

Pershing Clearing Charges & Customer Account Fees

(Effective August 1, 2019)

	Clearing Charges	
Ticket Charges		Execution Charge(s)
Listed Market Orders	\$25.00	
Listed Limit Orders	\$25.00	Plus \$0.015 per share on all shares
OTC Orders (all)	\$25.00	
Options	\$25.00	Plus \$1.50 Per Contract
Bonds	\$35.00	
Listed Bonds	\$35.00	Plus \$1.00 Per Bond
UIT	\$40.00	
Mutual Funds	\$15.00	
	Customer Account Fees	
Mutual Fund & SRS Exchanges	\$7.00	Per Exchange (Including confirmation fee)
Checking Stop Payment	\$25.00	Per Event
Returned Checks	\$25.00	Per Event
Check Re-order Fee	\$25.00	Per Order
Confirmation Fee - Retail Client	\$5.00	Per Confirmation
Paper Statement Surcharge	\$0.75	Per Month/Charged Quarterly
Dividend Reinvestment (non-qualified)	\$1.00	Per Security per event
DK Items US	\$10.00	Per Item
DK Items Non US	\$10.00	Per Item
Inactive Account Fees		
Retail Account	\$25.00	Per inactive account per year
Mutual Fund Only Account	\$12.50	Per inactive account per year
Margin & COD Extensions	\$20.00	Per Event
Reorg. Items – Voluntary/Mandatory	\$25.00/\$10.00	Per Event
Safekeeping		
Name	\$15.00	Per account per position per month
Foreign Securities	\$15.00	Per account per position per month
Transfers		
Outgoing ACAT	\$125.00	Per Transfer
Wire Funds	\$25.00	Per Wire Transfer
Retirement Account Fees		
Traditional IRA, Roth IRA, Coverdell Edu Savings & IRA Model 5304 SEP	\$50.00	Annual Maintenance Fee
	\$95.00	Termination Fee
Mutual Fund only IRAs	\$12.00	Annual Maintenance Fee
SARSEP/Prototypes SEP, Simple IRA	\$58.50	
Qualified Retirement Plans Money Purchase	\$75.00	Annual Maintenance Fee (effective 7-1-17)
Profit Sharing 401(k) Individual 401(k)	\$95.00	Termination Fee
403(b)(7) Custodial Account		
IRS990T UBTI Tax Return Filing	\$200.00	Per Return Filed
Private Placement Purchase (IRA)Accounts)	\$50.00	Per Purchase
Special Products Fee (Reg/Non Reg)	\$35.00/\$125.00	Annual Fee
Alternative Investment Re-Registration	\$50.00	Per Item