

Sanctuary Securities, Inc. Fee Schedule

Sanctuary Securities, Inc. is the broker dealer within Sanctuary Wealth. Sanctuary Securities, Inc. introduces transactions on a fully disclosed basis to our clearing firm, Pershing, LLC., a subsidiary of The Bank of New York Mellon.

Customer Rebillable Fees

Mutual Fund and SRS Exchanges (including confirmation fee)	\$ 5.00/exchange
Mutual Fund Surcharge (applicable to advisory and brokerage accounts) *	\$10.00
Applicable Transaction Fees	Pass through
<i>Sanctuary Securities will assess to Broker or Customer of Broker a charge that is based upon the fee as described in Section 31 of the Securities Exchange Act of 1934, as amended.</i>	
Bond Redemption Fee (assessed when bonds mature or are called)	\$0.00
Checking Fees – Stop Payment (non-Corestone Account™)	\$ 25.00/event
Checking Fees – Returned Checks (non-Corestone Account™)	\$ 25.00/event
Confirmation Fee – Retail Customer	\$ 0.00/confirmation
DK Items	
US	\$ 50.00/item
Non-US	\$ 50.00/item/day
File Transmission Protocol Maintenance Fee	\$100.00/month
Inactive Retail Account Fee	Waived
Inactive Mutual Fund Only Retail Account Fee	Waived
Margin and COD Extensions	\$ 35.00/event
Non-U.S. “Foreign” Account Fee	\$ 75.00/account/year
<i>All accounts with a tax residence other than in the U.S or Puerto Rico “Foreign” that maintain a position, balance or had a Form 1042-S reportable transaction during the calendar year shall be subject to this annual fee.</i>	
Paper Delivery Surcharge For Customer Statements and Confirms	\$2.00 per account, per month
Physical Private Placement-Settlement Fee	\$500.00/Trade
Precious Metals Storage Fee	50 bps of market value/annum
Precious Metals Delivery Fee	Pass through
Puerto Rico Tax Reporting Fee	\$ 50.00/account/year
<i>All accounts with a Puerto Rico tax residence where Puerto Rico tax reporting is required shall be subject to an annual Puerto Rico Tax Reporting Fee. In addition, any U.S. account that has a Puerto Rico tax reporting requirement (Form 480.6) shall be subject to an annual Puerto Rico Tax Reporting Fee.</i>	
Reorganization Items – Voluntary	\$ 15.00/event
Reorganization Items – Mandatory	\$ 15.00/event
Safekeeping Name US and Non-US Market Securities	\$2.00/account/position/month
<i>Additional custody fees may apply to non-US market securities</i>	

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Customer Rebillable Fees

Transfers

Account Transfers (ACAT)	\$100.00/transfer
Retirement Termination Fee	\$150.00/transfer
Direct Registration Eligible – from Pershing to Customer	\$ 10.00/transfer
Direct Registration Eligible – from Transfer Agent to Pershing	pass through from transfer agent
Certificate Cancellation/Re-Issue – from Transfer Agent to Pershing	pass through from transfer agent
Deposit and Withdrawal at Custodian (DWAC) Pass Through Fees	pass through from transfer agent
DTC Deposit	\$10.00/event
DTC Withdrawal	\$10.00/event
Pershing DWAC Processing Fee	\$10.00/instruction message
Legal, GNMA and Restricted Items	\$200.00/transfer
Non-US Market Transfers:	
Euroclear	\$ 15.00/item
All Other non-US Market Depositories	\$ 25.00/item
Outgoing Account Transfers	\$150.00/transfer
Register and Ship Physical Certificate to Customer	\$ 50.00/transfer
Wired Funds (outbound only)	\$ 25.00/wire transfer

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Lending Rates

Margin Rates

Debit Balance			Margin Rate		
\$0	-	\$24,999.99	Prime	+	4.7500%
\$25,000	-	\$49,999.99	Prime	+	4.2500%
\$50,000	-	\$99,999.99	Prime	+	3.3000%
\$100,000	-	\$249,999.99	Prime	+	3.2500%
\$250,000	-	\$499,999.99	Prime	+	3.0000%
\$500,000	-	\$999,999.99	Prime	+	1.5000%
\$1,000,000	-	\$2,499,999.99	Prime	+	1.1750%
\$2,500,000	+		Prime	+	0.9250%

Non-Purpose Lone Rates

Outstanding Balance			NPL Rate		
\$0	-	\$249,999.99	Prime	+	1.25%
\$250,000	-	\$499,999.99	Prime		
\$500,000	-	\$999,999.99	Prime	-	0.50%
\$1,000,000	-	\$2,499,999.99	Prime	-	1.00%
\$2,500,000	+		Prime	-	1.50%

High-Net-Worth Customer Support

Asset Management Accounts (Corestone Account™) and Account Payment Program

Other Checking and Debit Card Related Fees	
Personal Checks – Initial Order	Waived
Check Reorder (Silver/Gold/Platinum)	\$17.50/\$15.00/\$12.50
Carbon Copy Checks – Initial Order	\$20.00
Checks Reorder (Silver, Gold, and Platinum)	\$30.00
Business Checks – Initial Order	\$55.00
Checks Reorder (Corporate Gold and Platinum)	\$45.00
Returned Checks or ACH Debits	\$25.00
Stop Payments	\$0.00

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Cash Advance Fee (non-ATM)	0.25% of principal (\$2.50 minimum)
Overnight Delivery of Debit Cards	\$20.00
1099 Tax and Year-End Statement	\$2.00 annual fee
<i>The Tax and Year-End Statement is an enhanced, optional 1099 mailing for accounts enrolled in Tax-lot Service, including Corestone Gold and Platinum accounts. The statement combines the IRA form 1099 and a Schedule of Realized Gains and Losses. All Corestone Gold and Platinum accounts that are eligible to receive a 1099 are automatically enrolled for the Tax and Year-End Statement, and will receive this statement at no additional cost to the Broker.</i>	
Year-End Account Report	\$15.00/report plus postage and handling
<i>The Year-End Account Report provides brokerage account activity for the entire year and is a supplement to the monthly and quarterly statement offering.</i>	
Tax-Lot Services	Waived
<i>Tax-Lot Services provides for integrated tax-lot accounting. These services do not include Portfolio Performance Packages. The fee is billed at the opening of the account and annually thereafter. The fees are charged for the year or any part thereof.</i>	
Corporate Executive Services	\$50.00/exercise
<i>Corporate Executive Services can allow Broker to process the cashless exercise of employee stock options. Corporate Executive Services handles much of the administrative work directly with the employer. This fee may be absorbed, passed through, or marked up.</i>	

Alternative Investment Network

Alternative Investment Network Platform

Transaction Fee	\$25.00/position/event
<i>The fee applies to each alternative investment not participating in the No-Fee Alternative Investments Network*</i>	
Annual per Position Service Charge for Registered Alternative Investments	\$25.00
Annual per Position Service Charge for Unregistered Alternative Investments	\$75.00

As of May 2025