



ARGONAUT SECURITIES PTY LIMITED

Stockbroking Schedule of Charges

ABN 72 108 330 650
AUSTRALIAN FINANCIAL SERVICES LICENCE NO. 274099
ASX & CBOE MARKET PARTICIPANT

CONTACT DETAILS

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INFORMATION ABOUT ARGONAUT SECURITIES' SERVICES

Argonaut Securities is a wholly owned subsidiary of Argonaut Limited (ACN 109 326 418). Argonaut Securities acts in its capacity as an Australian Financial Services Licensee (No. 274099) under the Corporations Act 2001 (Cth) ("Corporations Act") when providing financial services through its Representative (your Adviser).

Argonaut Securities is also a Market Participant of the Australian Securities Exchange ("ASX") and Cboe Australia Pty Ltd ("Cboe"). Argonaut Securities will execute your transactions in equities and/or exchange traded derivatives on the ASX or Cboe. Argonaut Securities has an agreement with FinClear Services Pty Ltd ("Argonaut Clearer") ABN 60 136 184 962 and AFSL 338264 to settle and clear all ASX and Cboe transactions for and on behalf of Argonaut Securities. Argonaut Clearer is not a related company of Argonaut Securities. Argonaut Clearer has direct access to ASX Clear Pty Ltd, Australia's clearing facility and central counterparty for securities listed on ASX, and to ASX Settlement Pty Ltd, the operator of CHESS (Clearing House Electronic Sub Register System). If you place an Order with Argonaut Securities in relation to financial products traded on the ASX or Cboe, you will also become a client of Argonaut Clearer.

This arrangement, whereby transactions executed by Argonaut Securities on your behalf are settled by Argonaut Clearer, is commonplace in the Australian securities markets. It allows Argonaut Securities to focus on servicing your advisory and trading execution needs rather than diverting its resources to facilitate settlements as well.

Nonetheless, as a General Clearing Participant of ASX, Argonaut Clearer is generally regulated by the same laws and rules as Argonaut Securities. As part of its settlement obligations, Argonaut Clearer also administers our clients' funds. This includes maintenance of trust accounts as well as receipt and payment of settlement money.

Your primary point of contact will be your Adviser who is a Representative of Argonaut Securities. His or her Adviser code will appear on your Transaction Confirmations.

Your Adviser will be acting on behalf of Argonaut Securities. Argonaut Securities is responsible for any advisory or dealing services that your Adviser provides to you. (It is Argonaut Securities that is therefore ultimately responsible to you for any advisory or dealing services your Adviser provides).

Argonaut Securities ensures your Adviser holds the necessary competency accreditations to provide the advisory and dealing services you require.

INFORMATION ABOUT FEES OR ANY OTHER BENEFITS PAYABLE TO ARGONAUT SECURITIES AND/OR ANY ASSOCIATES

As a 'wholesale' client of Argonaut Securities, it is important that you understand the fees and charges payable when using Argonaut Securities' services. Please read the information below, which sets out our fees and charges.

If you have any questions about your brokerage fees, we encourage you to speak to your Adviser.

BROKERAGE AND FEES

IMPORTANT NOTES

- A Brokerage fee is payable on all domestic and international equities and derivatives and applies to buy and sell orders.
- All brokerage attracts GST.
- Subject to minimum amounts per transaction detailed below, the brokerage charges are usually calculated as a percentage of total consideration of each transaction.
- In addition to brokerage charges, additional electronic exchange fees may apply for some international exchanges, particularly in the United States. Please refer to the website of the relevant exchange website for details of these charges.
- The minimum standard brokerage fees charged for transactions that do not require manual intervention, e.g. linked banking and Argonaut CHESS holdings ('Straight-through processing', or 'STP') is less than those charged for those transactions that require manual intervention, e.g. Bpay payments and delivery of SRN for settlement of sales ('non-STPs').
- The rates disclosed below are our maximum chargeable rates.

EQUITIES

Our standard brokerage charges per transaction are as follows:

| TRANSACTION VALUE | FEE – STP AND NON-STP |
|-----------------------------|--|
| Up to \$5,500 | \$121 (STP) or \$132 (non-STP) (including GST) |
| Between \$5,501 – \$15,000 | 2.0% of the transaction value |
| Between \$15,001 – \$50,000 | 1.5% of the transaction value |
| Over \$50,000 | Negotiable |

All ASX and Cboe security trading must be settled within T+2 (date of trade plus two business days). All US and Canadian trades must be settled within T+1 (date of trade plus one business day). All Argonaut Securities' confirmation notes clearly specify the relevant settlement date, and that payment is due by the settlement date.

LATE SETTLEMENTS

In circumstances where a trade fails to settle on the required settlement date, Argonaut Securities may charge:

- Initial fail fee of \$55 (including GST)
- Dishonour fee of \$55 (including GST).

Argonaut Securities may also charge interest on failed buys. The relevant interest rate will be RBA +8%.

If the ASX imposes fail fees in relation to a late or failed settlement, this may be passed on to you. You will be advised of the ASX levied fail fee before it is processed.

ADMINISTRATION FEES

Argonaut Securities may also charge the following fees:

| FEE TYPE | FEE (INCLUDING GST) |
|---|--------------------------|
| Off Market Transfer ('OMT') (Broker to Broker HIN Transfer) | \$27.50 |
| OMT (External HIN to Argonaut) | \$33.00 |
| OMT (HIN to HIN) | \$33.00 |
| OMT (3rd Party on Security Reference Number [SRN]) | \$55.00 |
| SRN to HIN conversion (international) | \$33.00 |
| SRN to HIN conversion (domestic) | \$5.50 |
| Real-Time Gross Settlements Payments | \$55.00 |
| International Payments | \$55.00 |
| SRN Enquiry and SRN Holding Balance Enquiry (12A) (non-STP) – conducted by Argonaut Clearer | \$27.50 |
| SRN Enquiry and SRN Holding Balance Enquiry (STP) | \$5.50 |
| Participant Identification Number (PID) Enquiry | \$27.50 |
| HIN Cancellation (STP and non-STP Fee) | \$5.50 |
| PID Enquiry (plus broker-to-broker fee) | \$55.00 |
| Mailed trade confirmation | \$5.50 |
| Exchange Trading Options (ETO) – Transaction Fee | \$16.50 |
| ETO Collateral Lodgement Fee | \$5.50 |
| Third Party Provider Fee – Fixed Monthly Fee | \$220.00 |
| Third Party Provider Fee – Per Trade Confirmation | \$2.20 |
| Other specific third-party fees | On charged as per usage. |

INTERNATIONAL FEES

| FEE TYPE | FEE (INCLUDING GST) |
|--|---|
| Argonaut Brokerage | 1.5% with \$420 minimum |
| International broker charges | 0.04 – 0.05%, > 1% for special situations |
| Canadian deposit fee for Direct Registration Scheme (DRS) value less than \$30,000 | Approx \$250 |
| Certificate rejections | \$100 per certificate |
| International transfer out of Custody | Power of Attorney (POA), minimum \$500 |
| Dividend income manual payment disbursements | \$10 per dividend excluding bank fees |
| Minimum order value | > \$25,000 for purchases > \$5,000 for sales |
| Custody management fee p/m | 0.1% for value > AU\$100,000 |
| Electronic transfer in 'Free of Payment' (FOP) from custodian | \$30 |
| Proxy Vote | \$100 |

REFERRALS FROM SELL MY SHARES

| FEE TYPE | FEE (INCLUDING GST) |
|--|--|
| Argonaut Brokerage | 2% with \$450 minimum |
| Dividend income manual payment disbursements | \$30 per dividend |
| Holding fee | \$0.00 for first 3 months, then \$50 p/m per stock |

For further information on these fees please contact your Argonaut Adviser or our Client Services Team.