

PERSHING ACCOUNT FEES (FULL SERVICE)

TRADE RELATED FEES	▶ Cash Due & Margin Interest Charges	as applicable
	▶ Confirmation Processing (No charge for e-Delivery) Per paper mailing on Individual, Joint, TOD, and Pershing Retirement Accounts	\$2.50
	▶ 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
	▶ No Load Transaction Fee (non-advisory accounts only)	\$59
	▶ REIT/BDC Transaction Processing	\$50
	MONEY MOVEMENT	▶ Overnight Check (Standard Delivery)
▶ Returned Checks/Stop Pay/ACH Rejects/Wired Funds		\$25
TRANSFER COSTS	▶ 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
ACCOUNT MAINTENANCE	▶ 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) Per paper statement mailing on Individual, Joint, TOD, and Pershing Retirement Accounts	\$0.75
RETIREMENT FEES	▶ Retirement Account (IRA/SEP) Maintenance	\$43.50/annual
	▶ Retirement Account (SARSEP, Simple, QRP)	\$58.50/annual
	▶ Retirement Account Termination	\$125
	▶ Limited Partnership/REIT/BOC Annual Custody Fee: SEC Registered - Per Position Unregistered - Per Position	\$35/annual \$125/annual
MUTUAL FUND ONLY	▶ Ticket Charge	No Charge
	▶ Inactivity Fee	\$0
	▶ Periodic Invest/Withdrawal	\$0
	▶ IRA Annual Fee	\$25
	▶ Outgoing Wire	\$25
	▶ IRA Termination	\$95
	▶ Outgoing ACAT	\$125
	▶ Paper Statement Surcharge	\$0
	▶ Trade Charges	\$0
OTHER	Other standard fees may apply related to fixed income, 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 notice.	

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