

## Schedule of Ancillary Fees

02/01/2021

In an effort to defray business costs, the following fees are applied for certain services. Only customers who utilize these services will be charged the corresponding fees. Additional fees may be applied for certain services.

Service	Fee	Recurrence	Definition
ACAT Out	\$115	Per Account Transferred	Accounts that are transferred to another financial institution
DRS/DWAC Transfer – Incoming or Outgoing	DWAC\$5 DRS \$10	Per Security	Processing fee to/from transfer agent. Fees vary depending upon agent
Accommodation Transfer	\$75	Per Certificate	Transfers of stock from street name to personal certificate registration and delivery; if available
Legal Transfers	\$100	Per Certificate	Transfers/deposits requiring legal papers in addition to stock powers
Voluntary Reorganization	\$40	Per Security	Reorganizations such as tender offers, whereby a customer may elect to participate
Mandatory Reorganization	\$2	Per Security	Reorganizations such as mergers and take-overs which are mandatory
Wire Transfers - Domestic	\$20	Per Transfer	Transfer of funds to another financial institution via Federal Wire System
Wire Transfers - Foreign	\$30	Per Transfer	Transfer of funds to another financial institution via SWIFT Wire System
Check Copy	\$5	Per Check	Copy of a check from check writing
Returned Check/ACH	\$25	Per Occurrence	Checks/ACH deposited which are rejected for insufficient funds
Check Stop Payment	\$20	Per Check Stopped	Placing a stop payment on a check issued by Pershing from your brokerage account
Checkwriting/Debit Card	\$25	Yearly	Asset Management Accounts (Corestone) – basic
Account Inactivity*	\$40	Annually per Account	Fee charged annually based upon a calendar year
Account Inactivity* - Mutual Fund only	\$20	Annually per Account	Fee charged annually based upon a calendar year for accounts only owning mutual funds
IRA Maintenance	\$50	Annually per Account	Fee charged annually based on anniversary date
Mutual Fund Only IRA Maintenance	\$15	Annually per Account	Fee charged annually based on anniversary date for accounts owning only open end mutual funds
SIMPLE IRA Maintenance	\$58.50	Annually per Account	Fee charged annually based on anniversary date
SIMPLE IRA – Mutual Fund Only	\$15	Annually per Account	Fee charged annually based upon a calendar year for accounts only owning mutual funds
QUALIFIED Plans Maintenance	\$75-\$125	Annually per Account	Fee charged annually based on anniversary date
IRA Termination	\$95	Per Account	The closing or transfer of a retirement account or qualified plan
Overnight Courier	\$20	Per Occurrence	Usage of overnight services such as UPS and FedEx
PREMIERE account	\$95	Annually per Account	Enhanced feature account; speak to your financial representative for full details
Cash/Margin Extension	\$10	Per Occurrence	Fee charged for inadequate cash or margin positions
Safekeeping	\$5/\$10	Per Certificate per Month	For securities that are held at Pershing that are non-transferable. Domestic fee is \$2/Foreign fee is \$10
Paper Statement Mailing Fee	\$1.25	Per account statement	For certain account types that do not elect for paperless/e-delivery
Paper Confirmation Mailing Fee	\$1.25	Per trade confirmation	For accounts that do not elect for paperless/e-delivery
Statement/Confirm Copy	\$10	Per Item	Copy of statement or trade confirmation

*\*Inactive accounts are defined as accounts holding a security position for a calendar year (January 1 - December 31) without generating a.) a trade or b.) a free credit or margin interest of at least \$100. Mutual fund systematic reinvestments and exchanges will be considered a trade. Dividend reinvestment activity is not considered a trade. Inactive fees do not apply to retirement accounts where Pershing acts as custodian and collects fees. Accounts exclusively holding "book entry only" fixed income positions, an aggregate FundVest position of \$10,000 or more are exempt from this fee.*