



B #:	1426-14
Date:	July 24, 2014
To:	All Participants
Category:	Global Operations & Client Services - Asset Services
From:	James A. LaRusso
Attention:	Operations Managers
Subject:	Fee Schedule

DTCC Participant Fee Schedule

Effective as of January 1, 2014

Transfer Processing:

Certificated Transfers, per certificate	\$70.00
Restriction Removal, per certificate	\$75.00
Electronic FRAC or PDWC transfers (DWAC), per lot	\$70.00
Rush Transfer	\$100.00
Conversion from another class of securities, per position	\$100.00
DRS Movement, per lot	\$70.00
DRS Reversal, electronic to certificate, per lot	\$40.00
Transfer Correction	\$50.00

Cancellation of Certificates:

Per Certificate	\$5.00
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Reject Fees:

Per Batch or SCL, routine or non-routine	\$150.00
DWAC/DRS Profile reject, per lot	\$55.00
Reorganization/Exchange Reject, per SCL	\$150.00

Reconciliation of Inventory Records:

Per CUSIP	\$200.00
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Lost Certificate Replacement Fees:

Per Certificate	\$50.00
(Brokers are also required to purchase a Lost Instrument Bond)	

NSF/Returned Check/Draft/Declined Credit Card Fee:

Per Check, Draft, or credit card	\$50.00
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Delivery Fees:

Use of Pre-Paid label	no charge
Use of Participant's delivery service	no charge
Use of transfer agent's delivery service (domestic)	\$75.00
Use of transfer agent's delivery service (international) Depending on package weight	\$125.00

Fees are due upon delivery of presentment. For those fees that we invoice, * with a signed agreement in place*, our terms are net 30 days. For accounts more than 30 days past due, an additional fee of 1.5% (or the highest amount allowed by law, whichever is higher) will be charged to the outstanding balance.

If you have any questions concerning these fees, please do not hesitate to contact *Bryan Slater* at (602)-759-5507
WWW.FIRSTAMERICANSTOCK.COM

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