



**CUSTOMER FEE SCHEDULE**

**PERSHING ACCOUNT FEES (FULL SERVICE)**

|                             |  |                  |
|-----------------------------|--|------------------|
| <b>TRADE RELATED FEES</b>   | ➤ Cash Due & Margin Interest Charges   | as applicable    |
|                             | ➤ Confirmation Processing (No Charge for e-Delivery)<br>Per paper mailing on Individual, Joint, TOD & Pershing Retirement Accounts             | \$ 5             |
|                             | ➤ Employee Stock Option Exercise (plus margin interest as incurred)  | \$75             |
|                             | ➤ Margin Trade Extensions/No Load Transaction Fee (non-advisory)   | \$25             |
|                             | ➤ No Load Short Term Redemption (Pershing NTF Funds Only)  | \$50             |
|                             | ➤ REIT/BDC Transaction Processing  | \$50             |
| <b>MONEY MOVEMENT</b>       | ➤ Overnight Check (Standard Delivery)  | \$12             |
|                             | ➤ Returned Checks/Stop Pay/ACH Rejects/Wired Funds   | \$25             |
| <b>TRANSFER COSTS</b>       | ➤ Outgoing Account Transfers to Another Firm   | \$125            |
|                             | ➤ Restricted Securities Processing   | \$75             |
|                             | ➤ Stop and/or Replace Certificate  | as incurred      |
|                             | ➤ Legal Transfer   | \$60             |
|                             | ➤ Direct Registration (DRS)-Outgoing/Incoming  | \$25/as incurred |
| <b>ACCOUNT MAINTENANCE</b>  | ➤ Annual Custody Fee (Inactive Account Fee)  | \$50             |
|                             | ➤ Annual Custody Fee (Inactive Account Fee) -Mutual Fund Only  | \$25             |
|                             | ➤ Paper Statement Surcharge (No charge for e-Delivery)<br>Per paper statement mailing on Individual, Joint, TOD & Pershing Retirement Accounts | \$ .75           |
| <b>RETIREMENT FEES</b>      | ➤ Retirement Account (IRA/SEP) Maintenance   | \$43.50/annual   |
|                             | ➤ Retirement Account (SARSEP, Simple, QRP)   | \$58.50/annual   |
|                             | ➤ Retirement Account Termination   | \$125            |
|                             | ➤ Limited Partnership/REIT/BDC Annual Custody Fee:   |                  |
|                             | SEC Registered – Per Position  | \$35/annual      |
| Unregistered – Per Position | \$125/annual   |                  |

**OTHER**

Other standard fees may apply related to fixed income, physical certificate deposits, precious metals, foreign securities, asset management, check-writing, safekeeping, reorganizations /tenders, partnerships or other services. Client generated trade errors will be charged against the account and positions may be liquidated to cover debits. Fees and service costs are subject to change without prior notifications.

**FUNDVISION FEES (MUTUAL FUND PLATFORM)**

|                        |  |             |
|------------------------|--|-------------|
| <b>MONEY MOVEMENT</b>  | ➤ Returned Checks/Stop Pay/ACH Rejects | \$35        |
|                        | ➤ Overnight Check (Standard Delivery)  | \$15        |
|                        | ➤ Wired Funds                          | \$25        |
| <b>RETIREMENT FEES</b> | ➤ Retirement Account Maintenance       | \$25/annual |