

# Self directed brokerage accounts

Comprehensive tools and services to help you reach your goals

## Wealth Management

U.S. Bancorp Investments offers financial planning, investment and brokerage services.

U.S. Bancorp is the parent company of U.S. Bank and U.S. Bancorp Investments.

Our website is designed to help make your life easier. At [usbank.com](http://usbank.com) you'll find account information, plus research and tools — everything you need to connect to your investments any time, anywhere. The site is intuitive and easy to navigate and convenient for you to review your account, and access market information and investor education. And it's available to you from your home, work, or phone — whenever it's convenient for you!

- View account information, including account asset allocation and unrealized and realized gains/losses
- Access educational material and financial calculators
- Obtain real-time quotes, market news, and research
- Trade stocks, mutual funds, and options
- Access the site via your mobile device (standard data charges by your mobile service provider may apply)
- Create watch lists, view options chains, screen stocks, and mutual funds
- Download activity to Quicken® and Excel®
- Access statements, order confirmations, and 1099s

## Two easy ways to invest

All U.S. Bancorp Investments, Self Directed brokerage clients have two different investing options from which to choose:

### Trades placed online at [usbank.com](http://usbank.com)<sup>1</sup>

- Equities, exchange-traded funds (ETF) and closed-end funds: \$8.95 per order
- Options: \$8.95 per order plus \$1.00 per contract
- Mutual funds:
  - No load, no transaction fee funds<sup>2</sup>: \$0.00
  - No load, transaction fee funds: \$25.00 per transaction
  - Funds with sales loads: subject to applicable sales charges according to the prospectus

### Trades placed through U.S. Bancorp Investments connect financial consultants<sup>1</sup> **800.888.4700**

24 Hours a day, 365 days a year

- \$25.00 plus online commission rate (shown above) for Financial Consultant assistance

[usbank.com](http://usbank.com)

Investment products and services are:

**NOT A DEPOSIT • NOT FDIC INSURED • MAY LOSE VALUE • NOT BANK GUARANTEED • NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY**

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**Additional fees**

Cash and stock extensions .....	\$15 per occurrence
Wire transfers .....	\$25 per transfer domestic
Returned checks .....	\$25 per occurrence
Annual account fee <sup>3</sup> .....	\$40 per account
Annual IRA fee .....	\$40 per account
Certificate re-registration <sup>4</sup> .....	\$45 minimum per issue
Certificate deposit/withdrawal .....	\$45 per issue
Account transfers and IRA closeout fee .....	\$75 per account
Electronic transfer return fee .....	\$25 per occurrence

**Bonds and government securities**

Transactions where U.S. Bancorp Investments is acting as principal may include a markup or markdown (with no additional commission charge). Transactions in U.S. government securities, where U.S. Bancorp Investments acts as agent, carry a fee of \$50.00 per transaction.

**Load mutual funds/unit investment trusts/  
variable annuities**

Subject to applicable sales charges and/or redemption fees as stated in the prospectus. Investors should consider an investment's objectives, risks, charges, and expenses before investing. Please read the prospectus before investing. Minimum purchase requirements vary.

**Foreign equities**

A clearing fee of \$75.00 will be added to the underlying base commission (Canadian issues excluded) for buy or sell transactions. Additional fees may apply for special or research items. (Fees subject to change without prior notice.)

**Enroll or login at [usbank.com](http://usbank.com)**

<sup>1</sup> Additional fees may apply; see the Additional Fees section for details.

<sup>2</sup> You can purchase and redeem shares of a No Transaction Fee fund without paying a transaction fee because the fund (or its advisors or other service provider) pays U.S. Bancorp Investments, Inc. a fee based on a percentage of the fund assets held by shareholders. This covers the costs of providing shareholder services to shareholders. The amount of the asset-based fee may differ based on various factors, which may impact performance.

<sup>3</sup> An Annual Account Fee may be assessed to non-IRA accounts when no trade activity occurred within the prior calendar year.

<sup>4</sup> Additional re-registration fees may be charged by the transfer agent.

Investment products and services are available through U.S. Bancorp Investments, the marketing name for U.S. Bancorp Investments, Inc., member FINRA and SIPC, an investment adviser and a brokerage subsidiary of U.S. Bancorp and affiliate of U.S. Bank.

Insurance products are available through various affiliated non-bank insurance agencies, which are U.S. Bancorp subsidiaries. Products may not be available in all states. CA Insurance License# OE24641.