

# T.R. WINSTON & COMPANY

## Fee Schedule

Last amended: September 1, 2023  
Clearing through Pershing, LLC

Service charge per security transaction	\$ 3.00
Paper subscription fees:	
Trade confirmations and monthly statements	\$ 2.00
Tax Document	\$ 10.00
Checks:	
Per returned check or ACH debit	\$ 25.00
Per stop payment	\$ 25.00
Margin extension	\$ 15.00
Outgoing funds wire	\$ 25.00
Overnight courier fees:	
Domestic	\$ 12.00
Foreign	\$ 18.00
Saturday delivery	\$ 25.00
Inactivity fee (yearly):	
Mutual fund only accounts	\$ 12.00
All other accounts	\$ 25.00
Dividend reinvestment fee	\$ 1.00
Safekeeping fees (customer name) per position per month	\$ 11.00
Voluntary reorganizations	\$ 55.00
Mandatory reorganizations	\$ 10.00
Limited partnership processing fee	\$ 50.00
Legal transfer fee	\$ 145.00
Premium restricted processing fee	\$ 90.00
Mutual Fund surcharge for purchases and redemptions	\$ 10.00
Not all mutual funds and/or share classes are affected by this surcharge- please speak with your Reg. Rep	
Transfers:	
Outgoing account	\$ 75.00
Transfer and ship (per position)	\$ 70.00
DWAC (Withdrawal/Deposit) *Fees are set and assessed by the Transfer Agent*	
DWAC service fee *assessed by DTC in addition to the Transfer Agent fee listed above*	
\$5.00 per withdrawal transaction and \$3.00 per deposit transaction	
DRS (Outgoing)	\$ 20.00
DRS (Incoming) **Processing fee determined and assessed by Transfer Agent**	\$ 10.00 & up
Retirement account fees:	
Traditional IRA, Roth IRA, SEP IRA, Education savings account annual fee	\$ 43.50
Mutual fund only IRA and Roth IRA annual fee	\$ 12.00
Prototype SEP, SARSEP, Simple, QRP's, and 403(b)(7) custodial plans annual fee	\$ 50.00
Termination fee for all retirement accounts	\$ 95.00
Foreign receive and deliver fees:	
EuroClear	\$ 30.00
All other foreign securities	\$ 55.00
Non-US / Foreign Account Fee	\$ 50.00
Loan processing	\$ 50.00
All exchange, MSRB, option and OCC transaction fees and any other applicable regulatory fees	Actual fees charged to us
<b>Optional services:</b>	
Portfolio evaluation system (PES):	
Tax lot accounting	\$ 12.00
Performance reporting	\$ 9.00 & up
Special product fees:	
Registered alternative investment annual fee	\$ 35.00
Registered alternative investment transfer fee	\$ 35.00
Unregistered alternative investment annual fee	\$ 125.00
Unregistered alternative investment transfer fee	\$ 125.00
Other processing and review fees may apply, please inquire before proceeding	
Notification fees:	
Bond call	\$ 10.00
Good 'til cancelled	\$ 1.00
Precious metal storage fees	75.00bp
Cash management accounts - please inquire as many options exist	