



## **Ainvest Financials, Inc. Fee Schedule**

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Last Updated on: Jan 9, 2023



## Commission

Type	Charges
US Stocks & ETFs Commission (Domestic Accounts)	\$0
US Stocks & ETFs Commission (International Accounts)	\$0*
Account Maintenance Fee	\$0**

\*For international accounts, Ainvest Market Solutions is currently promoting \$0 commission!

\*For accounts with a monthly balance below \$2,000 or accounts with no trading activity in current month, there will be a \$1 account maintenance fee.

\*Broker Assisted Trades: trades placed with Ainvest Trade Desk, \$0.005 /share (Min \$15)

## Fees Charged By Regulatory Agencies & Exchanges

Type	Charges	Charged by
SEC Transaction fee(charged for sell orders only)	\$0.0000051*Total \$ Trade Amount (Min \$0.01)	U.S. Securities and Exchange Commission
Regulatory Fee (charged for sell orders only)	\$0.000119 * Total Trade Volume (Min \$0.01- Max \$5.95)	Financial Industry Regulatory Authority

## Margin Interest Rates

Annual Margin Rate - 9.00%

Interest on margin trading is calculated daily and charged monthly.

\*\*For balances greater than \$25,000 Ainvest offers customized margin rates. Please contact support@ainvest.com.

## Short Selling Fees

For a short position, you need to borrow shares of a company before you sell them. The cost associated with a short sale is the fee for

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borrowing the stocks of said company. The stock loan rate changes on a daily basis based on market condition. In addition, other fees below may apply:

Action	Fees
HTB Locates (Hard to Borrow)	Details to be updated
Overnight Borrow Rates	Details to be updated

## Other Relevant Fees

### Deposit & Withdrawal Fees

Action	Fees
ACH Deposit & Withdraw	\$0
Incoming Wire Transfer (Domestic)	\$8
Incoming Wire Transfer (International)	\$14
Outgoing Wire Transfer(Domestic)	\$25
Outgoing Wire Transfer (International)	\$50

An ACH Deposit or Withdraw is free of charge, but ACH correction will be charged \$10.

Additional wire transfer fees charged by any originating, intermediary, or recipient bank may apply. Please contact your bank for details.

Please note that Ainvest Market Solutions does not allow any third-party fund transfer. If your transfer is returned due to third-party transfer, you will be charged for a return fee. Please make sure that the beneficiary owner of the bank account

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is the Ainvest Market Solutions account owner. You must provide your full name and Ainvest Market Solutions account number in the description/comment of your wire transfer, or the transfer will be returned.

Domestic Check Request will be charged \$5 per transaction, and international Check Request will be charged \$10 by our clearing firm.

Returned Checks/ACH/Wires and Returns and Stop Payments will be charged \$30 per transaction by our clearing firm.

Check Copies will be charged \$15 per transaction by our clearing firm.

## Stock Transfer Fees

Action	Fees
Inbound ACAT Fees	\$0
Outbound ACAT Fees DRS Transfer	\$95 per Transfer \$165 per Security
DWAC Transfer	\$150 per Event
DTC Delivery	\$50 per Security
TOD Account Transfer	\$250 per Transfer

An DRS/DWAC Reject will be charged \$125 by our clearing firm.

## Postage

Action	Fees
E-Statements	\$0
E-Confirmations	\$0
Paper Confirms	\$2
Paper Statements	\$5
Domestic Paper Prospectus	\$2.50
Overnight Mail(Domestic)	\$50

## Corporate Action & Dividend Fees

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Action	Fees
Domestic Voluntary Corporate Action	\$50
International Voluntary Corporate Action	\$100
Mandatory Corporate Action	\$0
Dividend Check	\$10
Reorg Physical Processing Fee	\$125****
Domestic Reorg Wire Fee	\$25
International Reorg Wire Fee	\$50

\*\*\*\* Transfer Agents will also charge a Transfer Agent Fee at their discretion.

## Ainvest Market Solutions Detailed Fee Schedule

Transaction	Standard Price
ACATS - Internal	\$95.00
ACATS - Outgoing Non Retirement	\$95.00
ACATS - Outgoing Partial	\$95.00
ACATS - Outgoing Retirement	\$95.00
ACH Notice of Change/Correction	\$10.00
ADR Cancellation / Creation	\$200 per transaction plus agent cable fees
Check Copies	\$15.00
Dividend Check (per item)	\$5.00
DK Interest Rate(Domestic)	EFF + 500 BPS
DK Item Fee(per item)	\$20.00

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DTC Delivery (per security)	\$50.00
DWAC (per event)	\$150.00
DWAC / DRS reject	\$125.00
Foreign Free Receives/Delivers	\$35.00
Foreign Security Transfer Fee	\$50.00
Historical Statements/Confirms	\$150.00
Incoming Wire Transfers (Domestic)	\$8.00
Incoming Wire Transfers (Foreign)	\$14.00
Past Due Margin Call Liquidation charge	\$50.00
Non Transferable Stocks (per month, per security)	\$10.00
NSCC illiquidity charge	\$250 Minimum
Outgoing Wire Transfers (Domestic)	\$25.00
Outgoing Wire Transfers (Foreign)	\$50.00
Overnight Mail - Domestic (per request)	\$50.00
Overnight Mail - International/Canada (per request)	\$100.00
Paper Check Draft/regular mail - domestic	\$5.00
Paper Check Draft/regular mail - international	\$10.00
Paper Confirm Fee (Retail Paper Only) (per confirm)	\$2.00
Paper Prospectus Fee (Domestic)	\$2.50
Paper Prospectus Fee (Foreign)	\$8.50
Paper Statement Fee (Retail Paper Only) (per statement)	\$5.00
Paper Tax Statement Fee (Retail Paper Only) (per statement)	\$10.00/page, \$30.00 minimum
Physical cert request from Electronic shares	\$900.00
Physical trade settlement fee	\$300.00
Physicals Deposit Domestic	\$300.00
Physicals Deposit Foreign	\$350.00

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Physicals Foreign Accommodation Transfer	\$350.00
Proxy Voting (Foreign): ICSD - All Other Custody Local Settlement Zones	\$250.00
Proxy Voting (Foreign): ICSD - Euroclear and Clearstream	\$125.00
Reorg Physical Processing Fee	\$125 plus transfer agent fees
Reorg Wire Fee (domestic)	\$25.00
Reorg Wire Fee (international)	\$50.00
Reorganization Activity - domestic voluntary/Post actionable reorgs - per CUSIP, per account	\$50.00
Reorganization Activity - international voluntary/Post actionable reorgs - per CUSIP, per account	\$100.00
Return Mail (per piece)	\$2.00
Returned ACH (per return)	\$30.00
Returned Checks/Wires and Recalls (including amendment repairs)	\$30.00
Safekeeping - Lost Certificate Replacement 3% of cert value 250.00 min	3% of cert value (250 min)
Safekeeping - Monthly (per account, per CUSIP)	\$5.00
Safekeeping - Withdrawals (per withdrawal)	\$60.00
Short Forced Buy In fee (per ticket)	\$50.00
Split Settlement (Euroclear/DTCC)	\$75.00
Stop Payments on Apex Issued Checks	\$30.00
TOD Account Transfer Fee (per transfer)	\$250.00
Transfers - Accommodation (DRS) (per security)	\$165.00
Transfers - Accommodation T & S (per security)	\$285.00
Transfers - Legal (per security)	\$200.00
Transfers - Restricted (per security)	\$515.00
Transfers - Rush T & S Premium (per security)	\$400.00

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