

Institutional Custodial Services Exclusively for Independent Registered Investment Advisors

Fee Schedule (effective 01/01/2024) No advisor minimum. No account minimum.

Equity Trades \$4.95*		
Online Orders	\$4.95 minimum	
*Over 2000 shares=\$.01 per share for full order, \$95 maximum (except foreign). Foreign security fees vary by country. Broker-assisted order \$35 min, \$95 max. SEC fees on sell orders, foreign agency fees, and taxes are charged on a pass-through basis on all trades.		
Bonds & Other Fixed Income		
Agency Trades	\$50 per bond trade	
Principal Trades	NTF (included in bond price / yield)	
Listed Bonds, UITs, ARPs, CDs, Treasuries at Auction	\$50	
CDs, New Issues	Fees vary by bank. Add'l \$35 max. svc fee.	
Options	Online	Broker-assisted
Options	\$19.95 + \$1.25 /contract	\$35 + \$1.50 per contract
Option Exercise	n/a	\$35 per assignment
Fee Choice – Alternate Asset-based Trade Pricing Schedule		
Fee Range: 30 to 15 bps Minimum: \$350 annually		
Margin Rate: Annualized rate based on average debit balance		
\$0 - 10,000	Broker Call + 2.5%	
10,001 – 50,000	Broker Call + 2.0%	
50,001 – 100,000	Broker Call + 1.5%	
Over 100,000	Broker Call + 1.0%	
Over 1,000,000	Broker Call + 0.75%	
Broker Call rate is subject to change. Hard-to-borrow short positions subject to surcharge based on market demand. Ask about our Fully Paid Securities Lending program.		
Cash Management Products		
	Corestone Silver & Silver Plus	Corestone Gold & Platinum
Annual Fee	Checkwriting-\$25 Checks plus Debit Card-\$50	Gold- \$100. Corp- \$150 Platinum-\$150 Corp-\$250
Minimum to open	Silver-\$5,000 SilverPlus-\$5,000	Gold-\$10,000 Platinum-\$20,000
Reorder checks	\$25	Gold-\$25, Platinum-\$25
Returned check/ACH	\$25	\$25
Stop Payment	\$25	\$25
Overnight Delivery Checks / Debit Card	\$25	\$25
Retirement Accounts		
IRA annual fee- Accts over \$10,000	Fee Waived	
IRA annual fee- Accts under \$10,000	\$25 not prorated	
QRP, SEP, 403b, Individual(k), 401k annual fee	\$50	
Roth IRA Conversion/Recharacterization	\$25	
401k Loan Processing	\$95	
Retirement acct termination fee	\$95	
Alternative Investment/Limited Partnership/Private Investment		
Custody Fee per position /year-not prorated	\$60 reg'd/\$150 unreg'd	
Subscription/Redemption/Transfer/Rereg	\$125	
Unrecognized Income Filing	\$200	

Mutual Funds—Over 15,000 funds. 8,000 NTF funds available without transaction fees		
Please see Mutual Fund Network Guide for NTF list, other costs, and disclosures.		
Transaction Fee Funds—Online Order	\$15- \$25^^	
Transaction Fee Funds—Broker assisted	\$35	
DFA Funds	\$10	
Exchanges (Buy and Sell between funds same day-same fund family)	\$25 (\$12.50 per side) \$15 for DFA	
Periodic (SRS) Non-NTF funds	\$4	
NTF Fund Minimums**	No-load and many Load NTF Funds	Load Funds NAV at NTF*^
Regular trades	2,500	5,000
IRAs/QRPs	500	5,000
Periodic (SRS) Purch/redm	100	1,000
*Short-Term Redemption (STR) Fee on NTF funds: \$75 for shares purchased at SSG and sold in 3 months or less; STR for periodic redemptions held less than 3 months is \$5.50. *\$25 transaction fee applies on redemptions of load funds within 3 months of transfer-in **\$25 transaction fee applies on orders below NTF minimum. ^\$5,000 minimum purchase may apply. Fund minimums and SSG minimum may vary. ^RIA's may purchase most load funds under a load-waiver--See fund prospectus ^^\$25 fee applies to these and other funds: Vanguard, Dodge&Cox, Pimco Instl, CGM, Fairholme, Aegis, Allianz Instl, Northeast Invstrs, Meridian, Alpine, New Alternatives, Loomis Instl, Sequoia, FPA Funds, Stratton, T Rowe Inst'l, American F-3, other F-3 and most Institutional Funds.		
Optional Services for Advisor's Firm		
Advisory Fee Prep Service	\$5 per acct per event min \$100	
Enhanced cost basis on statement	\$2.50 per acct per qtr	
Data Downloads	\$100 per mo	
Performance Report Quarterly Basic/Extended	\$20/\$25 per acct per quarter	
Miscellaneous Account Fees		
Certificate / Legal Transfer / Rule 144	\$95	
Check Stop payment or /ACH returned	\$25	
Dividend Reinvestment on equities	25¢ per item	
Trade Correction, DK'd, Post settlement	\$25 per trade, + losses	
ESOP Exercise	\$100 plus transfer fees	
Foreign Account/Puerto Rico Account	\$75 annually	
Foreign Ordinary Shares, transfer/settle	\$75 to \$450, by country	
Margin Extension	\$25	
Mutual Fund share class conversion	\$50	
Overnight Check Delivery	\$25	
Paper Tax Documents (e.g., 1099, 1099R)	\$10 annually	
Paper document delivery	\$2 per month	
Safekeeping/Foreign Custody	\$10 per month/per item	
Transfer Out/ ACAT out/ Partial Transfer	\$95 per transfer	
Wire Fee	\$35 in USA/ \$50 foreign	
Corporate Reorg Items		
Voluntary	\$25	
Mandatory	No charge	
Physical delivery	\$95	
Rejected deposit	\$100	
Loan Advance to 70% of account equity (Not available in all states)		
\$25,001 - \$500,000	Prime Rate plus .50%	
\$500,000-\$1 million	Prime Rate plus .40%	
\$1 million or more	Prime Rate plus .35%	