

## MISCELLANEOUS FEES

**Non-Direct Registration (DRS) eligible**..... \$220.00

**Restricted Stock Clearance (per CUSIP)**..... \$150.00

**Safekeeping Restricted Securities  
(per certificate)**..... \$15.00/month

**Trade & Margin Extensions**..... \$12.00  
*Charged when cash or securities are not available to settle by extension date and a trade extension is filed.*

**Physical Reorganization** ..... \$150.00  
*Charged when a certificate is deposited into a client's account after the mandatory reorganization action date has passed.*

**Legal Transfers**..... \$150.00  
*Charged when a transfer requiring legal documentation is completed.*

**Legal Returns**..... \$75.00  
*Charged when certificates are returned to a client due to a "not in good Order" status that is in effect for more than 45 days.*

**Outgoing Transfers**  
Account Transfer via ACAT ..... \$95.00  
*(plus any additional applicable transfer agent fees)*  
Returned Check Fee..... \$15.00  
Outgoing Check Fee..... \$5.00  
Outgoing Wire Fee ..... \$35.00

**Pass-Through Fee** – *Pass-through fees may apply to some additional fee items. Please call your Financial Advisor for more information.*

**Prime-Broker** – *Additional fees may apply. Please contact your advisor.*

For fixed income securities, customer service and broker assisted trades, please call (800) 280-1464.

3.NF-CNS-FS-1219

# Commission & Transaction Fee Schedule

January 1, 2020

### NON-DEPOSIT INVESTMENT PRODUCTS...

- are not FDIC insured
- are not Bank guaranteed
- may lose value

**CITY NATIONAL SECURITIES**   
The Broker/Dealer Subsidiary of City National Bank

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## EQUITY COMMISSIONS\*

### Online Brokerage

1 - 5,000 shares.....\$19.95  
over 5,000 shares..... \$19.95 + 1¢ per share\*\*

Low Priced Securities - Equities that are less than \$1.00 per share will be charged the lower of the online brokerage rates, or 5% of principal with a \$19.95 minimum.

### City National Securities Broker Assisted

\$35.00 + 2.5¢ per share\*\*

Low Priced Securities - Equities that are less than \$1.00 per share will be charged the lower of the broker assisted rates, or 5% of principal with a \$35.00 minimum.

\* *These commissions and fees apply to securities including, but not limited to listed and over-the-counter stocks, warrants, and exchange traded funds (ETFs).*

\*\* *¢ per share applies to entire order.*

## LISTED PREFERRED AND HYBRID SECURITIES

Rep advised listed preferred and hybrid securities will be charged a maximum 2% of principal with a \$75 minimum.

## MUTUAL FUND TRANSACTION FEES

### Online Brokerage

No Transaction Fee Funds\*\*\* ..... No Charge  
All Other Funds\*\*\*\* ..... \$15.00 per trade

### City National Securities Broker Assisted

All Funds ..... \$35.00 per trade

### Automatic Investment (\$100 minimum)

All Funds ..... \$5.00 per trade

\*\*\* *Limited to 25 "buy" transactions per calendar month. Additional "buy" transactions will be charged \$15 per transaction.*

\*\*\*\* *Additional \$10 processing fee may occur on certain fund families. Please contact your broker.*

## FIXED INCOME TRANSACTIONS

For principal transactions: CNS applies a mark-up or mark-down that is embedded in the execution price. Mark-ups and mark-downs typically range from .001% to 3%. Mark-ups and mark-downs vary and are determined based on a variety of factors, including the principal amount of the transaction, the price of the security, the liquidity/availability of the security, and the security's maturity.

## OPTION COMMISSIONS

### Online Brokerage

\$19.95 + \$1.50 per contract

### City National Securities Broker Assisted

\$35.00 + \$2.00 per contract

### Exercises and Assignments

Trades will be charged Broker Assisted Equity Commissions.

Good Till Canceled (GTC) orders that take longer than one trading day to fully execute a trade will be charged a separate commission based on the appropriate schedule (online or broker assisted) each day a trade is executed to complete the entire order.

## MISCELLANEOUS FEES

International Equities Settlement/Clearance	\$75.00
International Fixed Income Settlement/Clearance	\$50.00

### Recordkeeping

Annual Fee..... \$75.00  
*Account is charged if no trades are placed in the account during the year. Fee is waived if account has a balance of more than \$10,000 in a City National Rochdale Money Market Fund or the CNS Bank Deposit Sweep on June 30 of each year.*

### Individual Retirement Account (IRA)

Annual Maintenance..... \$35.00  
Termination Fee..... \$125.00

### Alternative Investments

*Includes, but not limited to, Limited Partnership (non-exchange), Non-Traded REITs, and Private Equity/Debt investments.*

Review..... \$100 per issue  
Annual Administration

Registered Alternative  
Investment Products\*\*\*\*\*..... \$35 per position

Non-Registered Alternative  
Investment Products ..... \$125 per position

Establishment ..... \$50 per issue

### Transfer & Ship Stock Certificate

*Send Original Certificate to Client*..... \$15.00

### Transfer & Ship DRS

(Direct Registration System) eligible..... \$15.00  
*Charged when a client requests issuance of their stock through DRS system.*

\*\*\*\*\**Products registered under the Securities Act of 1933.*