges:

Annual Maintenance	\$30.00 per account
Termination Fee	\$60.00 per event

Disclaimers:

- Additional wire charges and fees may be charged by originating and receiving banks.
- Reversed wires may be subject to additional charges.
- Third party processing and service fees may be passed through to the customer's account.
- For items not specifically listed here, additional charges may apply. It is the clients responsibility to inquire as to any additional charges for items not listed on this fee schedule.