

Pricing

Axos Invest Managed Portfolios Management Fee	
Annual Basic Portfolio Management Fee	0.24%
Trading Fees	Free
Rebalancing Fees	Free
Transfers	
ACAT and Non-ACAT Transfer Out	\$75 per account
Free Deliveries DTC	\$25 per security
Reorg/Dividends/ACAT	
Mandatory Reorg Corp Actions	\$25
Voluntary tender/ Exchange Offer / Bond Put	\$35 per election
Axos Clearing Assisted Dividend Posting (Asset not held at Axos Clearing)	\$15 per item
Cash Dividend outgoing check	\$10 per check
Checks	
Stop Payments	\$25 per stop
Returned Checks	\$40 per check
Photocopies of Checks	\$5 per check
Prepayments of Unsettled Funds	\$30 plus interest
Check Writing Stop Pays	\$25
Returned ACH Items	\$25
Qualified Plan Accounts (IRA, 401(k), SEP, ROTH etc.)	
Transfers (including transfer of Roth to/from Traditional IRA)	\$75 per transfer
Annual Custodial Fee	\$40 per plan
Termination Fee	\$50 per plan
Alternative Investments	
Alternative Investment Reconciliation Fee	\$100 per year (charged quarterly)
Re-registration of Alternative Investments	\$50 plus cost
Safekeeping/Reconciliation/Vault Fee	\$60 per year (charged quarterly)
Restricted Stock	
Clearance of Transfer of Restricted Stock	\$100 plus out of pocket costs
Physical Security Processing	
Certificate Request DTC	\$1,000 per certificate
Rush Withdrawal DTC	\$150 additional
Physical Settlements	\$100 plus cost
Rejected Deposits DTC or Agent	\$185 per certificate
NY Window / Physical Delivery	\$50 per security

Transfer Agent Charges	As incurred by the clearing broker passed through to the client.
Wire Transfers	
Domestic	\$30 per wire
International	\$75 per wire
Wire Research Requests/ Service Messages	\$50 per request
Overnight Delivery	
Domestic	\$40
International	\$100 additional fees may apply
Foreign Securities	
ADR Fee	.005 plus cost per transaction
Transfer-In and Out/ Physical Certificate	\$150 plus cost
Foreign Currency Conversions	\$50 per conversion
Foreign Currency Transaction Posting	\$25
Physical Certificate Request	\$1000 Plus Cost
Axos Clearing Cash Plus Account (ACPA)	
ACPA Check Writing and Platinum Card	\$60 per year
Other Fees	
Worthless Security Processing	\$30 per security
Tender/Exchange Offer/ Bond Puts	\$35
DWAC Charge	\$75
Reject Charges	At cost
Manual Options Exercise Request	\$25 per request
TOD Distribution of Assets Away from Axos Clearing	\$200
Bond Redemption/Conversion	\$50 plus cost
Reg-T Extension	\$25

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