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)
Retained 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.

NON-DEPOSIT INVESTMENT PRODUCTS...
- are not FDIC insured
- are not Bank guaranteed
- may lose value

January 1, 2020

Commission & Transaction Fee Schedule

City National Securities
The Broker/Dealer Subsidiary of City National Bank

Securities offered through City National Securities (Member FINRA/SIPC) 1443.13
ID 66523 (Rev 12/2019) 3.NF-CNS-FS-1219
**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**

<table>
<thead>
<tr>
<th>Service</th>
<th>Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>International Equities Settlement/Clearance</td>
<td>$75.00</td>
</tr>
<tr>
<td>International Fixed Income Settlement/Clearance</td>
<td>$50.00</td>
</tr>
</tbody>
</table>

**Recordkeeping**

<table>
<thead>
<tr>
<th>Service</th>
<th>Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Fee</td>
<td>$75.00</td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>Service</th>
<th>Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual Retirement Account (IRA)</td>
<td>$35.00</td>
</tr>
<tr>
<td>Termination Fee</td>
<td>$125.00</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Service</th>
<th>Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review</td>
<td>$100 per issue</td>
</tr>
<tr>
<td>Annual Administration</td>
<td>$100 per issue</td>
</tr>
<tr>
<td>Registered Alternative Investment Products****</td>
<td>$35 per position</td>
</tr>
<tr>
<td>Non-Registered Alternative Investment Products</td>
<td>$125 per position</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Service</th>
<th>Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establishment</td>
<td>$50 per issue</td>
</tr>
</tbody>
</table>

**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.