

# FEE SCHEDULE

Ameriprise brokerage accounts are subject to certain fees assessed by Ameriprise Financial Services, LLC, and its affiliates as described below. All fees are subject to change at our discretion, and other fees may apply. We will provide at least 30 day's written notice before we increase these fees, unless required or otherwise permitted by law or regulation. We reserve the right to reduce or waive these fees, at our discretion, if certain conditions are met. A current fee schedule can always be found at [ameriprise.com/brokeragefees](http://ameriprise.com/brokeragefees) or talk with your Ameriprise financial advisor for more information.

## Employee Stock Options (ESO) Service Fees

When exercising employee stock options within an Ameriprise Brokerage Account, clients will be charged a Deposit/Withdrawal at Custodian (DWAC) fee. These fees vary by transfer agent and are typically \$50 to \$250. The actual cost will be assessed by the transfer agent, and will be passed through to your account. Ameriprise Financial reserves the right to assess any applicable DWAC and wire transfer fees against your account on a pass-through basis.

TYPE OF FEE	FEE AMOUNT	FREQUENCY
<b>ACCOUNT MAINTENANCE FEE</b>		
Ameriprise ONE <sup>®</sup> Financial Account	\$25 <i>if UGMA/UTMA then only \$15</i>	Quarterly
Ameriprise <sup>®</sup> Brokerage Account		Quarterly
Ameriprise <sup>®</sup> Brokerage 529 Plan Account	\$25	Annual
Ameriprise <sup>®</sup> Investment Only Qualified Plans	\$25	Quarterly
<b>CUSTODIAL FEE</b>		
Ameriprise <sup>®</sup> Individual Retirement Account (IRA)	\$75	Annual - Per Plan
Ameriprise <sup>®</sup> Tax-Sheltered Custodial Account (TSCA)	\$50	Annual - Per Participant
Ameriprise <sup>®</sup> Coverdell Education Savings (CESA)	\$10	Annual - Per Plan
Ameriprise <sup>®</sup> Custodial 401(a) Plan Account	\$75	Annual - Per Participant
<b>OTHER ACCOUNT FEES</b>		
ADR Fee <sup>1</sup>	Variable	Per Cusip
Brokerage Retail Order Handling Fees <sup>2</sup>	\$6	Per Trade
Cash Debit <sup>3</sup>	Variable	Per Account
Certificate Delivery	\$80	Per Cusip
Custody/Safekeeping - Worthless <sup>4</sup>	\$25	Annual - Per Position
Direct Registration System (DRS) Request <sup>5</sup>	Variable	Per Transfer
Deposit Withdrawal at Custodial (DWAC) <sup>6</sup>	Variable	Per Transfer
Estate Settlement Processing Fee	\$200	One Time at Estate Settlement
Invalid Certificate <sup>7</sup>	\$125	Per Cusip
IRS Form 990-T UBTI Tax Filing Service Fee <sup>8</sup>	\$200	Per Form 990-T filed
Late Trade Settlement	\$15	Per Trade (\$30 max charge per settlement date)
Legal Process	\$40	Per Order
Legal Transfers	\$30	Per Transfer
No-load Mutual Funds <sup>9</sup>	\$39.95	Per Fund
Physical Custody - Foreign Security	\$100	Annual - Per Position
Physical Reorg Deposit	\$70	Per Cusip
Pledge Account	\$100	Per Account
Quotes <sup>10</sup>	Variable	Per Quote
Registered Non-Traded Security Custody	\$150	Annual - Per Position
Registered Non-Traded Security Custody (initial) <sup>11</sup>	\$150	Per Position
Research	\$25	Per Hour
Restricted Custody	\$100	Annual - Per Position
Restricted Custody (initial)	\$100	Per Position
Restricted Transaction	\$100	Per Transaction

Stock Borrowing <sup>12</sup>	Variable	Per Transaction or Account
Transaction Fee <sup>13</sup>	Variable	Per Transaction
Transfer Out Termination	\$125	Per Account
Treasury Auctions	\$40	Per Cusip
Unregistered Security Custody	\$250	Annual - Per Position
Voluntary Reorg Service Charge	\$30	Per Transaction
<b>CASH MANAGEMENT SERVICES</b>		
ATM Surcharge <sup>14</sup>	Variable	Per Transaction
Check Copy	\$3	Per Copy
Check Reorder <sup>15</sup>	Variable	Per Order
Debit Card Receipt Copy	\$10	Per Copy
Express Mail (domestic)	\$25	Per Item
Express Mail (international)	\$35	Per Item
Non-Sufficient Funds	\$29	Per Transaction
Returned Check or ACH Deposit	\$25	Per Item
Stop Payment or Reissue <sup>16</sup>	\$25	Per Item
Wire Transfer Out (domestic)	\$30	Per Wire
Wire Transfer Out (international)	\$35	Per Wire

<sup>1</sup> We reserve the right to assess on a pass-through basis any applicable Depository and Transfer Agent custodial fees against your account related to any ADR or other securities you may hold. You understand and agree that we may assess multiple transaction fees and/or commissions if a single order or transaction is executed on multiple days. Ameriprise Financial and its clients are subject to policy and regulations set forth by various regulatory bodies and exchanges. At times, a nominal transaction fee to cover costs of self regulation may be charged. These policies, regulations, and fees are subject to change.

<sup>2</sup> Excludes orders placed in Managed Accounts, annuities, insurance, 529 plans, and certain alternative investments. For further details, contact your financial advisor.

<sup>3</sup> We reserve the right to assess fees and/or interest on any funds advanced to you which result in an open debit in your account. Open Debit Fees are calculated as follows: Debit amount (x) base margin lending rate (x) number of days/360 = Fee amount.

<sup>4</sup> To help defray the cost of holding and maintaining securities that may have been deemed worthless and/or without value.

<sup>5</sup> DRS fees are assessed when transferring shares to client brokerage accounts. DRS fees are generally \$20, but can vary by transfer agent. The actual cost will be determined by the transfer agent and will be passed through to your account. DRS reject fees are generally \$35.

<sup>6</sup> DWAC fees are assessed when exercising employee stock options within an Ameriprise Brokerage Account or by bringing treasury shares into Ameriprise from an external source.

<sup>7</sup> For a certificate that is rejected by the assigned Transfer Agent because it was previously paid, replaced, reissued, exchanged, has a "Stop Transfer" applied to it, or has otherwise been deemed invalid.

<sup>8</sup> Master limited partnerships held in an IRA can generate unrelated business taxable income (UBTI) resulting in a current year federal income tax liability for qualified accounts. This service fee covers the tax return preparation and filing on these investments, when required.

<sup>9</sup> A transaction fee may be assessed at the time of purchase or sale to cover the cost of offering the mutual fund to you. No-load funds and no-load share classes are not available through our financial advisors but may be available online through the Ameriprise Brokerage Platform. An early redemption fee may also be imposed by the fund company, generally if the position is held less than 180 days; refer to the fund prospectus for details. Ameriprise Financial reserves the right to assess any applicable fees or associated costs on a pass-through basis.

<sup>10</sup> 500 real-time quotes free with account opening. 100 free quotes for each executed trade. Additional quotes are \$0.01 per quote.

<sup>11</sup> The term Registered Non-Traded Security includes traditional Limited Partnerships, Non-Traded Business Development Companies (BDCs), NonTraded REITs and other instruments.

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<sup>12</sup> Ameriprise Financial reserves the right to assess any applicable fees or associated costs related to facilitating stock borrowing in your account on a pass-through basis.

<sup>13</sup> For all non-debt securities subject to prompt last sale reporting.

<sup>14</sup> Ameriprise Financial does not assess ATM surcharge fees. ATM operators and/or networks may assess an ATM surcharge fee. In those instances, we offer a rebate program if you are recognized as an Ameriprise Achiever Circle or Ameriprise Achiever Circle Elite member. ATM surcharge fees are rebated monthly based on your Ameriprise Achiever Circle status at month end. The ATM fee rebate program may be modified or discontinued at any time.

<sup>15</sup> Check reorder prices vary based on check design and the order size.

<sup>16</sup> For disbursements issued by Ameriprise.