

## Commission & Fee Schedule – Self-Advisory Online Accounts

### Stock, Exchange Traded Fund (ETF), Option and Mutual Fund Trades

Type of Order	Price
Stock/ETF Trades - Priced less than \$1, unlimited number of shares	\$29.95
Stock/ETF Trades - Priced at \$1 or greater, 0 - 4,999 shares	\$14.95
Stock/ETF Trades - Priced at \$1 or greater, 5,000 shares or more	\$0.01 per share
Option Trades	\$20 + \$1.75 per contract (\$29 minimum)
No Load Mutual Funds	\$25—\$35
Load Mutual Funds	See Prospectus
Broker-assisted trades (in addition to regular commission)	\$15.00
<b>Miscellaneous Fees</b>	
Annual Custodial Fee (Inactive Account) - Hold securities positions without trades	\$50.00
Annual Custodial Fee (Inactive Account) - Mutual Fund positions only without trades	\$25.00
ACH transfer rejects	\$25.00
Annual holding fee per REIT/ limited partnership-Retirement account	\$35.00
Cash due and margin interest charges	As applicable
Direct Registration (DRS) –Outgoing/Incoming	\$25/as incurred
Employee stock option exercise (plus margin interest)	\$75.00
Extensions	\$25.00
Legal transfer	\$60.00
Mutual Fund short-term redemption fee (Pershing NTF Funds only)	\$50.00
Overnight delivery (standard)	\$12.00
Paper Confirmation Surcharge	\$ 0.75
Paper Statement Surcharge	\$ 0.75
Real time/ Delayed Quotes	No Charge
Reorganization – Mandatory	No Charge
Reorganization – Voluntary	No Charge
Restricted Securities Processing	\$75.00
Retail account transfers out	\$125.00
Retirement account maintenance fee (IRA, SEP)	\$43.50
Retirement account maintenance fee (SARSEP, Simple, QRP)	\$50.00
Retirement account termination fee	\$125.00
Returned check	\$25.00
Stock dividend reinvestment	No Charge
Stop payment on money market check	\$25.00
Stop/replace certificate	As incurred
Wired Funds	\$25.00

Other fees may apply related to other securities purchases or other services. Some fees on this list may not apply to all accounts. Client generated trade errors will be charged against the account and positions may be liquidated to cover debits. Fees are subject to change.