

# ALARIC SECURITIES OOD

## PRICING

In force from 04.12.2023\*  
Approved by the directors on 03.11.2023

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## **Part I**

### **10n PRICING**

## 1. 10n TRADING FEES

<b>Commission</b>	0%
<b>Maintenance</b>	\$0
<b>Short Selling Interest</b>	6%

## 2. 10n NON-TRADING FEES

<b>Deposit</b>	
<b>Wire Transfer</b>	\$1
<b>EU Debit cards</b>	0.68%
<b>EU Credit cards</b>	1.08%
<b>Non-EU and Business Cards</b>	1.98%
<b>Minimum Deposit</b>	No minimum deposit

<b>Withdrawal</b>	
<b>Wire Transfer</b>	\$6

Your bank may charge you for currency conversion and transfer fees. Card withdrawals are not available yet.

## 3. REGULATORY FEES

<b>TAF</b>	USD \$ 0.000145 * Quantity sold, max \$7.27 per trade
<b>SEC</b>	\$ 0.000008 * Sale trade dollar value

The SEC and FINRA Trading Activity Fee (TAF) are regulatory fees charged on the sale of any security. These fees are automatically debited from the proceeds of any security sale. All regulatory fees are pass-through and are charged separately. Be advised that these fees are subject to changes retroactively and without a prior notice. The rates above are indicative and apply at the time of updating the current pricing.

## **Part II**

### **ELECTRONIC EXECUTION (Hammer, Sterling, Lightspeed)**

## 1. COMMISSIONS

### 1.1. STOCKS & ETFs

Monthly Volume (shares)	Per Share Rate
Over 20,000,001	\$0,0010
15,000,001 - 20,000,000	\$0,0013
6,000,001 - 15,000,000	\$0,0015
3,000,001 - 6,000,000	\$0,0017
1,000,001 - 3,000,000	\$0,0020
250,001 - 1,000,000	\$0,0030
Under 250,000	\$0,0035
Hammer Lite and Hammer Lite+	\$0 commission

### 1.2. OPTIONS

Monthly Volume (contracts)	Per Contract Rate
Over 50,000	\$0,25
10,001-50,000	\$0,30
2,001-10,000	\$0,40
501-2,000	\$0,50
Under 500	\$0,60
Per trade fee* =\$1 minimum only if trading <500c/m	No fees
Hammer Lite and Hammer Lite+	\$0 commission

## 2. PLATFORM & API ACCESS FEES

### 2.1. Platforms

Platform	Rate Per Month
Hammer Lite	Free
Hammer Lite+	\$14.95
Hammer	\$29.95
Hammer Risk Manager	Free of charge
Sterling Trader Pro	\$175.00
Sterling Trader Manager	\$305.00
Sterling Trader Options	\$30.00
Sterling LST	\$175.00
Sterling LST Manager	\$400.00*

\* Sterling LST Manager includes full market data package.

### 2.2. WebSocket API

Monthly volume (shares)	Setup fee	Per Month
Under 500,000	\$350	free
Over 500,001		\$350

Additional conditions:

1. Active Traders Commission Schedule - clients who meet monthly trading volume thresholds qualify for our Active Traders Commission Schedule. Once your account is set to Active Trader Commission rate, you will be charged the rate applicable to the higher tier in the current month.

For example, if you trade over 1,000,000 shares per month and qualify for the \$0.0020 per share rate, you will be charged only \$0.0020 per share on all shares traded, not just those in excess of 1,000,000 in the same month.

2. All rates are subject to ongoing review and may be increased if clients fail to meet the trade/share thresholds listed above.
3. Call-in and margin call trades are charged an additional \$30 per ticket.
4. All stock/ETF pricing listed in this part of the Pricing applies to exchange traded equities only.
5. Commissions apply to all order types. For customers who send an extraordinary number of non-marketable limit orders to the NYSE, Nasdaq, Amex or other exchanges, and who route such orders direct, rather than using Alaric Trader Smart routing, Alaric reserves the right to impose a surcharge in order to defray specialist order handling charges. In this event, Alaric will provide notice to affected customers.
6. Blue Sheet Fee. When Alaric Securities receives a request to explain client suspicious trading in a specified symbol, the client will be charged \$400 per account per symbol per event.
7. All charges are exclusive of value added tax (VAT). VAT is charged when applicable based on client's country of residence.

### 3. REGULATORY AND EXCHANGE FEES

Fee	Rate	Additional Details
<b>SEC</b>	\$ 0.000008	Multiply this amount by the principal amount sold
<b>FINRA: TAF</b>	\$ 0.000145 per share, max \$7.27 per trade  \$ 0.00244 per option contract	Covers sales of exchange registered securities whenever executed. Multiply this amount by the number of shares/options sold
<b>Options ORF</b>	\$ 0.0431	Multiply this rate by the number of options contracts traded
<b>NSCC</b>	\$0.00003 per share, min \$0.009 – max \$0.18	

All regulatory fees are pass-through and are charged separately. Be advised that these fees are subject to changes retroactively and without a prior notice. The rates above are indicative and apply at the time of updating the current pricing.

Exchange and ECN fees are charged separately based on exchange flags and on whether they are adding or removing liquidity on the relevant venue. These fees are pass-through and are subject to the venue's pricing including the tiers applicable to Alaric. Where applicable and at the rates mentioned above, rebates are passed down to the client.



## 4. MARKET DATA

### 4.1. INDIVIDUAL MARKET DATA FEEDS

Market Data Feed	Non-Pro	Pro
NYSE Level 1	\$4.70	\$52.00
AMEX Level 1	\$4.70	\$52.00
NYSE ARCA Book	\$17.30	\$63.90
NYSE Open Book (NYSE Level 1 required)	\$28.90	\$63.90
NASDAQ Level 1	\$4.70	\$46.60
NASDAQ Total+Open View (NASDAQ Level 1 Required)	\$22.30	\$108.00
NYSE American Openbook (AMEX Level 2; AMEX Level 1 required)	\$4.70	\$16.80
BATS Book	\$9.20	\$61.10
EDGX Book	\$11.70	\$54.30
EDGA Book	\$5.00	\$17.00
OTC Markets (Pink Sheets) Level 1	\$9.30	\$41.20
OTC Markets (Pink Sheets) Level 2	\$24.20	\$96.50
NYSE Alerts	\$3.90	\$3.90
Arca Alerts	\$2.00	\$5.20
DJ Indices (Sterling LST Only)	\$3.50	\$5.00
Charged Indices (Sterling LST Only)	\$92.60	\$92.60
Unbundled News Fee (Sterling LST Only)	\$12.50	\$12.50
Basic CCS Business wire*	\$41.20	\$41.20

\*Basic Package includes PR Newswire, Market Wire, Globe NewsWire, OMX, Business Wire, Investor's Business Daily, and United Press International.

### 4.2. INDICES

Market Data Feed	Non-Pro	Pro
NASDAQ GIDS	\$3.60	\$4.70

<b>Dow Jones Indices</b>	\$22.50	\$37.70
<b>CBOE MDX Indices</b>	\$6.10	\$6.10

### 4.3. OPTIONS

<b>Market Data Feed</b>	<b>Non-Pro</b>	<b>Pro</b>
<b>OPRA</b>	\$6.10	\$54.00
<b>Options (Sterling LST Only)</b>	\$6.10	\$54.00

Market data fees and rates are subject to changes without a prior notice due to many reasons such as insufficient or incomplete data and/or changes provided by the ECNs or exchanges.

All charges are exclusive of value added tax (VAT). VAT is charged when applicable based on client's country of residence.

## 5. MARGIN INTEREST

### 5.1. LONG MARGIN INTEREST

**Long Margin Interest:** On Margin Accounts, Leverage interest is based on Secured Overnight Financing Rate (SOFR), but not less than 200 bps, plus mark-up:

<b>Debit Balance (\$)</b>	<b>Mark-up</b>
<b>0 – 499,999.99</b>	395bps
<b>500,000 – 999,999.99</b>	375bps
<b>1,000,000 - 19,999,999.99</b>	325bps
<b>20,000,000 - 49,999,999.99</b>	275bps
<b>50,000,000 +</b>	175bps

Long margin interest is charged daily on the cost of open long positions.

**Leverage:**

Margin Accounts below \$100,000 are customarily extended a 6:1 intraday and 2:1 overnight leverage. Often, we may extend a higher leverage (up to 30:1 on intraday and 6:1 on overnight positions).

Margin Accounts over \$100,000 are customarily extended a 8:1 intraday and 4:1 overnight leverage. Often, we may extend a higher leverage (up to 40:1 on intraday and 10:1 on overnight positions).

Alaric Securities does not pay interest on cash balances in Cash or Margin Accounts.

## **5.2. SHORT MARGIN INTEREST**

**Short Margin Interest** is calculated depending on stock availability and prevailing prime brokers' interest rates.

## **Part III**

### **BROKER ASSISTED EXECUTION**

## BROKER ASSISTED EXECUTION

<b>Transactions in financial instruments outside those in part I. <i>Electronic Execution</i></b>	<b>Commission</b>	<b>Minimum per order</b>
<b>Debt securities incl. government bonds</b>	0.15% of trade value	0.50 EUR
<b>Stocks/ETFs traded in EUR</b>	1.00% of trade value	30 EUR
<b>Stocks/ETFs traded in USD</b>	0.0045 USD per share	10 USD
<b>Options in USA</b>	3.5 USD per contract	10 USD
<b>Structured products</b>	Negotiable	
<b>Execution of a complex investment strategies (e.g. simultaneous purchase and/or sale of more than one financial instrument, and other similar strategies)</b>	2.50% of trade value	
<b>Commission upon maturity of Government Bonds</b>	0.15% of the nominal value of held Government Bonds	

**Part IV**  
**DEPOSITS AND WITHDRAWALS**

## 1. WIRE TRANSFERS

	Deposit			Withdrawal		
	EUR	USD	BGN	EUR	USD	BGN
Fee	zero	zero fee for amount up to 5,000 USD or 29 USD fee for higher amounts	zero	1 EUR for withdrawals from investments in Government bonds on alaric.bg  3.5 EUR for amount up to 25,000 EUR or 7 EUR fee for higher amounts	0.15% from the amount min 30 USD max 150 USD	1.2 BGN or 12 BGN for RINGS transfers and amounts from 100 000 BGN

## 2. NETELLER

*This payment method will be available soon.*

Deposits – **2,75% from the amount, minimum \$1.10**, excluding deposits from the following countries:

Deposit Fee	Countries
<b>3.85%</b> min \$1.1	Albania, Argentina, Armenia, Azerbaijan, Bangladesh, Belarus, Bosnia-Herzegovina, Bulgaria, Chile, Costa Rica, Croatia, Cyprus, Estonia, Greece, Hungary, Iceland, Latvia, Lithuania, Republic North Macedonia, Moldova, Montenegro, Peru, Romania, Serbia, Seychelles, Slovenia, Tunisia, Uruguay, Venezuela

Withdrawals – **1.10% from the amount, minimum \$1.10, maximum \$11**, excluding withdrawals from the following countries:

Withdrawal Fee	Countries
<b>2.20%</b> min \$1.1 max \$11	Taiwan

### 3. CREDIT/DEBIT CARD

Card	Card product	Cards issued in the EU	Cards issued outside of the EU
<b>Maestro</b>	debit	0.68%	1.98%
	credit	0.68%	1.98%
<b>VisaElectron</b>	debit	1.08%	1.98%
	business	1.98%	1.98%
<b>VISA</b>	debit	0.68%	1.98%
	credit	1.08%	1.98%
	business	1.98%	1.98%
<b>MasterCard</b>	debit	0.68%	1.98%
	credit	1.08%	1.98%
	business	1.98%	1.98%
<b>Bcard</b>	debit	0.68%	

**Transaction Limits:**

Max. 5,000 USD



**Part V**

**CUSTODY AND OTHER SERVICES**

## CUSTODY AND OTHER SERVICES

Service	Fee
Custody and safekeeping of financial instruments	0,10% on the asset value per annum
Keeping of client funds	0,5% on the funds value per annum
Portfolio management	Negotiable
Advice	Negotiable
<b>Other</b>	
Sending documents by post	According to the post/courier tariff

**All charges are exclusive of value added tax (VAT). VAT is charged when applicable based on client's country of residence.**

**Alaric Securities OOD reserves the right to negotiate with clients on different commissions as well as to amend this Pricing in the event of change in the market conditions or the relevant Tariffs of its partner institutions.**

**Part VI**

**CASH PLUS PROGRAM**

## CASH PLUS PROGRAM

Clients may receive interest on positive cash balances in EUR and USD based on the benchmarks (BM):

- Secured Overnight Financing Rate (SOFR) for US dollars;
- Euro short-term rate (€STR) for euro.

Cash Balance (USD or EUR)	Interest rate in USD	Interest in EUR
Up to 5,000	0,00	0,00
5,001 - 20,000	BM - 330 bps	BM - 225 bps
20,001 - 50,000	BM - 300 bps	BM - 200 bps
50.001 - 100,000	BM - 190 bps	BM - 165 bps
Over 100,001	BM - 120 bps	BM - 100 bps

Alaric Securities OOD is not a bank. Any funds that you place with us are for the purpose of dealing or investing in financial instruments, in accordance with our respective customer agreement and General Terms and Conditions. When we pay the interest received on funds that you place in your account with us, this is incidental to our brokerage business and a benefit to you, and does not constitute a representation that we are carrying on a banking business. For further details, please see our website [www.alaricsecurities.com](http://www.alaricsecurities.com).

The Cash Plus Program is not available to accounts with individual pricing and terms that differ from any term of the current Pricing. The Program does not apply to accounts under portfolio management agreement.

The Cash Plus Program shall be suspended to a client that has no transactions in financial instruments in its brokerage account for a period of one calendar year.

Alaric Securities may suspend the Cash Plus Program at any time and without prior notice.

# ANNEX I

## Costs and charges illustrations

Examples of costs and charges for the services in this Pricing are shown below. Although these examples are based on actually incurred costs (or reasonable estimations of such costs) as a proxy for expected costs and charges, actual costs and charges incurred in respect of any future transaction may be different. However, Alaric Securities does not anticipate spikes or fluctuations in the costs in the near future.

### 1. Electronic executions – transactions via trading platform

#### Equities

##### Assumptions

Initial Investment	\$10,000.00
Number of stocks traded	2,000.00
Rate of Return	10.00%
Gross End Value	\$11,000.00

##### Service Costs

		Buy	Sell	
Trade related costs	Commission	-\$3.50	-\$3.50	
	SEC		-\$0.09	
	TAF		-\$0.15	
	NSCC		-\$0.03	
	ECN*	-\$3.30	-\$3.30	
	Processing fee		-\$0.16	
<b>Total trade costs</b>		<b>-\$6.80</b>	<b>-\$7.23</b>	<b>-\$14.03</b>

Ongoing charges	Interest**	-\$19.44
	Platform	-\$165.00
	Market data	-\$12.00
	<b>Total ongoing charges</b>	<b>-\$196.44</b>

One-off charges	Deposit fee	-\$29.00
	Withdrawal fee	-\$30.00
	<b>Total one-off charges</b>	<b>-\$59.00</b>

<b>Total Charges</b>	<b>-\$269.47</b>
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##### Net return

Gross Return	\$1,000.00
Minus Total Charges	\$730.53
Net End Value	\$10,730.53
Net Rate of Return on Investment	7.31%
<b>Cumulative effect of costs on return</b>	<b>-2.69%</b>

\*Exchange and ECN fees are charged separately based on exchange flags and on whether they are adding or removing liquidity on the relevant venue. In this example the buy and sell orders are removing liquidity from Nasdaq.

\*\*Position is closed in 10 days

## Options

### Assumptions

Initial Investment	\$10,000.00
Number of contracts traded	1,000.00
Rate of Return	25.00%
Gross End Value	\$12,500.00

### Service Costs

		Buy	Sell	
Trade related costs	Commission	-\$451.00	-\$451.00	
	SEC		-\$0.10	
	TAF		-\$0.07	
	ORF		-\$21.55	
	ECN	-\$475.00	-\$475.00	
	Processing fee		-\$0.19	
	Total trade costs	-\$926.00	-\$947.91	-\$1,873.91

Ongoing charges	Platform	-\$195.00
	Market data	-\$4.00
	Total ongoing charges	-\$199.00

One-off charges	Deposit fee	-\$29.00
	Withdrawal fee	-\$30.00
	Total one-off charges	-\$59.00

Total Charges	-\$2,131.91
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### Net return

Gross Return	\$2,500.00
Minus Total Charges	\$368.09
Net End Value	\$10,368.09
Net Rate of Return on Investment	3.68%
<b>Cumulative effect of costs on return</b>	<b>-21.32%</b>

## 2. Broker assisted executions

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### Equities in EUR

#### Assumptions

Initial Investment	€ 10,000.00
Number of stocks traded	2,000.00
Rate of Return	10.00%
Gross End Value	€ 11,000.00

#### Service Costs

		Buy	Sell	
Trade related costs	Commission	-€ 100.00	-€ 110.00	
	Third party commission	-€ 15.00	-€ 16.50	
	Total trade costs	-€ 115.00	-€ 126.50	-€ 241.50

Ongoing charges	€ 0.00
Total ongoing charges	€ 0.00

One-off charges	Deposit fee	€ 0.00
	Withdrawal fee	-€ 3.50
	Total one-off charges	-€ 3.50

Total Charges	-€ 245.00
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#### Net return

Gross Return	€ 1,000.00
Minus Total Charges	€ 755.00
Net End Value	€ 10,755.00
Net Rate of Return on Investment	7.55%
<b>Cumulative effect of costs on return</b>	<b>-2.45%</b>



## Equities in USD

### Assumptions

Initial Investment	\$10,000.00
Number of stocks traded	2,000.00
Rate of Return	10.00%
Gross End Value	\$11,000.00

### Service Costs

		Buy	Sell	
Trade related costs	Commission	-\$10.00	-\$10.00	
	Third party commission	-\$3.50	-\$3.50	
	Total trade costs	-\$13.50	-\$13.50	-\$27.00

Ongoing charges		\$0.00
Total ongoing charges		\$0.00

One-off charges	Deposit fee	-\$29.00
	Withdrawal fee	-\$30.00
	Total one-off charges	-\$59.00

Total Charges	-\$86.00
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### Net return

Gross Return	\$1,000.00
Minus Total Charges	\$914.00
Net End Value	\$10,914.00
Net Rate of Return on Investment	9.14%
<b>Cumulative effect of costs on return</b>	<b>-0.86%</b>

## Bonds

### Assumptions

Initial Investment	€ 100,000.00
Number of bonds traded	200.00
Rate of Return	10.00%
Gross End Value	€ 110,000.00

### Service Costs

		Buy	Sell	
Trade related costs	Commission	-€ 15.34	-€ 15.34	
	Third party commission	-€ 50.00	-€ 55.00	
	Total trade costs	-€ 65.34	-€ 70.34	-€ 135.68

Ongoing charges	€ 0.00
Total ongoing charges	€ 0.00

One-off charges	Deposit fee	€ 0.00
	Withdrawal fee	-€ 7.00
	Total one-off charges	-€ 7.00

Total Charges	-€ 142.68
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### Net return

Gross Return	€ 10,000.00
Minus Total Charges	€ 9,857.32
Net End Value	€ 109,857.32
Net Rate of Return on Investment	9.86%
<b>Cumulative effect of costs on return</b>	<b>-0.14%</b>