



**Full Service Commission Schedule**

**Equities Commission Schedule:**

Principal Amount	Fee	Maximum Fee
0 - \$5,999.99	2.50%	\$ 150.00
\$6,000 to \$9,999.99	2.00% + \$30.00	\$ 230.00
\$10,000 to \$24,999.99	1.50% + \$80.00	\$ 455.00
\$25,000.00 to \$99,999.99	1.00% + \$205.00	\$1,205.00
\$100,000.00 and above	0.50% + \$705.00	Unlimited

Minimum Commission \$50.00

Total commission may vary for trades executed over multiple days.

**Options Commission Schedule:**

Step 1 – Select the appropriate procedure, 1, 2 or 3, based on the price per option and the quantity of contracts.

	<u>Procedure 1</u>	<u>Procedure 2</u>	<u>Procedure 3</u>
Price per Contract	Less than \$1	\$1 or more	\$1 or more
Quantity of Contracts	Any Quantity*	1 contract	Multiple contracts

Step 2 – Procedure 1 (For options priced under \$1, any quantity)

Transaction Size	Commission
\$0---\$999.99	x .084
\$1,000 --- \$9,999	x .05 + \$34.00
Over \$10,000	x .04 + \$134.00

Procedure 2 (For options priced at \$1.00 and over, one contract)

Transaction Size	Commission
\$100---\$799.99	x .02 + \$6.40
\$800---\$2,499.99	x .013 + \$12.00
Over \$2,500	x .009 + \$22.00

Procedure 3 (For options priced at \$1.00 and over, multiple contracts)

Transaction Size	Commission
\$100---\$ 2,499.99	x .013 + \$ 12.00
\$2,500---\$19,999.99	x .009 + \$ 22.00
\$20,000---\$29,999.99	x .006 + \$ 82.00
Over \$30,000	x .004 + \$142.00

Plus \$6/contract for first ten contracts, and \$4/contract for eleventh and above contracts.

**Final Step in All Option Commission Calculations**

Step 3 – If the Transaction Size is \$5,000 or less, multiply the commission calculated above by 1.5444.

- If the Transaction Size is greater than \$5,000 multiply the commission calculated from procedures 1, 2, or 3 by 1.6146.
- Minimum commission is \$40. Maximum commission is \$104.95 per contract.

\*When the transaction involves multiple contracts, first calculate the commission for one contract and multiply this figure by the number of contracts. Then calculate the transaction as a multiple contract and take the lesser of these two figures.

*Note! Schedule subject to change periodically without prior notice. This does not include fees, which may or may not apply to all accounts. Investment Services offered through Sorrento Pacific Financial LLC (SPF), member FINRA/SIPC: Investments are not FDIC insured or credit union guaranteed and may lose value.*