

Account Service Fees as of February 1, 2021

<u>Service</u>	<u>Fee Amount</u>
<u>Account Transfers</u>	
Incoming	Free ¹
Outgoing	\$65
<u>Pro Cash Accounts (Corestone Account TM)²</u>	
Annual Account Fee- Silver	\$25
Annual Account Fee- Silver Plus	\$50
Annual Account Fee- Gold	\$100
Annual Account Fee – Platinum	\$150
Personal Checks	Free, first order
Reorder Checks	\$15
Returned Checks	\$25
Stop Payment	\$25
<u>Miscellaneous Fees</u>	
Legal Transfers Certificates, Incoming	\$135
Outgoing, if available - Variable	
Restricted Stock Receive (Legal Transfer) Incoming	\$135
Limited Partnership & Private Placement Annual	\$125
Alternative Investment Document review	\$500
IRS 990-T UBTI Tax Return filing	\$200
Pershing issued check stop payment	\$10
Short Sale Debit Interest	Variable rate
<u>Annual Inactivity Fee</u>	
	\$50
<u>Retirement Accounts¹</u>	
	Annual Fee Termination
Traditional:	
IRA, Roth IRA, Coverdell Education	
Savings Accounts and IRS Model 5305 S.....	\$43.50 ³ \$95.00
SARSEP/Prototype SEP, SIMPLE IRA,	
and 403 (b) (7) Custodial Accounts.....	\$58.50 \$95.00
Mutual Fund Only: IRA, Roth IRA, SIMPLE and SEP.....	\$12.00 \$95.00
Refer to full fee schedule for other ERISA plans.....	\$75-\$125 \$95.00

¹The delivering firm may charge an outgoing transfer fee

²Additional Corestone Services are available for individual and corporate accounts. Additional fees may apply.

³Invoiced annually, charged in arrears, see reverse side for complete listing.

Retirement and Education Savings Accounts Fee Schedule

TRADITIONAL IRA > ROTH IRA > SEP IRA > EDUCATION SAVINGS ACCOUNT > SIMPLE IRA SIMPLE 401(k) > PROTOTYPE SEP > SARSEP > 401(k) > PROFIT SHARING > MONEY PURCHASE > 403(b)(7) CUSTODIAL ACCOUNT

ANNUAL MAINTENANCE FEES (PER ACCOUNT)	EFFECTIVE DATE	FEE
Traditional IRAs, Roth IRAs, SEP IRAs, and Education Savings Accounts	4/1/2017	\$43.50 ¹
Traditional IRAs, Roth IRAs and SEP IRAs - Mutual Fund Only	4/1/2017	\$12.00 ¹
Prototype Simplified Employee Pensions (Prototype SEPs and SARSEPs)	4/1/2017	\$58.50 ²
Prototype SEPs and SARSEPs - Mutual Fund Only	4/1/2017	\$12.00 ²
SIMPLE Plans and 403(b)(7) Custodial Accounts	4/1/2017	\$58.50 ²
SIMPLE Plans - Mutual Fund Only	4/1/2017	\$12.00 ²
Qualified Retirement Plans (QRP)	4/1/2017	\$75 or \$125 ² , depending on plan document type ³

ALL FEES ARE SUBJECT TO CHANGE.

ANNUAL FEES ARE NOT PRORATED WHEN AN ACCOUNT IS CLOSED PRIOR TO ITS ANNIVERSARY DATE.

MUTUAL FUND ONLY TRANSFERS	FEE
Traditional IRAs, Roth IRAs, SEP IRAs, Prototype SEP IRAs and SIMPLE IRAs to a Mutual Fund Only	\$50
QRP AND 403(B)(7) LOANS	
Distribution and Repayment Posting (due with loan documentation)	\$50 ⁴
LIMITED PARTNERSHIPS, PRIVATE PLACEMENTS, AND OTHER SPECIAL PRODUCTS⁵	
Subscription Fee (per purchase)	\$50
Redemption Fee (per position)	\$50
Reregistration Fee (per position)	\$50
Annual Administration Fee (per registered position)	\$35
Annual Administration Fee (per unregistered position)	\$125
Document Review Fee to Determine Ability to Custody (per review, regardless of outcome)	\$300
IRS 990-T UBTI Tax Return Filing (per return filed)	\$200
ACCOUNT TERMINATION FEE⁶	
All Retirement Accounts (per account)	\$95
COMMISSIONS	
Commission charges are determined by the introducing brokerage firm or the bank introducing the retirement account to Pershing LLC.	

OTHER FEES MAY BE ASSESSED BY THE ISSUING PARTY OR TRANSFER AGENT.

¹ Invoiced annually, charged in arrears.

² Due at account set up, invoiced annually.

³ Pershing Individual(k), Simplified 401(k), Simplified Profit Sharing and Simplified Money Purchase plan document type: \$75.00. Pershing Flexible 401(k), Flexible Profit Sharing and Flexible Money Purchase plan document type: \$125.

⁴ One time fee — submit with loan instructions, distribution form, and promissory note.

⁵ In addition to annual custodial maintenance fee.

⁶ In addition to annual custodial maintenance fee and other fees due unless prepaid.