



AMP Service Charges

Pershing Advisor Solutions Account Services

These charges are applied to client accounts and consist of processing and transaction services in addition to any fees paid to third parties, such as banks and/or clearing firms.

Account

Retirement Account Annual Maintenance.....	Waived
Account Termination Fee.....	\$100
Inactive Account.....	Waived
Dividend Reinvestment.....	Waived
Roth IRA Conversion.....	Waived
Tax Lot Accounting.....	Waived
Safekeeping (per position, per month)	
• Domestic and Foreign Safekeeping.....	\$5
Bond Redemption.....	Waived

Paper/Notifications*

*Fees waived if enrolled in eDelivery of documents

Statement Hard Copies	
• Year End Account Report.....	\$2
• Account Statement.....	\$2
• 1099 Tax Statement.....	\$2
Trade Confirmation Charge.....	\$1
Bond Redemption Notification.....	\$1
Good Until Cancel Notification.....	\$1

Cashiering

Fed Fund Wire.....	\$10
Certified Check Delivery.....	Waived
Insufficient Funds.....	\$25
Stop Payment (non-Corestone).....	\$10

Transfers

Security Transfers	
• Legal/GNMA Transfer.....	\$135
• Euroclear Transfer.....	\$15
• Foreign Transfer.....	\$75
Direct Reg. System (DRS) Transfer Out.....	\$10
Direct Reg. System (DRS) Transfer In.....	Waived
Reorganization	
• Voluntary Transfer.....	\$20
• Mandatory Transfer.....	Waived
• Accommodation Transfer.....	\$60
• Register and Ship Certificate.....	\$25

Limited Partnerships, Private Placements, & Other Special Products

Subscription Fee (per purchase).....	\$50
Redemption Fee (per redemption).....	\$50
Re-Registration Fee (per position).....	\$50
Annual Alternative Investment Fee (per position)	
• SEC Registered Positions.....	\$35
• Non-SEC Registered Positions.....	\$125
Alternative Investment Transfer Fee (per position)	
• SEC Registered Positions.....	Waived
• Non-SEC Registered Positions.....	\$50
Physical Private Placements.....	Waived
Document Review To Determine Custody.....	\$300
Processing IRS Form 990.....	\$200

FundVest/NTF Program

Only applicable to accounts which assess trading charges

Transactions	
Trade and Exchange	Waived
Below Min. Trade*	\$7
Series Below Min. Trade*	\$7
Short-Term Redemption**	\$50
Series Short-Term Redemption**	Waived

** FundVest/NTF securities must be held for a minimum of 1 calendar month

*Minimums	
Non-Qualified Initial Purchase	\$2,500
Qualified Initial Purchase	\$500
Subsequent Purchase	\$500
Systematic Purchase	\$100

LoanAdvance Program

Net Debit Balance	Fed Fund Target Plus Surcharge
\$50,001* - \$249,999	Fed Fund Target plus 4%
\$250,000 - \$499,999	Fed Fund Target plus 3.75%
\$500,000 - \$999,999	Fed Fund Target plus 3.50%
\$1,000,000 and above	Fed Fund Target plus 3.25%

*minimum depends upon state

Resource Checking & Corestone Account

Annual Fees

- Platinum Account.....Waived
- Corporate Platinum Account.....Waived

Stop Payments (Corestone).....Waived

Bill Suite.....Waived

ATM Withdrawal (in-network).....Waived

Overnight Mailing (checkbook or debit card).....\$20

Initial Check Order

- Personal Checks.....Waived
- Business Checks.....\$50

Personal Check Re-Orders

- Platinum & Corporate Platinum.....\$7.50
- Business Checks.....\$40

Copies of Paid Checks/VISA Drafts.....\$2.50

SIPC Coverage

Pershing is a member of SIPC, which protects securities customers up to \$500,000 (including \$250,000 for claims for cash). Details available at sipc.org. Excess of SIPC Coverage Through Underwriters at Lloyd's and Other Commercial Insurers In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits from certain underwriters in Lloyd's insurance market and other commercial insurers. The excess of SIPC insurance program is valid through February 10, 2020, for Pershing LLC accounts. It provides the following protection for Pershing LLC's global client assets:

- An aggregate loss limit of \$1 billion for eligible securities — over all client accounts
- A per-client loss limit of \$1.9 million for cash awaiting reinvestment — within the aggregate loss limit of \$1 billion

SIPC and the excess of SIPC insurance policy do not protect against loss due to market fluctuation. An excess of SIPC claim would only arise if Pershing failed financially and client assets for covered accounts — as defined by SIPC — cannot be located due to theft, misplacement, destruction, burglary, robbery, embezzlement, abstraction, failure to obtain or maintain possession or control of client securities, or to maintain the special reserve bank account required by applicable rules.