

## General Securities Commission Schedule Commission Based Account

### Equities

<u>Principal \$ Amount of Trade</u>	<u>Maximum Commission</u>
\$0 – 2,499	\$0 + 4.50%
\$ 2,500 – 4,999	\$10 + 4.00%
\$ 5,000 – 9,999	\$20 + 3.25%
\$ 10,000 – 24,999	\$60 + 2.50%
\$ 25,000 – 49,999	\$90 + 1.75%
\$ 50,000 – 99,999	\$120 + 1.50%
\$100,000 +	\$180 + .95%

\* Minimum commission on any equity trade is \$30.00

### Options

<u>Principal \$ Amount of Trade</u>	<u>Maximum Commission</u>
\$0 – 2,499	\$ 40 + 2.5%
\$ 2,500 – 4,999	\$ 70 + 2.1%
\$ 5,000 – 9,999	\$100 + 1.7%
\$ 10,000 – 19,999	\$120 + 1.2%
\$ 20,000 – 29,999	\$150 + 1.1%
\$ 30,000 +	\$300 + 0.9%

\* Minimum commission on any option trade is \$30.00

### Fixed Income

<u>Trade Type</u>	<u>Maximum Commission</u>
Primary Issue Bond Purchase	Set by Issuer
Secondary Issue Bond Purchase	Lesser of Principal x Maturity(# of years) x 1/2% OR Principal x 2.5%
Bond Liquidation	Lesser of Principal x Maturity(# of years) x 1/2% OR Principal x 2.5%
CD Purchase	Set by Issuer
CD Liquidation	Lesser of Principal x Maturity(# of years) x 1/2% OR Principal x 2.5%
UIT Purchase	Set by Issuer
UIT Liquidation	\$0.00

\*Minimum commission on any fixed income trade which is not set by the issuer is \$40.00

### Mutual Funds

<u>Trade Type</u>	<u>Maximum Commission</u>
Loaded Fund Purchase	Set by Fund Family
No-Load Fund Purchase	3% of Principal \$ Amount of Trade
NAV Purchase	\$12.95 (ticket charge)
Mutual Fund Liquidations	\$12.95 (ticket charge)
Mutual Fund Exchange	\$0.00

**Service Fee Charge** \$3.50

Applicable to all trades except Mutual Fund and UIT liquidations

\*\*Figures are subject to change without advance notice to client\*\*