

**SCHEDULE OF ACCOUNT AND SERVICE FEES (See note 1 below)****Effective as of January 2025**

<b>Accounts</b>		
<b>SERVICE SCHEDULE</b>	<b>FEE AMOUNT</b>	<b>FREQUENCY/BASIS</b>
Inactive Accounts (for brokerage-only accounts) (See note 3 below)	\$175	per annum
Account Maintenance (See note 2 below)	\$150	per quarter
Account Termination Fees	\$250	per account
Send Data Feeds to 3rd Parties	\$150	per month
Non U S Account Services	\$35	per annum
Tax-lot Service	\$30	per annum
<b>Cash Management and Account Services</b>		
<b>SERVICE SCHEDULE</b>	<b>FEE AMOUNT</b>	<b>FREQUENCY/BASIS</b>
<b>Corestone account with debit card</b>		
Silver account	\$75	per annum
Silver plus account	\$100	per annum
Gold account	\$150	per annum
Platinum account	\$200	per annum
Corporate gold account	\$250	per annum
Corporate platinum account	\$300	per annum
<b>Wire Transfer &amp; Checks</b>		
USD & Non USD Transfer out	\$60	per transfer
Certified/cashier check issuance	\$30	per check
Cancel check issuance	\$50	per cancellation
Return check/ACH debits	\$40	per returned item
Checks / initial order	\$15 - \$60	per order
Checks / re order	\$15 - \$50	per order
Check Stop Payment	\$35	per request
<b>Margin &amp; Loans</b>		
Use of margin & NPL	Base + Up to 350	basis points
Margin Extension	\$50	per event
<b>Investment Specific</b>		
<b>SERVICE SCHEDULE</b>	<b>FEE AMOUNT</b>	<b>FREQUENCY/BASIS</b>
Issue Certificates / Convert Certificates into Electronic	\$500	per title/event
Bond Redemptions	\$25	per event
Reorganizations (Mandatory or Voluntary)	\$15 or \$40	per event
Prospectus/Statement/Confirm Delivery Fee	\$2	per event
Foreign Securities Transfer In (Euroclear)	\$30	per Cusip/Isin
Foreign Securities Transfer In (Other)	\$85	per Cusip/Isin
Foreign Custody Fee (Non-US Mkt Securities Safekeeping)	\$5	per position/month
Full Account Transfer Out	\$150	per event
Securities Transfer Out (Euroclear or Other)	\$75 or \$150	per Cusip/Isin
<b>Boreal Capital Securities LLC - 1450 Brickell Avenue Suite 2900, Miami, FL 33131</b>		

1. Terms and fees may be subject to change at any time.

2. Maintenance fees are in lieu of prospectus/statement delivery fee, paper statement fee, dividend reinvestment fee, and mandatory reorg. Fee. For household accounts only one account in the group will be charged maintenance fee

3. Inactive accounts are defined as accounts holding a security position for a calendar year without generating (a) a trade or (b) a free credit or margin interest of at least \$100.00. Mutual fund reinvestments and exchanges will be considered a trade.

# SCHEDULE OF COMMISSIONS/MARKUPS AND OTHER EXECUTION COSTS

Effective as of January 2025

(See note 1 below)

## Transactions

BROKERAGE CLIENTS ONLY	CHARGES	MINIMUM/BASIS
Stocks & ETFs (See note 2 below)	up to 3%	\$100.00
Online Stocks/ETFs and Online/Offline Penny Stocks (See note 2 below)	0.5% or 5c/share	\$50.00
Bonds, Structured Products, Complex Products (See note 3 below)	up to 3.0%	\$75.00
Treasury bonds (up to 1 year maturity)	up to 0.5%	\$75.00
Treasury bonds (over 1 year maturity)	up to 1%	\$75.00
Options (See note 2 below)	\$5/contract	\$75.00
Options < \$1.00 (See note 2 below)	\$1.25/Contract	\$75.00
Mutual Funds (See note 4 below)	per breakpoint table	\$75.00
Option Exercise/Assignment	\$75	n.a
Foreign Exchange	Up to 0.50%	\$75
Non-US Market Execution (foreign market dependant)	5 to 100	basis points
Trade Service Charges	\$5 to \$35	per trade

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## FOR INVESTMENT ADVISORY CLIENTS (Accounts at Pershing)

# SCHEDULE OF COMMISSIONS/MARKUPS AND OTHER EXECUTION COSTS

Effective as of January 2025

(See note 1 below)

## Transactions

ADVISORY CLIENTS ONLY	CHARGES	MINIMUM/BASIS
Stocks & ETFs (See note 2 below)	Up to 0.30%	\$50
Bonds (See note 3 below)	Up to 0.30%	\$75
Structured Products and Complex Products	Up to 1.5%	\$75
Options (See note 2 below)	\$5/contract	\$75
Options < \$1.00 (See note 2 below)	\$1.25/Contract	\$75
Mutual Funds (See note 4 below)	per breakpoint table	\$25
Option Exercise/Assignment	\$75	n.a
Foreign Exchange	Up to 0.25%	\$50
Non-US Market Execution (foreign market dependant)	5 to 100	basis points
Trade Service Charges	\$5 to \$35	per trade

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1. Terms and fees may be subject to change at any time.
2. When buying and selling stocks, options and ETFs, we customarily act as agents and charge commissions and ticket fees
3. For fixed income securities in the secondary markets, we customarily act as riskless principal and mark-up or mark-down the price of such securities. This includes treasury securities.
4. Fees charged by a fund itself are in the fund's prospectus. In addition, Boreal can receive retrocessions from retail share classes

**FOR INVESTMENT ADVISORY CLIENTS (All Custodians)****SCHEDULE OF INVESTMENT ADVISORY FEES (See note 1 below)****Effective as of January 2025**

<b>DISCRETIONAY AND NON-DISCRETIONARY PORTFOLIOS</b>	<b>FEE</b>	<b>FREQUENCY/BASIS</b>
\$100,000 to \$500,000	Up to 2.25%	per annum
\$500,001 to \$1,000,000	Up to 2.00%	per annum
\$1,000,001 to \$2,000,000	Up to 1.75%	per annum
\$2,000,001 to \$5,000,00	Up to 1.50%	per annum
\$5,000,001 and Over	Up to 1.25%	per annum

**Boreal Capital Management LLC - 1450 Brickell Avenue Suite 2900, Miami, FL 33131**

1. Terms and fees may be subject to change at any time. Unless otherwise agreed, advisory fees are charged quarterly in arrears and subject to a \$500 minimum per quarter