



Steward Partners Investment Solutions Fee Schedule (Pershing)

	Brokerage Account	Advisory Account
ACH Return Charge ¹	\$25	\$25
NSF Returned Check Deposits ¹	\$25	\$25
Stop Payment ¹	\$10	\$10
DWAC transfer agent pass thru ¹	Pass thru	Pass thru
DWAC processing fee (DTC withdrawal) ¹	\$5	\$5
Legal and Restricted Stock Transfer ¹	\$135	\$135
Outgoing Wires US and non US ²	\$25	\$25
Account Transfer Fees		
Outgoing transfer ²	\$125	\$125
Register and ship certificate ²	\$100-\$500	\$100-\$500
DRS transfer ²	\$25	\$25
Additional DRS charges from transfer agent ¹	Pass thru	Pass thru
Retirement Account Annual Maintenance Fees		
Traditional, Roth, Sep IRAs and ESAs ^{2,4}	\$75	Waived
401K, Simplified 401K, Simplified PS & MP Plan ²	\$75	Waived
Flex 401K, PS & MP Plan ¹	\$125	Waived
Retirement Account Transaction Fees		
Termination or transfer fee ¹	\$95	\$95
Returned ACH (employer or participant) ¹	\$25	\$25
IRA Resource checking return check or stop payment ¹	\$25	\$25
Foreign Transfer Fees		
Foreign account fee ^{2,11}	\$75	\$75
Foreign market transfers, Euroclear and non-US Markets ²	\$125	\$125
Account Servicing Fees		
Trade handling fee ²	\$5.95	Waived
SEC fee ¹	Pass thru	Waived
DK fee ¹	\$10	\$10
Overnight Courier Standard ¹	\$12	\$12
Overnight courier Saturday delivery ¹	\$18	\$18
Overnight courier International ¹	\$25	\$25
Paper confirm, statement, notification ^{2,7,13}	\$5	Waived
Paper tax document ^{1,5,13}	\$10	Waived
Inactive retail account ^{2,8,9}	\$75	n/a
Margin extension ¹	\$30	n/a
Private placement physical settlement ¹	\$500	\$500
Reorganization items mandatory ^{2,3}	\$10	Waived
Reorganization items voluntary ^{2,3}	\$50	Waived
Puerto Rico tax reporting ¹⁰	\$50	\$50
Safekeeping ²	\$12.50	\$12.50
Forced monthly statements ²	\$5	\$5
UBTI IRA Form 990-T Processing ¹	\$200	\$200



	Brokerage Account	Advisory Account
Special Product Fees		
Alternative Investment transaction fee ^{1,6}	\$50	Waived
Alternative Investment transfers and redemptions ^{1,6}	\$50	Waived
Corestone Asset Management Checking		
Silver Account Plus ¹	\$50	\$50
Silver check reorder ¹	\$12.50	\$12.50
Gold ¹	\$100	\$100
Gold check reorder ¹	\$10	\$10
Platinum ¹	\$150	\$150
Platinum check reorder ¹	\$7.50	\$7.50
Corporate Gold ¹	\$150	\$150
Corporate Platinum ¹	\$250	\$250
Corporate check initial order ¹	\$50	\$50
Corporate check reorder ¹	\$40	\$40
Carbon copy check initial order ¹	\$15	\$15
Carbon copy check reorder ¹	\$25	\$25
Checkbook or debit card overnight mailing ¹	\$40	\$40
Returned checks or ACH ¹	\$25	\$25
Stop payment ¹	\$25	\$25
Cash advance fee (non-ATM) ¹	.25% of principal	.25 of principal
Commission Schedule		
Stocks, ETFs, Options	2% of principal	Waived
Structured products, mutual funds	By prospectus	By prospectus
Fixed Income (Corporate, Muni, Govt, Principal or Agency)	3% of principal	Waived

The fees listed apply to Steward Partners commission and advisory accounts that are carried or custodied with Pershing, LLC (Pershing).

¹Fees are a pass thru of fees charged by Pershing without any renumeration to Steward Partners.

²Fee is a source of income and compensation for Steward Partners.

³Fees are for activities that support transactions, such as exercising warrants or rights, voluntary tenders, mandatory tenders, the conversion of convertible bonds or preferred stock.

⁴Fee is waived when household value is greater than \$500,000.

⁵Fee will only be charged if confirms, statements or notifications are set to e-Delivery but tax documents are set up to receive paper on December 31st.

⁶Fee will be waived for funds in the Pershing alternative investment no fee program.

⁷Fee will be charged quarterly in arrears for each month that paper is turned on, regardless of any paper communications being produced for that month.

⁸Fee waived when household value is greater than \$250,000.

⁹Inactive account fee is defined as an account holding a security for a full calendar year (January 1- December 31) without generating a: trade, margin interest of at least \$100 or mutual fund systematic trades. Reinvestments and exchanges are considered a trade. Equity dividend reinvestments are not considered a trade.

¹⁰All account with a Puerto Rico tax residence where Puerto Rico tax reporting is required shall be subject to the annual Puerto Rico tax reporting fee. In addition, any US account that has a Puerto Rico tax reporting requirement (form 480.6) shall be subject to the annual Puerto Rico tax reporting fee.

¹¹All account with a tax residence other than in the US or Puerto Rico that maintain a position, balance or had a form 1042-S reportable transaction during the calendar year shall be subject to this fee.

¹²Reach out to your advisor for details on product differences.

¹³Not applicable for electronic delivery options.

There are certain pass thru fees which are not shown that Pershing will access to client accounts. Certain programs have fees that may vary. In these instances, please consult the customer account agreement for pricing information. Fees are assessed against cash in an account or sweep program. If funds are not available to cover fees or activity related debits, holdings may be liquidated to cover any outstanding debit. Fees are subject to change with notice. Not all fees may be shown or are applicable to all account types. We may implement new fees and charges for additional services or features in the future.

Securities are offered through Steward Partners Investment Solutions, LLC (“SPIS”), registered broker/dealer, member FINRA/SIPC. Investment advisory services are offered through Steward Partners Investment Advisory, LLC (“SPIA”), an SEC-registered investment adviser. SPIS, SPIA, and Steward Partners Global Advisory, LLC are affiliates and collectively referred to as Steward Partners.

Securities, insurance products and investment advisory services are: • **NOT** FDIC Insured • **NOT** Bank Guaranteed • and **MAY** Go Down In Value.

Steward Partners maintains operational, compliance, and technology resources in support of its broker-dealer operations necessary to meet its regulatory obligations and provide these and other services in connection with your account and any transactions effected in your account. As a result, Steward Partners generally sets the commissions and charges detailed herein at amounts and rates that are higher than the related fees, costs, and expenses, if any, that Steward Partners pays to Pershing for clearance and execution of transactions and related services.

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