

## SECU Brokerage Services Commission and Fee Schedule

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| Stock <sup>1</sup> , fixed income, mutual fund, unit investment trust buy/sell         | \$50 plus 0.50% of the principal value |
| Additional fee for buy/sell of foreign securities                                      | \$75                                   |
| Direct Registration System Transfer (DRS) <sup>2</sup>                                 | \$15                                   |
| Outgoing wire fee  | \$25                                   |
| Overnight check  | \$25                                   |
| Check request (other than recurring payments)  | \$10                                   |
| Legal document use (e.g., POA, etc.)   | \$135                                  |
| Annual maintenance fee – IRA holding mutual funds exclusively                          | \$12.50                                |
| Annual maintenance fee – IRA holding securities in addition to/other than mutual funds | \$43.50                                |
| IRA termination fee  | \$125                                  |
| Retail transfer fee  | \$125                                  |
| Inactive account fee <sup>3</sup>  | \$50                                   |
| Paper statements and confirmations <sup>4</sup>  | \$2/month                              |
| Paper tax statement <sup>5</sup>   | \$10/year                              |

<sup>1</sup> An additional transaction fee is assessed for stock sells. The fee is typically less than \$0.0001 of each dollar sold.

<sup>2</sup> The Direct Registration System (DRS) allows investors to hold their securities in book-entry form at the company or with a transfer agent. DRS charges investors when they transfer these securities.

<sup>3</sup> An inactive account is defined as an account holding a security for a full calendar year (January 1-December 31) without generating a trade.

<sup>4</sup> This fee can be avoided by fully enrolling in eDelivery of statements, notifications and confirmations.

<sup>5</sup> This fee can be avoided by enrolling in eDelivery of tax documents.

At the account holder's request, other services are available from Pershing at the cost assessed to SECU Brokerage Services.

### SECU Brokerage Services Business Continuity Plan ("BCP") Disclosure

SECU Brokerage Services (SBS) has policies and procedures in place to continue to operate and provide services to our customers in the event of a significant disruption, whether on a firm-only basis or city/regional basis. In the event of a disruption at the firm's office location, procedures have been established for our staff to conduct services at an alternate location unaffected by the disruption. Recovery time in the event of a disruption is anticipated to be minimal. If a disruption occurs or if our services to you might be affected, we will post information on our website ([www.ncsecu.org](http://www.ncsecu.org)) and contact media outlets to inform you about how you may obtain the services you need. You may obtain an updated Business Continuity Plan Disclosure by requesting a written copy by mail.

If you wish to receive a copy of the SBS Business Continuity plan or file a complaint, please contact us at:

SECU Brokerage Services  
 Compliance Department  
 PO Box 26807  
 Raleigh, NC 27611  
 or  
 Phone 800-451-5467

### Securities Investor Protection Corporation (SIPC)

For information about SIPC, including information on how to request a brochure, you may visit their website at [www.sipc.org](http://www.sipc.org) or call (202) 371-8300.

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