

Client Fee Schedule

(Applies to PCS Plus Portfolio and Advisory Allocation Accounts only)

Clearing through Pershing LLC
November 2019

IRA Fees		Transfers	
IRA, Roth, Education, 5305, SEP (per account, annually)	\$50.00	Direct Registration System (Outgoing)	\$25.00
Prototype SEP, SARSEP, SIMPLE Plan and 403(b)(7) (due at account setup, invoiced annually)	\$58.50	Direct Registration System (Incoming)	\$25.00
Qualified plans, fee amount depends on plan type (due at account setup, invoiced annually)	\$75.00 or \$125.00	Legal Transfers	\$135.00
Mutual Fund Only IRA (annually)	\$15.00	Transfer and Ship Fees	\$60.00
Termination Fee (upon closing)	\$125.00	Account Outgoing Transfer Fee	\$125.00
Mutual Fund IRA Conversion Fee	\$50.00	Foreign Securities Clearance Fee ACATs	\$75.00
Alternative Investments per Position		Miscellaneous	
Redemption Fee	\$75.00	Cashless Stock Option (ESOPs)	\$50.00/transaction
Re-Registration Fee	\$75.00	Trade Extension	\$20.00
Special Product Annual Fee (Registered)	\$50.00	Option Assignment/Exercise	\$25.00
Special Product Annual Fee (Unregistered)	\$125.00	Inactive Account Fee (Mixed Account)	\$30.00
Subscription Fee	\$75.00	Inactive Account Fee (Mutual Fund Only)	\$15.00
Cashiering Fees		Cash Debit Interest	PBLR + 150 basis points
ACH Returned Charge	\$30.00	Year-End Account Report	\$5.00
Federal Funds Wire	\$30.00	Forced Monthly Statement	\$5.00
Overnight Check	\$30.00	Customer Name Safekeeping Fee - Domestic	\$10.00
Overnight Check - Saturday Delivery	\$30.00	Customer Name Safekeeping Fee - Foreign	\$10.00
Foreign Check Delivery	\$30.00	IRS 990-T UBTI Tax Return Filing	\$200.00
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		

- 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.
- Accounts may be subject to additional charges associated with the clearance and custody of your security positions, which have been passed along by the depository institution or issuer of the securities.
- 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