

GARDEN STATE SECURITIES, INC.
GARDEN STATE INVESTMENT ADVISORY SERVICES, LLC
MISCELLANEOUS CHARGES

as of June 9, 2023

Description	Client Fee	Frequency
Reorg / Dividends / Transfers		
ACAT / Non-ACAT (full or partial) Transfer Out	\$125.00	Per account
Free Deliveries DTC	\$30.00	Per security
Voluntary Tender / Exchange Offer / Bond Puts	\$35.00	Per election
Axos Assisted Dividend Postings (Asset not held at Axos)	\$15.00	Per item
Cash Dividend Outgoing Check	\$10.00	Per check
Check Processing/Wires		
Stop Payments	\$25.00	Per stop
Returned Checks	\$40.00	Per check
Photocopies of Checks	\$5.00	Per check
Prepayment of Unsettled Funds	\$30.00	Per item, plus interest
Check Writing Stop Pays	\$25.00	Per check
Returned ACH Items	\$25.00	Per return
Wires - Domestic / International	\$15 / \$75	Per wire
Research Requests / Service Messages	\$50.00	Per request
Qualified Plan Accounts (IRA, 401(k), SEP, etc.)		
IRA Annual Custodial Fee	\$40.00	Per plan
Transfers (including transfer of ROTH to/from Traditional IRA)	\$125.00	Per transfer
Termination Fee	\$50.00	Per return
DWAC		
DWAC Charge	\$75.00	Per item
DWAC Reject Charges	\$0.00	At cost
Alternative Investments		
Alternative Investment Reconciliation	\$100.00	Per year (charged quarterly)
Re-registration of Stock or Alternative Investment	\$50.00	Per re-registration, plus cost
Transfer on Death (TOD) Registration		
TOD Application Fee	\$60.00	Per account set-up
TOD Change / Revocation	\$60.00	Per account change
TOD Distributions	\$200.00	Per distribution
Securities Processing		
Long Positions (sub-penny, book entry)	\$0.006	Per 10,000 shares, monthly
Clearance or Transfer of Restricted Stock	\$100.00	Per item, plus cost
Physical Security Processing		
Certificate Request - DTC	\$1,000.00	Per certificate
Rush Withdrawal - DTC	\$150.00	Additional
Physical Settlements	\$100.00	Per settlement, plus cost
Rejected Deposits - DTC or Agent	\$185.00	Per certificate
Physical Delivery	\$50.00	Per security
Transfer Agent Charges	\$0.00	As incurred, plus any mark-up
Foreign Securities		
ADR Fee	\$0.005	Per item, plus transaction cost
Transfer In / Out - Physical Certificate (Foreign)	\$150.00	Per certificate, plus cost
Physical Certificate Request	\$1,000.00	Per certificate, plus cost
Foreign Currency Conversions	\$50.00	Per conversion
Foreign Currency Transaction Postings	\$25.00	Per posting
Other Fees		
Overnight Delivery - Domestic / International	\$10 / \$100	Per delivery (Other international fees may apply)
Annual Account Fee	\$100.00	Per year
Handling Fee	\$44.95	Per transaction
Worthless Security Processing	\$30.00	Per security
Manual Option Exercise Request	\$25.00	Per request
Cashless Stock Options	\$35.00	Per request, plus 1% of proceeds, plus cost
Trades Settled Same Day (Cash Trades)	\$20.00	Per trade
Bond Redemption / Conversion (Physical Only)	\$50.00	Per item, plus cost
Reg-T Extensions	\$25.00	Per extension
Vault Services	\$60.00	Per year
CCPA Check Writing and Platinum Card	\$60.00	Per year