



## Exhibit B: CoastalOne Fee Schedule<sup>1</sup>

<b>Ticket Charges</b>	
All products <sup>234</sup> (Equities, fixed income, mutual funds, etc.)	\$28.00
<b>FINRA/SEC</b>	
Registration/ Licensing	Cost
Regulatory Element	Cost
Filings/Fines/Other Charges	Cost
SIPC	.15% of gross production
<b>SmartStation Packages</b>	
Package A (Fully-integrated Advisor Package)	\$220.00 per user, per month
Package B (Sales Associate Package)	\$180.00 per user, per month
Package C (Back-Office Package)	\$95.00 per user, per month
Package D (Sales Associate Package plus Envision)	\$200.00 per user, per month
SmartStation Anywhere <sup>5</sup>	\$25.00 per user, per month
SmartStation Key FOB	\$40.00 per user, per month
<b>Miscellaneous</b>	
Technology Fee	\$325.00 per month
Email Archival	\$40.00 per e-mail account, per month
Social Media Archival	\$30.00 per account, per month + \$10 for each fifty pages over one hundred
Web Site Archival	\$35.00 per account, per month + \$10 for each fifty pages over one hundred
Tele-Message text archiving	\$16.00 per month
Annual Compliance Meeting	\$800.00 online (waived if attend in person during annual conference)
Branch Audit	\$350.00 per day, plus expenses
Coastal Trade Desk Fee	\$50.00 per transaction
Coastal Trade Desk Fee (fixed income)	None <sup>6</sup>
Wells Fargo Clearing Services, LLC Trade Desk Fee	Cost
Cancel/Rebill	\$50.00 per item
E & O and Fidelity Bond <sup>7</sup>	\$300.00 per month, per producing representative
E & O and Fidelity Bond <sup>8</sup>	\$270.00 per month, per licensed assistant

<sup>1</sup> All fees subject to change without notice.

<sup>2</sup> Options carry an additional charge of \$1 per contract. NYSE and AMEX listed equities carry an execution fee of \$.01 per share. Bonds carry an execution fee of \$1.00 per bond (waived if traded through CEI's fixed income desk).

<sup>3</sup> Mutual Fund Exchanges within the same fund family are at no charge.

<sup>4</sup> Coastal Investment Advisors, Inc. IA accounts subject to a reduced ticket charge of \$14.00.

<sup>5</sup> SmartStation Anywhere is an add-on service. You must have a SmartStation package to have SmartStation Anywhere.

<sup>6</sup> Fixed Income trade desk trades are subject to a firm markup or markdown to be retained by the firm.

<sup>7</sup> Revised annually based upon cost at renewal.

<sup>8</sup> Revised annually based upon cost at renewal.

Customer Identification Program	\$1.50 per transaction
Account Opening	\$25.00 per account (only if Coastal opens for rep)
Commission Advance Charge	The greater of \$100.00 or 1% of advance
Money Movement	\$10 per transaction (only if Coastal moves money for Rep)
E-Fax	\$32.00 per month
SIPC Sign	\$15 per sign including shipping
Business cards - 500 cards	\$75.00 including shipping
Processing fee for levies or garnishments related to RRs or IARs	\$100 per account per Fine or Levy
Other Projects/ Marketing	\$40.00 per hour
Books & Records Mailings	Based on cost
Affiliation Fee	None
Firm Element	\$50.00 per course
Regulatory Element	Cost
Individual Reps will also be assessed fees for any involvement/response required by the firm caused by any customer complaint or attorney inquiry, regulatory inquiry, arbitration, litigation, or other action at the following rates:	
Chief Compliance Officer	\$400.00 per hour
Compliance Associate	\$150.00 per hour
In-House Counsel	\$400.00 per hour
President	\$500.00 per hour
Other Personnel	\$125.00 per hour

#### ***Supervision & Compliance<sup>9</sup>***

Supervision (Home Office or OSJ)	\$200.00 per month + 1-5% of gross production
Outside RIA Supervision	RIA (both CIA and hybrid) - To be negotiated

#### ***Additional Data Services<sup>10</sup>***

Book Management FCCS	\$14.00 per month
CBOE Indices MDX Index Service Data	\$3.35 per month
Chicago Board of Trade	\$130.00 per month
Chicago Mercantile Exchange	\$130.00 per month
Commission check or PriceMetrix	\$10.00 per month
CME S&P 500 Sector Indices	\$5.00 per month
Commodity Exchange	\$130.00 per month
Dow Jones Indices	\$3.00 per month
Dow Jones News	\$120.00 per month
Envision Alerts	\$6.25 per month
ICE Futures US	\$150.00 per month

<sup>9</sup> Production, OBAs, product mix, and regulatory history are among the factors considered when setting the variable component of this rate.

<sup>10</sup> This list may not include all possible data services. Other services may be permitted upon rep request at the firm's discretion.

Minneapolis Grain Exchange	\$46.00 per month
Morningstar Advisor Workstation	\$125.00 per month
My Book Manager	\$13.75 per month
NASDAQ UTP L1 Real-time	\$32.00 per month
NASDAQ UTP L2	\$102.00 per month
New York Mercantile Exchange	\$106.00 per month
NYSE Open Book Dynamic	\$31.25 per month
Options Price Reporting	\$40.00 per month
OTC Markets Dynamic	\$100.00 per month
RTRS North America News	\$50.00 per month
Thomson Financial News	\$50.00 per month
WFA Enhanced Alert Enterprise	\$5.75 per month

