

Defines maximum value Registered Representative is allowed to enter on an order ticket. All grid cells specified in dollars per bond (\$/bond) and represent maximum markup. Expressed in dollars per \$1000 (1M) face (i.e. Purchase of \$50,000 of a 15 year corporate or muni, maximum allowable sales credit is \$875. This is calculated by multiplying the 50 bonds by \$17.50). **Overriding minimum per bond trade is \$40.00.**

		Maturity						
QUANTITY	Corporate & Muni	< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs	
		1 to 99		5.000	10.000	17.500	17.500	20.000
	100 TO 249		3.750	7.500	15.000	15.000	20.000	
	250 TO 499		2.500	7.500	10.000	12.500	20.000	
	500 OR MORE		2.500	5.000	7.500	10.000	20.000	
	GSE	< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs	
	1 to 99		3.750	5.000	10.000	15.000	15.000	
	100 TO 249		1.250	2.500	7.500	15.000	15.000	
	250 TO 499		1.250	2.500	6.250	15.000	15.000	
	500 OR MORE		1.250	1.250	5.000	10.000	15.000	
	Treasury	< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs	
	1 to 99		3.750	5.000	10.000	15.000	15.000	
	100 TO 249		1.250	2.500	7.500	15.000	15.000	
	250 TO 499		1.250	2.500	6.250	15.000	15.000	
	500 OR MORE		1.250	1.250	5.000	10.000	15.000	
	MBS (includes CMOs, Pass Thrus, Asset Backed Securities, and TIPS)							
		< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs	
	1 to 99		5.000	10.000	17.500	17.500	20.000	
	100 TO 249		3.750	7.500	15.000	15.000	20.000	
	250 TO 499		2.500	7.500	10.000	12.500	20.000	
	500 OR MORE		2.500	5.000	7.500	10.000	20.000	
	CD	< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs	
			2.500	3.750	5.000	6.250	7.500	
	Non-Treasury Zeros	< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs	
	1 to 99		5.000	8.500	13.130	8.750	8.000	
	100 TO 249		3.750	6.380	11.250	7.500	8.000	
	250 TO 499		2.500	6.380	7.500	6.250	8.000	
	500 OR MORE		2.500	4.250	5.630	5.000	8.000	
	Treasury Strips	< 1 Year*	1 - 2.99 Yrs	3 - 4.99 Yrs	5 - 9.99 Yrs	10 - 19.99 Yrs	>= 20 Yrs	
	1 to 99		3.750	4.250	7.500	7.500	6.000	
	100 TO 249		1.250	2.130	5.630	7.500	6.000	
	250 TO 499		1.250	2.130	4.690	7.500	6.000	
	500 OR MORE		1.250	1.060	3.750	5.000	6.000	
	< 1 Year*							
	Month	1	2	3	4	5	6 - 12	
	% of Principal	0.015625	0.046875	0.0625	0.0875	0.125	0.125	