Commission & Transaction Fee Schedule

August 1, 2021
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, ETF AND HYBRID SECURITIES
Rep advised listed preferred, ETF 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>
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**Recordkeeping**

<table>
<thead>
<tr>
<th>Fee</th>
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<tbody>
<tr>
<td>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. $75.00</td>
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**Individual Retirement Account (IRA)**

<table>
<thead>
<tr>
<th>Fee</th>
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<tbody>
<tr>
<td>Annual Maintenance                                                  $35.00</td>
</tr>
<tr>
<td>Termination Fee                                                     $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>Fee</th>
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<tbody>
<tr>
<td>Review                                                             $100 per issue</td>
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<table>
<thead>
<tr>
<th>Fee</th>
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</thead>
<tbody>
<tr>
<td>Annual Administration</td>
</tr>
<tr>
<td>Registered Alternative Investment Products                         $35 per position</td>
</tr>
<tr>
<td>Non-Registered Alternative Investment Products                     $125 per position</td>
</tr>
<tr>
<td>Establishment                                                       $50 per issue</td>
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</tbody>
</table>

**Transfer & Ship Stock Certificate**

<table>
<thead>
<tr>
<th>Fee</th>
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</thead>
<tbody>
<tr>
<td>Send Original Certificate to Client                                 $15.00</td>
</tr>
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</table>

**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.
MISCELLANEOUS FEES

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

Restricted Stock Clearance (per CUSIP) ................................ $250.00

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.

DTC Deliveries ................................................................ $40.00

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 - $40.00 per trade. 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