

Pershing, LLC
Customer Fee Schedule
Effective November 2020

Mutual Fund and SRS Exchanges (including confirmation fee)	Waived
Mutual Fund Surcharge	\$10.00
Bond Redemption Fee (assessed when bonds mature or are called)	\$0.00
Checking Fees—Stop Payment	\$25.00 per event
Checking Fees—Returned Checks	\$25.00 per event
Confirmation Fee—eDelivery	Waived
DK Items	
US	\$50.00 per item
Non-US	\$50.00 per item/per day
Inactive Retail Account Fee	Waived
Inactive Mutual Fund Only Retail Account Fee	Waived
Margin and COD Extensions	\$35.00 per event
Non-U.S. (“Foreign”) Account Fee	\$75.00 per account, per year
Paper Delivery Surcharge for Customer Statements and Confirms	\$2.50 per event
Physical Private Placements—Settlement Fee	\$500.00 per trade
Precious Metals Storage Fee	1.0 bps market value per annum
Puerto Rico Tax Reporting Fee	\$50.00 per account, per year
Reorganization Items—Voluntary	\$15.00 per event
Reorganization Items—Mandatory	\$10.00 per event
Safekeeping—Name US and Non-US Market Securities:	
.....	\$5.00 per account, per position, per month
.....	Additional custody fees may apply to non-US market securities
Accommodation Transfers	\$100.00 per transfer
Direct Registration Eligible – from Pershing to Customer	\$10.00 per transfer

Deposit and Withdrawal at Custodian (DWAC) Pass-Through Fees

DTC Deposit.....	\$10.00 per event
DTC Withdrawal.....	\$10.00 per event
Pershing DWAC Processing Fee.....	\$10.00 per instruction message
Legal, GNMA, and Restricted Items.....	\$200.00 per transfer
Non-US Market Transfers:	
Euroclear.....	\$40.00 per item
All Other non-US Markets Depositories.....	\$100.00 per item
Outgoing Account Transfers.....	\$150.00 per transfer
Register and Ship Physical Certificate to Customer.....	\$50.00 per transfer
Wired Funds (outbound only).....	\$25.00 per wire transfer

RETIREMENT ACCOUNT AND SAVINGS ACCOUNT FEES

	Annual Maintenance Fee
IRA, Roth IRA, Coverdell Education Savings Accounts, and IRS Model 5305 SEP.....	Waived
Sarsep/Prototype SEP, Simple IRA, and 403(b) (7) Custodial Accounts.....	Waived
Individual (k), Simplified 401(k), Simplified Profit Sharing and Simplified Money Purchase Plans:	
.....	Waived
Flexible 401(k), Flexible Profit Sharing and Flexible Money Purchase Plans.....	Waived
Mutual Fund Only: IRA, Roth IRA, Simple and SEP.....	Waived
Mutual Fund Only Conversion Fee.....	\$50.00
IRA Termination Fees.....	\$150.00

ASSET MANAGEMENT ACCOUNTS (CORESTONE ACCOUNT™) AND ACCOUNT PAYMENT PROGRAM

Silver Account.....	Waived
Silver Account Plus.....	Waived
Gold Account.....	Waived
Platinum Account.....	Waived
Corporate Gold Account.....	Waived
Corporate Platinum Account.....	Waived

Personal Checks - Initial Order.....	Waived
Personal Checks - Checks Reorder (Silver)	\$17.50
Personal Checks - Checks Reorder (Gold)	\$15.00
Personal Checks - Checks Reorder (Platinum)	\$12.50
Carbon Copy Checks - Initial Order.....	\$20.00
Carbon Copy Checks Reorder (Silver, Gold, and Platinum)	\$30.00
Business Checks - Initial Order.....	\$55.00
Business Checks - Checks Reorder.....	\$45.00
Business Checks - Replacement Binder.....	\$5.00
Returned Checks of ACH Debits	\$25.00
Stop Payments.....	Waived
Cash Advance Fee (non-ATM).....	0.25% / \$2.50 minimum
Overnight Checks.....	\$20.00
Overnight Checks - Customer	\$20.00
1099 Tax and Year-End Statement	\$2.00
Year-End Account Activity Report.....	\$15.00 +postage/handling
Tax-Lot Service.....	Waived
Online Performance Packages - Basic (3 Reports)	\$14.00 per quarter
Online Performance Packages - Plus (6 Reports).....	\$20.00 per quarter
Quarterly Performance Reporting (QPR) Packages - Basic (4 Reports).....	\$25.00 per quarter
Quarterly Performance Reporting (QPR) Packages - Plus (7 Reports).....	\$40.00 per quarter
Quarterly Performance Reporting (QPR) Packages - Print and Mail Services for either Package:	\$7.00 per account, per event
Alternative Investment Network Platform Transaction Fee	\$50.00 per position per event
Annual per Position Service Charge for Registered Alternative Investments.....	\$35.00
Annual per Position Service Charge for Unregistered Alternative Investments	\$125.00
Special (Forced) Statement Production.....	\$1.00
Below Minimum Trade	\$10.00
Below Minimum SRS Trade	\$10.00
Short Term Redemption Fees: All Redemptions (including exchanges).....	Waived
Short Term Redemption Fees: All Systematic Withdrawals.....	\$5.00