



Schedule of Miscellaneous Account and Service Fees

Pershing

The listed fees do not include commissions, markups, commission equivalents or advisory fees. Some of these fees may not apply to all account types. Some of these fees may be waived under certain conditions.

Account or Service	Fee Amount	Frequency
Account Maintenance		
Annual Inactive Account Fee <i>Charge on accounts that do not meet minimum activity criteria</i>	\$50	Annual
Full Transfer Delivery	\$150	At Occurrence
Mailgram	\$15	Per Occurrence
Interest Charged on Margin Debit Balances	PBLR + 3% - 1%	Monthly
Retirement Account Fees		
IRA Maintenance Fee	\$40 - \$50	Annual
Retirement Account Termination Fee	\$75	At Account Closure
Cash Management Services		
Corestone Check Writing	\$0 - \$150	Annual
Checkbook Reorder	\$0 - \$12.50	Per Reorder
Corestone Stop Payment	\$25	Per Occurrence
Corestone Return Check	\$25	Per Occurrence
Federal Funds Wire	\$25	Per Occurrence



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continued

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Cash Management Services (continued)		
Overnight Check	\$12	Per Occurrence
Incoming Returned Check	\$60	Per Occurrence
Outgoing Check Stop Payment	\$25	Per Occurrence
Investment Specific		
Equity Dividend Reinvestment	\$1	Per Occurrence
Alternative Investments		
Annual Custody and Valuation Fee:		
• Registered Position	\$35	Per Position
• Unregistered Position	\$125	<i>Max Annual Fee of \$500</i>
Transfer/Re-registration Fee	\$100	Per Position Each Occurrence
Mutual Fund Periodic Transaction		
Periodic Mutual Fund Purchase/Liquidation	\$0 - \$3.50	Per Position Each Occurrence
Physical Certificate		
Legal Stock Transfer <i>Re-titling a deposited certificate to match the account's registration</i>	\$65	Per Position Each Deposit
Legal Stock Return <i>Return of a deposit certificate that is not in good order</i>	\$70	Per Position Each Deposit
Transfer and Ship:		
• DRS Statement	\$20	Per Position
• Certificate	\$235	Each Delivery



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continued

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Physical Certificate (continued)		
Safekeeping <i>Storage of physical certificates that cannot be registered in street name</i>	\$10	Per Certificate Each Month
Physical Reorganization <i>Updating a deposited certificate after a mandatory corporate reorganization event</i>	\$50	Per Position Each Deposit