

# Brokerage Fee Schedule

At Kraken Securities LLC, our mission is to provide general brokerage services for free. However, there are some services used by our customers that cannot be provided for free because there is a direct cost associated with those services, that is, the service is not shared among all of our clients. Even in those instances, Kraken will strive to provide the service at the lowest possible price to ensure that our clients benefit from low costs and we can continue to offer those services.

## Regulatory Fees

Kraken Securities LLC charges you a transaction fee on certain securities transactions which are subject to fees assessed by self-regulatory organizations, securities exchanges, and or government agencies. The fee is based on the value of covered securities transactions. To determine the exact amount of this fee with respect to any transaction, please contact [support@kraken.com](mailto:support@kraken.com).

## Equities

|                                                                   |                                        |
|-------------------------------------------------------------------|----------------------------------------|
| <b>Section 31 / SEC Fee</b>                                       | \$0.00002780 (\$27.80 per \$1,000,000) |
| <b>FINRA Trading Activity Fee (TAF)</b>                           | \$0.000166 / per share *Max of \$8.30  |
| <b>*The transaction fees are rounded up to the nearest penny.</b> |                                        |

## Options \*Once available

|                                                                                  |                                                                                                        |
|----------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|
| <b>Trading Activity Fee (TAF)</b><br>Sells only                                  | \$0.00279 per contract<br><b>Charged by FINRA</b>                                                      |
| <b>Options Regulatory Fee (ORF)</b><br>Buys and sells                            | \$0.02685 per contract<br><b>Charged by Option Exchanges</b>                                           |
| <b>Options Clearing Corporation (OCC)</b><br>Buys and sells up to 2750 contracts | \$0.02 per contract capped at \$55 per trade<br><b>Charged by Options Clearing Corporation</b>         |
| <b>Options Clearing Corporation (OCC)</b><br>Buys and sells over 2750 contracts  | \$55.00 per trade<br><b>Charged by Options Clearing Corporation</b>                                    |
| <b>Regulatory Transaction Fee</b><br>Sells only                                  | \$0.0000278*Total \$ Trade Amount (Min \$0.01)<br><b>Charged by Securities and Exchange Commission</b> |

## FINRA CAT Fees

The CAT fee is calculated based on transaction volume and applies to both equity and options trading activities. For options, the fee is typically assessed per executed equivalent share. Since one listed option contract generally represents 100 shares, the CAT fee for options is calculated accordingly. The CAT Fee rate is based on executed equivalent shares. Current fee structure is: Fee calculation is based on: **Fee \* Executed Equivalent shares = CAT Fee**

|                       |                                     |
|-----------------------|-------------------------------------|
| <b>Equities (NMS)</b> | \$0.000053 per share (1:1 ratio)    |
| <b>Equities (OTC)</b> | \$0.000053 per share (1:0.01 ratio) |
| <b>Options</b>        | \$0.000053 per equivalent share     |

## ADR Fee

|                                                                    |                            |
|--------------------------------------------------------------------|----------------------------|
| <b>American Depositary Receipts (ADRs)<br/>(Pass-through fees)</b> | \$0.01 to \$0.03/Per Share |
|--------------------------------------------------------------------|----------------------------|

## Miscellaneous Fees

### Position Transfers

|                                |                                 |
|--------------------------------|---------------------------------|
| <b>ACATS Transfer Out</b>      | \$25/ Full or partial ACAT      |
| <b>ACATS Transfer In</b>       | \$0 / Full or partial ACAT      |
| <b>DWAC (Outgoing)</b>         | \$150 per security              |
| <b>DWAC (Incoming)</b>         | \$150 per security              |
| <b>DWAC Reject</b>             | \$100 per reject                |
| <b>DRS (Outgoing)</b>          | \$100 per security              |
| <b>DRS (Incoming)</b>          | \$100 per security              |
| <b>DRS Reject</b>              | \$150 per reject                |
| <b>DTC Transfer (Outgoing)</b> | \$5 per security per submission |
| <b>DTC Transfer (Incoming)</b> | Free                            |
| <b>Internal Transfer</b>       | \$0 / full or partial transfer  |



## Fully Paid Lending

|                                  |                                                                                                                          |
|----------------------------------|--------------------------------------------------------------------------------------------------------------------------|
| <b>Easy to Borrow Securities</b> | Pass through cost assessed by the lender. We do not currently add a markup but reserve the right to do so in the future. |
| <b>Hard to Borrow Securities</b> | Not currently available.                                                                                                 |

## Other

|                                               |                              |
|-----------------------------------------------|------------------------------|
| <b>Voluntary Corporate Actions Processing</b> | \$100 per event, per account |
|-----------------------------------------------|------------------------------|

The content of this document is for general information only and is believed to be accurate and reliable as of posting date but may be subject to change. Kraken reserves the right to charge additional fees if it is determined that order flow is non-retail in nature.

**Revised July 1, 2026**