

The following fees may apply to your account. The fee schedule listed below is subject to change by First Southwest or Brookstone with or without prior notice. Other fees and charges may apply.

Money Market

Check Orders	\$6
Rush Orders for Checks	\$22
Stop Payment or Returned Checks	\$32 Stop Payment / \$25 Returned Check
Copies of Cancelled Paid Checks	\$20
Check Writing Termination	\$20
Visa Check Card Annual Fee	\$40

Account Transfer / Deliveries Between Broker Dealer or other Agents and Mutual Fund Companies

Account Transfer Fee (ACAT)**	\$125
Book Entry Delivery of Securities (per issue)	\$25 plus any depository fees at cost
Receipt / Delivery of Foreign Securities	\$100 plus custody fees

General

Wire Transfer – U.S. Bank	\$20
Wire Transfer – Foreign Bank	\$50
Prepay Fee	\$20 plus interest at prevailing margin rate

Overnight Delivery Minimum Fees

Regular Next Day	\$25
Priority Next Day	\$30
Saturday Delivery	\$40
Foreign Address	\$60 minimum

Certificates

Courtesy Transfers (including Private Placements)	\$50 plus transfer agent / depository fees
Depository Trust & Clearing Corp (DTCC) Transfer and Shipping Certificate	\$500 per request for physical certificates (includes accounts coded automatic transfers)
Direct Registration Service (DRS) Eligible Deposit /Withdraw	\$50 plus transfer agent / depository fees
Rush Transfer	\$500 per item plus transfer agent / depository fees
Legal Deposit	\$50 per item plus transfer agent / depository fees
DRS Reject	\$50 per reject plus transfer agent / depository fees (forms must be filled out precisely with correct information to agent)
Processing of Restricted Securities	\$140 plus overnight delivery fees (refer to fee schedule above)
DTCC “DWAC” Movement	\$50 per event plus transfer agent fee / depository fees
DTCC Rejects	\$125 plus transfer agent / depository fees
Bulletin Board/OTC/Pink Sheets	\$200 plus transfer agent / depository fees
Other Certificate Deposit Review Fee	\$50 plus transfer agent / depository fees (includes DWAC and DRS shares)
Non-DTCC eligible deposits	\$250 plus pass through fees for deliveries

Reorganizations and Reinvestments

Bond Redemptions / Maturities/ Calls	\$25
Reorgs (Capital Changes, Exchanges, Mergers, Name Changes, Tenders)	\$50 Voluntary / \$10 Mandatory
Equity Dividend Reinvestment	3% of dividend with a \$1 minimum, \$10 maximum

Retirement Accounts

IRA Account Opening	\$25
IRA Annual Fee	\$40
IRA Account Termination	\$60
Other Retirement Accounts	Fees can vary by plan type.

Other Fees

Inactive Account Fee**	\$75.00 (for accounts that have not had any transactions during the previous 12 months)
Postage and Handling**	\$9
Miscellaneous Fee*	Up to \$40

* Brookstone and its Registered Representatives may mark-up the cost charged by First Southwest. This mark-up is considered additional revenue for Brookstone and its Registered Representatives. For advisory accounts, Brookstone does not share the profit from this mark-up with its Investment Adviser Representatives. It is rebated to Investment Adviser Representatives to offset their cost of transactions.

** Brookstone receives additional revenue from the cost charged by First Southwest.