



Schedule of Fees

Member FINRA and SIPC

Effective 09/01/2011

ACH Returned	\$20
Accommodation and Legal Transfers	\$25
Account Transfers	\$60
Direct Registration System Transfers	\$10
Inactive Account ¹	\$50
Overnight Check Delivery	\$12
Physical Safekeeping of Securities – per account, per position, per month	\$2
Returned Check	\$20
Retail Confirmation	\$8
Statement Paper Surcharge	\$0.75
Trade Extensions	\$10
Voluntary Reorganizations	\$10
Wired Funds	\$20
Corestone Account Fees	
Annual Fee	
Silver Accounts ²	\$25
Gold Accounts ³	\$100
Gold Corporate Accounts	\$150
Platinum Accounts ³	\$150
Platinum Corporate Accounts ³	\$250
Business Check Initial Orders	\$50
Business Check Re-Orders	\$40
Check Copies – per copy	\$2.50
Overnight Mailing	\$20
Non-Business Check Reorders	\$12.50
Returned Check	\$25
Stop Payment	\$25
Retirement Account Fees	
Annual Custodial	
Traditional, ROTH, Coverdell and Model 5305 SEP IRA Accounts	\$35
SARSEP, SIMPLE IRA, Qualified Retirement Plan Accounts	\$50
Account Termination	\$75
ROTH Conversion	\$25



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Important Disclosures

Additional fees may apply depending on the type of services offered. Please contact your Investment Representative for further information.

¹Inactive accounts are defined as accounts holding a security position for a calendar year (January 1 – December 31) without generating a trade, or free credit or margin interest of at least \$100. Mutual Fund systematic reinvestment and exchanges will be considered a trade. Dividend reinvestment activity is not considered a trade. Inactive account fees do not apply to ProCash Plus Accounts, Pershing LLC retirement accounts or retirement accounts where Pershing acts as servicing agent and collects service fees.

²Effective July 1, 2012; \$25 fee will be waived for Corestone accounts that have \$25,000 or more (average month-end closing cash sweep balances).

³Effective February 1, 2012 and billed on the anniversary date.