



Pershing Ancillary Charges

For CMAP accounts, the ancillary fees must be charged directly to the client's account and not covered by the financial professional.

Account or Service	Fee Amount	Frequency	Included in WealthPort® Program Fee
Inactivity fee – standard (retail accounts custodial fee)**	\$35.00	Annual	
Inactivity fee – accounts with mutual funds only (retail accounts custodial fee)**	\$17.50	Annual	
Paper Tax Document Fee	\$10.00	Annual	
Paper Subscription Fee (Fee for the paper delivery of documents such as statements, trade confirmation, and other notifications and letters).	\$2.00	Per month	
529 annual maintenance fee (pass through from American Funds)***	\$10.00	Annual	
529 set up fee (pass through from American Funds)***	\$10.00	One time	
529 transfer fee	\$95.00	Per 529 transfer	
Cost basis fee – basic	\$1.00 for accounts with less than \$50,000. No charge for accounts greater than \$50,000.	Per month	X
DRS transfer**	\$10.00	Per DRS transfer	
Legal transfer fee/GNMA bond transfer**	\$135.00	Per transfer	
Outgoing transfer fee – retail accounts**	\$125.00	Per transfer	
UBTI tax filing fee**	\$200.00	Annual	
Year-end account report**	\$3.00 plus postage/handling	Annual	

Retirement Account Fees			
IRA, Roth IRA, 5305-SEP, and Education IRA maintenance fee**	\$43.50	Annual	X
IRA maintenance fee – mutual fund only IRA**	\$12.50	Annual	X
Conversion from regular IRA to mutual fund only IRA**	\$50.00	Per conversion	
403(b)(7), SIMPLE IRA Plan, Prototype SEP IRA maintenance fee**	\$58.50	Due at account set up and annually thereafter	X
Pershing Individual 401(k), Simplified 401(k), Simplified Profit Sharing, and Simplified Money Purchase Plan maintenance fee**	\$75.00	Due at account set up and annually thereafter	X

Qualified Retirement Plans (QRPs) – Pershing Flexible is 401(k), Flexible Profit Sharing and Flexible Money Purchase Plan maintenance fee**	\$125.00	Due at account set up and annually thereafter	X
Termination fee (retirement accounts)** \$43.50 annual IRA maintenance fee • Termination or maintenance fees will be charged to accounts that are closed on the 7th calendar day to the financial professional, regardless if the account is funded	\$143.50 (\$100 termination)	Closure of account	

Cash Management Services ATM/Debit Card			
Corestone Silver	\$25.00	Annual	
Corestone Silver Plus**	\$50.00	Annual	
Corestone Gold**	\$100.00	Annual	
Corestone Platinum**	\$150.00	Annual	
Corestone Gold Corporate**	\$150.00	Annual	
Corestone Platinum Corporate**	\$250.00	Annual	
ATM out-of-network surcharge fee (ATM not on PNC Bank or Allpoint network)	Various		
Visa paid draft copy**	\$2.50	Per draft copy	
Foreign transaction (Visa fee for transactions outside U.S)	1% of the transaction	Per transaction	
Cash advance fee (non-ATM)**	0.25% or \$2.50 minimum	Per transaction	
Overnight debit card fee**	\$25.00	Per request	

Checking			
Corestone personal checks – initial order**	No charge		
Corestone personal checks reorder for Silver and Silver Plus**	\$12.50 per Reorder		
Corestone personal checks reorder for Gold and Corporate Gold**	\$10.00 per reorder		
Corestone personal checks reorder Platinum and Corporate Platinum**	\$7.50 per reorder		
Corestone carbon copy checks – initial order**	\$15.00		
Corestone carbon copy checks – reorder checks**	\$25.00 per reorder		
Corestone business check – initial order**	\$50.00 – One time purchase includes business binder, business register, deposit tickets, and 252 checks		

Checks			
Corestone business check – reorder checks**	\$40.00 Per reorder		
Corestone business check binder – reorder**	\$20.00	Per reorder	
Corestone returned check fee**	\$25.00	Per returned check	
Corestone stop payment fee**	\$25.00	Per stop payment	
Corestone check copy**	\$2.50	Per check copy	
Corestone overnight checkbook fee**	\$20.00	Per reorder	
IRA resource checking return check fee**	\$20.00	Per returned check	
IRA resource checking stop payment fee**	\$10.00	Per stop payment	
IRA resource check copy**	\$2.50	Per check copy	
IRA resource checking personal checks – initial order	No charge	Includes deposit tickets and 10 checks	
IRA resource checking personal checks – reorder checks	No charge		
IRA resource checking overnight checkbook fee**	\$20.00	Per overnight reorder	

Other Cash Management Services Check Request			
Overnight courier fee**	\$12.00 or \$18.00 on Saturdays	Per request	
Margin extension**	\$20.00	Per extension	
Returned ACH or check fee**	\$20.00	Per returned item	
Stop payment/stop check fee**	\$10.00	Per stopped payment	
Wire transfer fee**	\$20.00	Per wire request	
Investment Specific			
Dividend Reinvestment Program – retail accounts **Equities generate this fee.	\$1.00	Per transaction	
Dividend Reinvestment Program – IRA accounts**	No charge		
Employee stock option Plan (ESOP)**	\$50.00		
Foreign security safekeeping**	\$2.00 per position	Per month	
Special products fee (alternative investment fee)***	\$35.00 for registered positions	Annual	X
Special products fee (alternative investment fee)***	\$125.00 for non-registered positions	Annual	
Alternative investment subscription, redemption, or re-registration fee**	\$50.00		
Safekeeping fee,** per position	\$2.00	Per month	
Systematic purchases or sells*	\$0.50	Per transaction	X
Transfer and ship – DRS eligible securities (outgoing statement sent to transfer agent)**	\$15.00		

Transfer and ship – DRS eligible securities (incoming statement sent to transfer agent)	*Computershare, Wells Fargo and Registrar and transfer Company = \$15 **American National Stock (AST) = \$10		
Transfer agent fee for processing physical securities**	Varies by transfer agent	Per stock deposit	
Voluntary reorganization**	\$25.00	Per reorganization	

European Economic Area Specific (principally, this applies to equity securities with voting rights that are admitted for trading on a regulated market within the European Economic Area (EEA), and whose issuer has a registered office within the EEA.)			
General meeting announcements and proxy voting (e-Delivery and investor mailbox) – notification	\$0.50	Per event	
General meeting announcements and proxy voting (e-Delivery and investor mailbox) – voting	\$2.00	Per event	
General meeting announcements and proxy voting (Proxy Edge) – notification	Up to \$2.00	Per event	
General meeting announcements and proxy voting (Proxy Edge) – voting	Up to \$2.00	Per event	
Manual vote instruction – voting	\$5.00	Per event	
Vote instruction requiring supplemental information/documentation – voting	\$3.00	Per event	
Shareholder disclosure notifications for intermediary accounts – notification	\$1.50	Per event	

Securities and Exchange Commission Fee Rate (Effective May 22, 2024)			
SEC Section 31	\$22.80 per \$1 million for covered sales.	Per transaction	

Asterisks show who the charges defaults to and who can pick up the charge:

*Defaults to the financial professional;

**Defaults to the client, but the financial professional may choose to reimburse;

***Client charge only

As of January 1, 2024

Note: If an account does not have sufficient funds (or cash) to cover ancillary fees, the fees are subject to be allocated to the financial professional for any account regardless of the account program type.

Charges are subject to change.

¹CAAP® is a registered mark of Cambridge Investment Research, Inc. for its program for investment managers.

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