

Commission Schedule – Quint Capital Corporation

The commission schedule provides information on calculating the commission charged to clients on transactions processed by Quint Capital Corporation.

Please note – All commissions may be discounted from the below schedule, at the discretion of Quint Capital Corporation (QCC). For Institutional Clients, commissions will be negotiated on a case-by-case basis, generally in terms of “cents per share.”

Equities

The current minimum commission for equity buy and sell transactions is \$75 (see 'small ticket' table for exceptions on transactions under \$300). This client commission policy will not apply to syndicate issues, where the selling concession will determine the advisor's gross credit, and discounting payout provisions will not apply. However, the minimum ticket commission levels for advisor payout will apply.

Stocks Less than \$1 Per Share
5% of funds

Stocks At \$1 Per Share or above	
Net Amount	Commission
\$1 - \$999.99	3% of funds
\$1,000 - \$4,999.99	1.5% of funds + \$15
\$5,000 - \$19,999.99	1.25% of funds + \$27.50
\$20,000 - \$49,999.99	1% of funds + \$77.50
\$50,000 and above	0.6% of funds + \$277.50

An additional charge exists for orders of stocks selling at \$1.00 and above per share, as follows:

For Orders of	Add
First 250	\$0.35 per share
Next 750	\$0.15 per share

Next 1,500	\$0.10 per share
Above 2,500	\$0.075 per share

Example

200 shares bought at \$38.37

Step 1: Calculate the principal amount of the round lot.

200 shares X \$38.37 = \$7,674.00

Step 2: Find the appropriate commission rate for the principal money involved in the above table for '[Stocks Above \\$1](#)'. Calculate using % of funds plus \$ amount figures as follows.

\$7,674 X .0125+ \$27.50 = \$123.43

Step 3: Calculate the additional charge using the appropriate '[per share](#)' rate reflected above.

200 shares X \$0.35 = \$70.00

Step 4: Add the results of Steps 2 and 3 to determine the commission.

\$123.43 + \$70.00 = \$193.43 (Standard Commission Charged)

If this calculation results in amount that exceeds 5% of the principal value of the trade, then the 5% calculation will apply. Cases where the 5% calculation is below the minimum commission, the minimum commission would apply.

Options – The firm does not currently execute options transactions.

The current minimum commission for option purchases is \$35. The current minimum commission for option sells is \$35 or 100% of the principal, whichever is less.

All Options Trades	
Principal Money Involved	Commissions
<\$1,000	2.25% of funds + \$20.00 + \$4.00 per contract
\$1,000 - \$2,499	2.00% of funds + \$35.00 + \$4.00 per contract
\$2,500 - \$4,999	1.75% of funds + \$50.00 + \$4.00 per contract
\$5,000 - \$19,999	1.50% of funds + \$70.00 + \$4.00 per contract
\$20,000 - \$29,999	1.25% of funds + \$150.00 + \$4.00 per contract

\$30,000 and above	1.00% of funds + \$250.00 + \$4.00 per contract
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- The commission charge for a single purchase of multiple contracts cannot be more than the commission that would have been charged if the trade had been calculated as a number of separate single purchases of individual contracts.
- Effective December 8, 2014, the maximum options commission will be 15% of the principal value of the trade entered. In cases where the calculated commission on an options trade falls below the minimum commission, the minimum commission of \$35 will apply, and the 15% cap will not apply.

Bonds

All customer executions must be at a price (including any mark-up/markdown) that is fair and reasonable.

All FI products except as noted	Max markup as % of price	CMOs, MBS, GNMA	Maximum markup as % of dollar price	Preferred Securities
1 year or less	1.0%	Avg. life < 5 yrs	Up to 2 points or 2.5%	2.0%
1-3 years	1.5%	Avg. life 5-7 yrs	2 points or 2.5%	
3-7 years	2.0%	Avg. life 7-10 yrs	2.5 points or 3.0%	
7-14 years	2.5%	Avg. life > 10 yrs	3 points or 3.5%	
14 years +	3.0%			

- Commission and mark-downs for sale transactions of bonds are limited to 50% of the sales markup (noted above) up to a maximum of 1.5%.
- Commission and mark-downs for sale transactions of preferred securities are limited to the equity agency commission schedule.
- If the calculated gross commission falls below \$75, the minimum commission of \$75 will be charged.

Mutual Fund Trails and Direct Purchases

All mutual fund orders, including trails and direct purchases, are exempt from minimum ticket requirements for clients.

Mutual Fund No Load Trail Retention Policy

When a no-load fund is held in a retail commissionable account, Quint Capital Corporation retains the administrative fee or 12b-1 fee that help offset processing and general operating costs. Quint Capital

Corporation classifies no load mutual funds as those without a front-end or back-end sales concession and with 12b-1 fee of 25 basis points or less.

Unit Investment Trusts (UITs)

For primary market (underwriting) and secondary market purchases, the total dealer concession as determined by the trust's sponsor will become the sales credit.

For unit investment trust liquidations, there is no sales credit. Units to be liquidated must be in good delivery in Stock Receive before the trading desk will proceed with the liquidation.

Limit Orders

If a limit order is entered and executed on different dates, each day's order will be treated as a separate order in computing commissions. This means that the minimum commission will apply to each order as if they were entered on different dates. This policy applies to both stock and bond trades.

For example: if FAs enter a limit order to buy 5 bonds and only 3 are executed today and the balance on the next day or several days later, the order will be treated as two individual orders for commission purposes. In this example, each trade would be charged the minimum commission of \$75.

Small Ticket/Service Fees

The current minimum commission charged to clients is as follows:

- Stocks and bonds = \$75
- Options = \$35

Equity transactions under \$300 can be charged a minimal fee, with no payout to the advisor. This small trade fee applies to liquidations in retail accounts only. It does not apply to employee or employee-related accounts. For more information, see [Fees for Small Stock Transactions](#).

Other Fees

A \$5.95 handling/processing fee, which is not considered in payout calculations, will be charged on most transactions.