

## **Equities**

### Principal

\$0 - \$4,999 = \$7.82 for the first 10 round lots and \$5.62 for the remaining round lots

\$5,000 and above = \$8.07 for the first 10 round lots and \$5.75 for the remaining round lots

### **Plus:**

#### Odd Lot Principal

\$0 - \$99 = 11.7603% of odd lot principal	+	\$	3.02
\$100 - \$799 = 3.0083% of odd lot principal	+	\$	11.42
\$800 - \$2,499 = 1.8876% of odd lot principal	+	\$	19.83
\$2,500 - \$4,999 = 1.3884% of odd lot principal	+	\$	32.16
\$5,000 – and above = 1.423% of odd lot principal	+	\$	32.91

**Increase the calculated commission by 7%**

**Then add \$1.50 from the calculated commission**

**Then subtract the following from the calculated commission:**

#### Quantity

0 - 99 \$ 3.50

100 - Price is \$1 and above subtract \$3.5

101 - \$ 3.50

#### Minimum

\$ 40.00

#### Maximum

\$ 100 per lot

(\*\*\*NOTE: Equity trades can be discounted pursuant to arrangements made between the firm's registered representatives and clients.)

## Options

### Contracts

	<u>Principal</u>			
0 – 1 =	\$0 - \$99.99 = 6.6144% of principal	+	\$	4.17
	\$100 - \$2,499.99 = 1.534% of principal	+	\$	16.12
	\$2,500 - \$4,455.99 = 1.0616% of principal	+	\$	27.92
	\$4,456 and above =		\$	87.50

	<u>Price</u>	<u>Principal</u>	
2 – 10 =	Less than \$1	= \$0 - \$4,999.99 = 6.6144% of principal + \$2.20/contract + \$1.97	
		\$5,000 and above = 6.3% of principal + \$2.10/contract + \$1.97	

	<u>Price</u>	<u>Principal</u>	
\$1 and above =	\$0 - \$2,499.99	= 1.534% of principal + \$16.12 + \$7.08 for the first 10 contracts	
	\$2,500 - \$4,999.99	= 1.0616% of principal + \$27.92 = \$7.08 for the first 10 contracts	
	\$5,000 - \$19,999.99	= 1.0119% of principal + \$26.69 = \$6.74 for the first 10 contracts	
	\$20,000 and above =	.6739% of principal + \$94.14 = \$6.74 for the first 10 contracts	

### Increase the commission by:

<u>Principal</u>
\$0 - \$4,999.99 = 10.60%
\$5,000 and above = 15.15%

### Then decrease the commission by:

\$2.00

### Minimum

\$ 40.00

### Maximum

\$83.20 per contract

(\*\*\*NOTE: Option trades can be discounted pursuant to arrangements made between the firm's registered representatives and clients.)

## **Bonds**

### **Commission**

#### Quantity

#### Security type

#### Price

First 5 bonds = \$10 per bond + 4% anything other than Treasury X if the price is less than \$50, multiply by 0.5

Next 6 – 10 bonds = \$7.50 per bond + 4% anything other than Treasury X if the price is less than \$50, multiply it by 0.5

Next 11 and over = \$5 per bond + 4% anything other than Treasury X if the price is less than \$50, multiply it by 0.5

### **Minimum**

\$40

(\*\*\*NOTE: Bond trades can be discounted pursuant to arrangements made between the firm's registered representatives and the clients. Sales credits on the firm's bond trades typically range from 50-basis points to 150-basis points.)