



2019 BROKERAGE FEE SCHEDULE

A COMPREHENSIVE GUIDE TO **PERSHING'S FEES.**

RETIREMENT ACCOUNT FEES

| | |
|---|------------------------------|
| Traditional IRA, Roth IRA, SEP IRA, Educational Savings Accounts | \$35.00/yr. (in arrears) |
| Mutual Fund Only, Including DirectChoice | No charge |
| SIMPLE, SARSEP, Qualified Retirement Plans (Money Purchase, Profit Sharing, Individual 401(k), 403(b)(7) Custodial Accts. | \$50.00 at set up, then /yr. |
| ESOP | \$50.00/transaction |
| QRP and 403(b) Loan | \$50.00/transaction |
| Conversion from existing IRA to Mutual Fund Only IRA | \$50.00/transaction |
| Account Termination/Transfer Fee | \$95.00/transaction |

CORESTONE/CHECKWRITING FEES

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|---|--|
| Silver Account* | \$25.00*/yr. on anniversary |
| Silver Plus Account | \$50.00/yr. on anniversary |
| Gold Account | \$100.00/yr. on anniversary |
| Platinum Account | \$150.00/yr. on anniversary |
| Corporate Gold Account | \$150.00/yr. on anniversary |
| Corporate Platinum Account | \$250.00/yr. on anniversary |
| Stop Payment | \$25.00/transaction |
| Returned Checks or ACH Debits | \$25.00/transaction |
| Retrieve Copy of Paid Check | \$2.50/transaction |
| ATM Withdrawal (individual banks may charge an ATM surcharge fee) | No charge |
| Copy of Paid Check or MasterCard Draft | \$2.50/transaction |
| Cash Advance Fee (non-ATM) | 0.25% of transaction; \$2.50 minimum/transaction |
| Personal Checks—initial order | No charge |
| Personal Checks—reorder (Silver, Silver Plus) | \$12.50/transaction |
| Personal Checks—reorder (Gold, Corporate Gold) | \$10.00/transaction |
| Personal Checks—reorder (Platinum, Corporate Platinum) | \$7.50/transaction |
| Carbon Copy Checks—initial order | \$15.00/transaction |
| Carbon Copy Checks—reorder | \$25.00/transaction |
| Business Checks—initial order | \$50.00/transaction |
| Business Checks—reorder | \$40.00/transaction |
| Business Checks—reorder binder | \$20.00/transaction |
| Overnight Check Mailing | \$20.00 |

*Silver annual fee is waived if the account's cash sweep balance exceeds \$25,000, or if the individual account or SelectLink group maintains a total net worth of \$150,000 or greater.

ACCOUNT SERVICE FEES

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|--|-------------------------|
| Inactive Account Fee—Retail Accounts | \$50.00/yr. |
| Inactive Account Fee—Mutual Fund Only Account, DirectChoice | No charge |
| Cost Basic Tracking | No charge |
| Alternative Investment—Subscription, Redemption, Re-Registration | \$50.00/transaction |
| Alternative Investment—Review of New Product | \$300.00/CUSIP |
| Alternative Investment—Registered Products | \$35.00/yr. |
| Alternative Investment—Unregistered Products | \$85.00/yr. |
| UBTI Tax Return Filing (IRA Form 900-T) | \$50.00/yr. |
| Standard Overnight Delivery of Check | \$12.00/transaction |
| Saturday Overnight Delivery of Check | \$14.64/transaction |
| Fed Funds Wire | \$25.00/transaction |
| Insufficient Funds (Return Check/ACH Debit) | \$25.00/transaction |
| Check Stop Payment Fee | \$10.00/transaction |
| Forced Statements (Generated with No Activity) | \$1.00/mo. |
| Account Low Balance Fee [†] | \$2.00/mo. [†] |

TRANSACTIONAL CHARGES

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|---|--|
| Outgoing Account Transfer Fee | \$95.00/transaction |
| Termination of Account (Non-Retirement) | No charge |
| Equity Dividend Reinvestment | \$1.00/transaction (min. of \$4.00) |
| Mutual Fund Dividend Reinvestment | No charge |
| Paper Statement/Confirm Surcharge | No charge |
| DirectChoice Fund Account Buy/Sell | No charge |
| Short Term Redemption of NTF Fund | \$25.00/transaction |
| Options Assignment | \$15.00/transaction |
| Margin/Regulation T Extension | \$50.00/transaction |
| Voluntary Reorganization | \$25.00/transaction |
| Mandatory Reorganization | \$10.00/transaction |
| Foreign Stock Execution (in addition to standard transaction charges) | \$75.00/transaction; \$50.00 Euroclear/transaction |
| Bond/Fixed Income Redemption | \$10.00/transaction |
| Certificate Safekeeping | \$3.00/mo./security |
| Deposit of Physical Security | Varies per transaction, pass through charge from select transfer agents |
| Incoming DRS (Direct Registration System) transfer | \$15.00 per transaction, pass through charge from select transfer agents |
| Outgoing DRS (Direct Registration System) transfer | \$15.00/transaction |
| Accommodation Transfer | \$40.00/transaction |
| Legal GNMA, and Restricted Transfer | \$30.00/transaction |
| Cash Due Interest | Current applicable rate/mo. |

MARGIN ACCOUNTS (RATES AS OF 1/1/19)

| DEBIT BALANCE | INTEREST RATE |
|----------------------|---------------|
| \$0.00 to \$9,999 | PBLR + 2.75% |
| \$10,000 to \$29,999 | PBLR + 2.50% |
| \$30,000 to \$49,999 | PBLR + 2.00% |
| \$50,000+ | PBLR + 1.25% |

[†]Not charged on IA, retirement, accounts with net worth of \$10,000+, or accounts SelectLinked to an account of \$10,000+.

TRADING FEES—WMP ADVISORY

| | |
|----------------------|------------------------------|
| Equity/ETF | \$0.00 to \$9.00/transaction |
| Load Funds @ NAV | \$0.00 to \$9.00/transaction |
| No Load Funds | \$0.00 to \$9.00/transaction |
| Mutual Fund PIP/SWP | No charge |
| Mutual Fund Exchange | No charge |
| Fixed Income | \$0.00 to \$9.00/transaction |
| UIT | \$0.00 to \$9.00/transaction |
| Options | \$0.00 to \$9.00/transaction |
| Confirmation Fee | No charge |

TRADING FEES—NON WMP ADVISORY

| | |
|----------------------|-------------------------------|
| Equity/ETF | \$0.00 to \$26.00/transaction |
| Load Funds @ NAV | \$0.00 to \$18.00/transaction |
| No Load Funds | \$0.00 to \$18.00/transaction |
| Mutual Fund PIP/SWP | No charge |
| Mutual Fund Exchange | No charge |
| Fixed Income | \$0.00 to \$39.50/transaction |
| UIT | \$0.00 to \$39.50/transaction |
| Options | \$0.00 to \$26.00/transaction |
| Confirmation Fee | \$4.00/transaction |

Specific client programs may have fees that vary. In these instances, please consult the client/account agreement for pricing schedule. All fees are assessed against cash or cash sweep in the account. If funds are not available to cover fees or activity-related debits, holdings sufficient to cover any outstanding debit may be liquidated by FSC Securities Corporation. Fees are subject to change and are depicted on a per account basis and are not prorated when an account is closed prior to its anniversary date. Not all fees may be shown or are applicable to all account types. Please speak with your investment professional for additional details.