

Axos Advisor Services Standard Fee Schedule



For Clients of Registered Investment Advisors | As of October 2024

Please read this important information carefully.

Fee information in this *Axos Advisor Service Standard Fee Schedule* ("Fee Schedule") is applicable to Account(s) managed by an independent investment firm ("Advisor") and supersedes prior Fee Schedule you may have received. Axos Clearing LLC, operating through its Axos Advisor Services division ("AAS" or "Axos Clearing") reserves the right to change or waive fees at our discretion. Fee changes are subject to change upon 30 days' notice to you or your Advisor.

AAS provides a variety of services to both you and your Advisor, some of which have associated fees. This document provides an overview of the standard pricing for activities such as trading, special assets, administration, and money movement.

Your Advisor may have negotiated a discount to this standard fee schedule. You can obtain more information about the pricing for your specific account(s) by asking your Advisor. AAS reserves the right, but has no obligation, to negotiate pricing with your Advisor. The terms of pricing that apply to you can be based on the nature and scope of business that your Advisor does with AAS, as well as by the product mix and assets under custody. Fees may vary by client and/or by Advisor. AAS may provide your Advisor, at no fee or at a discounted fee, with software, technology, information, and other products and services that benefit the Advisor but that may not necessarily benefit client account(s). If you have any questions about the relationship between your Advisor and AAS, you should discuss them with your Advisor.

The fees in this Fee Schedule are applicable to all account types, unless otherwise stated. If applicable, fees may be charged against your account, a related account, directly to your Advisor, or a mix of both. Additional fees not stated here may apply for ancillary services, however, those fees will be disclosed at the time you or your Advisor request that service. Full-service retirement plan accounts have pricing that can differ from the pricing contained in this document.

The most recent standard pricing information is maintained at www.axosadvisorservices.com/feeschedule.

Asset Based Pricing

The fees ONLY apply to accounts subject to Asset Based Pricing.

Asset-based pricing is a fee that is priced based on the value of assets in your account.

AAS negotiates asset-based pricing with your Advisor. Fees are prorated based on the number of days in each quarter and charged in arrears based on the average daily account balance during the quarter. Asset based fees can apply to the entire account value or to only select investment products.

Transaction Based Pricing

The fees ONLY apply to accounts subject to Transaction Based Pricing.

Transaction-based pricing is a pricing model where fees are applied each time an investment product is traded.

AAS negotiates transaction-based pricing with your Advisor. Fees are assessed at the time of the trading activity. Typically, the fee applies to both purchases and the sale of an investment. Each investment product category may have a different rate.

Trading and Special Asset Fees

Applies to all account types unless otherwise stated.

Broker Assisted Trade	Mutual Funds, Stocks, ETFs, and Other Equities (Purchase or Redemption)	\$45
<p>The Broker Assisted trade fee applies when a trade is submitted to AAS by you or your Advisor outside of a digital channel offered by AAS and is assessed at the time of the trading activity. If AAS doesn't have the capability to receive the trade digitally, the Broker Assisted Trade fee does not apply.</p> <p>For clients who are subject to transaction-based trading fees, the higher of the transaction-based trading fee and this Broker Assisted Trade fee applicable to the trade will be assessed.</p>		
Mutual Fund Holdings	Clean Share Surcharge	\$10 per position, per quarter
<p>"Clean Shares" in mutual funds refers to a set of share classes that are free from certain fees and commissions. Clean shares are only available to your Advisor on an exception basis. AAS does not receive compensation from these funds for the administration, recordkeeping, and other administrative services provided in connection with making these funds available through the AAS platform.</p> <p>AAS computes the Clean Share Surcharge fees at the end of each quarter based on your holdings throughout the applicable quarter and assesses the fees in the month following the end of the applicable quarter.</p>		
Trading and Exchange Related Regulatory Fees	Regulatory Fees	As Incurred
<p>Trading and Exchange Related Regulatory Fees include fees assessed by various U.S. regulators or exchanges.</p> <p>AAS reserves the right to pass through to client accounts, these Trading and Exchange Related Regulatory Fees or any other fees assessed under various U.S. regulations or imposed by foreign governments. These fees are subject to change without notice.</p> <p>AAS charges these fees either at the time of the applicable trade or after the applicable trade is settled.</p>		
Alternative Investments	Custody Fees	\$62.50 per position, per quarter
	Transaction Fee (Purchase Only)	\$45
<p>Alternative investments are, generally speaking, non-traditional assets that are not traded on the open market and are purchased via subscription agreements in entities such as limited partnerships, limited liability companies, non-traded REITs. Other types of investment may be considered Alternative Investments in accordance with regulatory requirements or industry standards. AAS computes the Alternative Investment Custody Fees at the end of each quarter based on your holdings throughout the period and assesses the fees in the month following the end of the applicable quarter. The Alternative Investment Transaction Fee is assessed at the time of the purchase.</p>		

Administration Fees

Applies to both Transaction and Asset Based Pricing

Retirement Plans	Solo(k) Maintenance Fee	\$50 Quarterly, per participant
	Solo(k) Loan Initiation Fee	\$100 per loan
	Full-service Retirement Accounts	Priced per plan

AAS computes the Solo(k) Maintenance Fee at the end of each quarter and assesses the fees in the month following the end of the applicable quarter. The Maintenance Fee applies to each participant in the Solo(k) plan and is assessed to the client's pre-tax account. If the pre-tax account has insufficient funds, the fee is applied to the client's associated Roth account.

The Solo(k) Loan Initiation Fee is assessed at the time of the transaction. .

Transfers	Full Transfer Out Fee	\$150
	Reregistration Fees	As Incurred

Full Transfer Out Fee assessed per account closure and charged at the time of transaction.

For Transfer in-kind, if the asset sponsor or transfer agent requires a fee, the cost to do so will be passed through.

Client Communications	Paper Statements	\$5 per account, per statement
	Paper Trade Confirms and Tax Documents	\$2 per account, per mailing
	All Other	\$0

Paper correspondence fees do not apply to accounts enrolled in digital delivery.

AAS computes the Client Communication fees at the end of each period and assesses the fees in the month following the end of such applicable period.

Special Handling	Overnight Delivery	\$20
	Check Copy	\$15
	Physical Certificate	\$500
	Non-Sufficient Funds	\$25
	Outgoing Wire	\$25
	Stop Payment	\$25
	Minimum Balance Fee	\$25

All Special Handling fees are charged at the time of the transaction or event.

Physical Certificate fee applies when requesting a withdrawal of a physical certificate for any reason.

Non-Sufficient Funds fee applies to deposits rejected for Non-Sufficient Funds (NSF).

The Outgoing Wire fee referenced here is specific to wires executed through AAS. You may have a relationship with Axos Bank that allows you to send wires for a different fee or no cost.

AAS may also charge a minimal balance fee once the value of your account maintained by AAS falls below \$25.00.

AAS may receive remuneration from asset managers for services related to your account. The amount of AAS' remuneration for these services is based, in part, on the amount invested by other clients.

All prices are shown in U.S. dollars.

Questions

Please contact your Advisor directly or call Axos Advisor Services at 1-800-955-0245.

Investment Products: Not FDIC Insured - No Bank Guarantee - May Lose Value.

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