

Client Fee Schedule

(Applies to PCS Advisory Allocation Accounts only)

Pershing
February 2019

IRA Fees	
IRA, Roth, Education, 5305, SEP (per account, annually)	\$50.00
Prototype SEP, SARSEP, SIMPLE Plan and 403(b)(7) (due at account setup, invoiced annually)	\$58.50
Qualified plans, fee amount depends on plan type (due at account setup, invoiced annually)	\$75.00 or \$125.00
Mutual Fund Only IRA (annually)	\$15.00
Termination Fee (upon closing)	\$125.00
Mutual Fund IRA Conversion Fee	\$50.00

Alternative Investments per Position	
Redemption Fee	\$75.00
Re-Registration Fee	\$75.00
Special Product Annual Fee (Registered)	\$50.00
Special Product Annual Fee (Unregistered)	\$125.00
Subscription Fee	\$75.00

Cashiering Fees	
ACH Returned Charge	\$30.00
Federal Funds Wire	\$30.00
Overnight Check	\$30.00
Overnight Check - Saturday Delivery	\$30.00
Foreign Check Delivery	\$30.00
Certified Check	\$30.00
IRA Resource Checking Returned Check	\$30.00
IRA Resource Checking Stop Payment	\$30.00
Returned Check	\$30.00
Stop Payments and Voided Checks	\$30.00

Transfers	
Direct Registration System (Outgoing)	\$25.00
Direct Registration System (Incoming)	\$25.00
Legal Transfers	\$135.00
Transfer and Ship Fees	\$60.00
Account Outgoing Transfer Fee	\$125.00
Foreign Securities Clearance Fee ACATs	\$75.00

Miscellaneous	
Cashless Stock Option (ESOPs)	\$50.00/transaction
Trade Extension	\$20.00
Option Assignment/Exercise	\$25.00
Inactive Account Fee (Mixed Account)	\$30.00
Inactive Account Fee (Mutual Fund Only)	\$15.00
Cash Debit Interest	PBLR + 150 basis points
Year-End Account Report	\$5.00
Forced Monthly Statement	\$5.00
Customer Name Safekeeping Fee - Domestic	\$10.00
Customer Name Safekeeping Fee - Foreign	\$10.00
IRS 990-T UBTI Tax Return Filing	\$200.00

- Fees relating to Corestone Asset Management Accounts may be found at www.pcsbd.net, or by contacting your Financial Advisor.
- Accounts that hold short positions will be charged daily interest based upon the short market value of the position and the prevailing short interest rate determined by the availability of the underlying positions in the market.
- The listed fees do not include commissions, markups, commission equivalents or advisory fees. To obtain information regarding specific securities transactions, please contact your Financial Advisor.
- Margin rates are scaled to the Pershing Base Lending Rate (PBLR), which may change without prior notice from time to time.
- The rate paid on a debit balance is as follows:

\$0 - \$9,999	2.75% above PBLR
\$10,000 - \$29,999	2.00% above PBLR
\$30,000 - \$49,999	1.50% above PBLR
\$50,000 and above	0.75% above PBLR

Securities and insurance products are offered through Private Client Services™, member FINRA, SIPC and affiliated insurance agencies.