



Pershing Ancillary Charges

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 statement surcharge**	\$1.00	Per statement	No – \$0.75
Paper trade confirmation surcharge**	\$1.00	Per trade confirm	No – \$0.75
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	
Tax and year-end statement (TYES)**	\$1.00	Per statement	X
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	\$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	X
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	

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 12/17/20

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