

# Commission & Transaction Fee Schedule

August 1, 2021

## **EQUITY COMMISSIONS \***

### **Online Brokerage**

1 - 5,000 shares.....	\$19.95
over 5,000 shares.....	\$19.95 + 1¢ per share**

Low Priced Securities - Equities that are less than \$1.00 per share will be charged the lower of the online brokerage rates, or 5% of principal with a \$19.95 minimum.

### **City National Securities Broker Assisted**

\$35.00 + 2.5¢ per share\*\*

Low Priced Securities - Equities that are less than \$1.00 per share will be charged the lower of the broker assisted rates, or 5% of principal with a \$35.00 minimum.

*\* These commissions and fees apply to securities including, but not limited to listed and over-the-counter stocks, warrants, and exchange traded funds (ETFs).*

*\*\* ¢ per share applies to entire order.*

## **LISTED PREFERRED, ETF AND HYBRID SECURITIES**

Rep advised listed preferred, ETF and hybrid securities will be charged a maximum 2% of principal with a \$75 minimum.

## **MUTUAL FUND TRANSACTION FEES**

### **Online Brokerage**

No Transaction Fee Funds*** .....	No Charge
All Other Funds**** .....	\$15.00 per trade

### **City National Securities Broker Assisted**

All Funds.....\$35.00 per trade

### **Automatic Investment (\$100 minimum)**

All Funds.....\$5.00 per trade

*\*\*\* Limited to 25 "buy" transactions per calendar month Additional "buy" transactions will be charged \$15 per transaction.*

*\*\*\*\* Additional \$10 processing fee may occur on certain fund families. Please contact your broker.*

## **FIXED INCOME TRANSACTIONS**

For principal transactions: CNS applies a mark-up or mark-down that is embedded in the execution price. Mark-ups and mark-downs typically range from .001% to 3%. Mark-ups and mark-downs vary and are determined based on a variety of factors, including the principal amount of the transaction, the price of the security, the liquidity/availability of the security, and the security's maturity.

## OPTION COMMISSIONS

### Online Brokerage

\$19.95 + \$1.50 per contract

### City National Securities Broker Assisted

\$35.00 + \$2.00 per contract

### Exercises and Assignments

Trades will be charged Broker Assisted Equity Commissions.

Good Till Canceled (GTC) orders that take longer than one trading day to fully execute a trade will be charged a separate commission based on the appropriate schedule (online or broker assisted) each day a trade is executed to complete the entire order.

## MISCELLANEOUS FEES

International Equities Settlement/Clearance.....\$75.00

International Fixed Income Settlement/Clearance.....\$50.00

### Recordkeeping

Annual Fee ..... \$75.00

*Account is charged if no trades are placed in the account during the year. Fee is waived if account has a balance of more than \$10,000 in a City National Rochdale Money Market Fund or the CNS Bank Deposit Sweep on June 30 of each year.*

### Individual Retirement Account (IRA)

Annual Maintenance..... \$35.00

Termination Fee .....\$125.00

### Alternative Investments

*Includes, but not limited to, Limited Partnership (non-exchange), Non-Traded REITs, and Private Equity/Debt investments.*

Review.....\$100 per issue

Annual Administration

Registered Alternative

Investment Products\*\*\*\*\* .....\$35 per position

Non-Registered Alternative

Investment Products .....\$125 per position

Establishment.....\$50 per issue

### Transfer & Ship Stock Certificate

Send Original Certificate to Client ..... \$15.00

### Transfer & Ship DRS

(Direct Registration System) eligible ..... \$15.00

*Charged when a client requests issuance of their stock through DRS system.*

*\*\*\*\*\*Products registered under the Securities Act of 1933.*

## MISCELLANEOUS FEES

**Non-Direct Registration (DRS) eligible** ..... \$220.00

**Restricted Stock Clearance (per CUSIP)** ..... \$250.00

### Safekeeping Restricted Securities

(per certificate) ..... \$15.00/month

**Trade & Margin Extensions**..... \$12.00

*Charged when cash or securities are not available to settle by extension date and a trade extension is filed.*

**Physical Reorganization** ..... \$150.00

*Charged when a certificate is deposited into a client's account after the mandatory reorganization action date has passed.*

**Legal Transfers** ..... \$150.00

*Charged when a transfer requiring legal documentation is completed.*

**Legal Returns** ..... \$75.00

*Charged when certificates are returned to a client due to a "not in good Order" status that is in effect for more than 45 days.*

**DTC Deliveries** ..... \$40.00

### Outgoing Transfers

Account Transfer via ACAT ..... \$95.00  
*(plus any additional applicable transfer agent fees)*

Returned Check Fee ..... \$15.00

Outgoing Check Fee..... \$5.00

Outgoing Wire Fee ..... \$35.00

**Pass-Through Fee** – *Pass-through fees may apply to some additional fee items. Please call your Financial Advisor for more information.*

**Prime-Broker** - *\$40.00 per trade. Additional fees may apply. Please contact your advisor.*

For fixed income securities, customer service and broker assisted trades, please call (800) 280-1464.

### NON-DEPOSIT INVESTMENT PRODUCTS...

- are not FDIC insured
- are not Bank guaranteed
- may lose value

**CITY NATIONAL SECURITIES**



AN RBC/CITY NATIONAL COMPANY

