

# SA STONE SCHEDULE OF ACCOUNT FEES

Effective July 19, 2021

1099 Tax Statement	\$2.00	Per year
Accommodation Transfer	\$60.00	Per transfer
Account Transfers	\$150.00	Per transfer
Alternative Investment Transaction Fee	\$50.00	Per transaction
Alternative Investment Transfer Fee for Registered	\$35.00	Per transfer
Alternative Investment Transfer Fee for Unregistered	\$125.00	Per transfer
Annual per Position Service Charge for Registered Alternative Investments	\$35.00	Per year
Annual per Position Service Charge for Unregistered Alternative Investments	\$125.00	Per year
Bond Redemption Fee	\$10.00	Per redemption
Bond Redemption Notification Fee	\$1.00	Per redemption
Business Checks Reorder- Corp Gold Plat	\$40.00	Per reorder
Business Initial Check. Order	\$50.00	Per order
Carbon Copy Check Reorder	\$25.00	Per reorder
Carbon Copy Checks - Initial Order	\$15.00	Per order
Checkbook / Debit Overnight Mailing Cust	\$20.00	Per event
Confirm Paper Surcharge	\$2.50	Per confirm
Confirmation Fee	\$5.00	Per trade
Dividend Reinvestment	\$1.00	Per event
DRS Transfer	\$10.00	Per transfer
DWAC Processing And Pass Through Fees (DTC Deposit)	\$3.00	Per event
DWAC Processing And Pass Through Fees (DTC Withdrawal)	\$5.00	Per event
Fed Fund Wire Distribution	\$20.00	Per wire
Flexible 401(k), Flexible Profit Sharing and Flexible Money Purchase Plans	\$125.00	Per year
Forced Customer Statements	\$1.00	Per month
GNMA Transfers	\$135.00	Per transfer
Gold Account Annual Fee	\$100.00	Per year
Gold Account Annual Fee- Corporate	\$150.00	Per year
Gold Check Reorder	\$10.00	Per reorder
Good Til Cancel Notification Fee	\$1.00	Per order
Inactive Account Fee	\$45.00	Per year
Individual (k), Simplified 401(k), Simplified Profit Sharing and Simplified Money Purchase Plans	\$75.00	Per year
Insufficient Funds	\$40.00	Per item
IRA, Roth IRA, Coverdell Education Savings Accounts, and IRS Model 5305 SEP	\$50.00	Per year
Legal Transfer	\$135.00	Per transfer
Limited Partnership Fees	\$50.00	Per event
Loan Processing	\$50.00	Per transaction
Margin Extension	\$10.00 + interest	Per event
Mutual Fund and SRS Exchange Fees	\$5.00	Per exchange
Mutual Fund Only Conversion Fee	\$50.00	Per conversion
Mutual Fund Only: IRA, Roth IRA, Simple and SEP	\$15.00	Per year
Mutual Fund Redemption Fee	\$22.50	Per trade
Mutual Fund Surcharge	\$10.00	Per transaction
Non-US Foreign Account Fee	\$50.00	Per year
Non-US Market Transfers: Euroclear	\$25.00	Per transfer
Non-US Market Transfers: All other Non-US Markets Depositories	\$75.00	Per transfer
Online Performance Basic Package	\$9.00	Per quarter
Online Performance Plus Package	\$12.00	Per quarter
Option Exercise Fee	\$10.00	Per transaction
Overnight Check Delivery	\$12.00	Per delivery
Overnight Check Foreign Delivery	\$25.00	Per delivery
Overnight Check Saturday Delivery	\$12.00	Per delivery
Physical Private Placement Fee	\$500.00	Per event
Platinum Account Annual Fee	\$150.00	Per year
Platinum Account Annual Fee- Corporate	\$250.00	Per year
Platinum Check Reorder	\$7.50	Per reorder
Precious Metal Storage Fees	\$75.00	Per quarter
Puerto Rico Tax Reporting	\$50.00	Per year
Quarterly Performance Reporting - Basic	\$18.75	Per quarter
Quarterly Performance Reporting - Plus	\$31.25	Per quarter
Register and Ship Certificate	\$100.00	Per event
Registration Transfer Fee	\$100.00	Per transfer
Reorganizations Mandatory	\$10.00	Per event
Reorganizations Voluntary	\$50.00	Per event
Resource Checking Return Check	\$20.00	Per event
Resource Checking Stop Payment	\$10.00	Per event
Restricted Legal Transfer	\$135.00	Per transfer
Retirement Plan Manager Service	\$25.00	Per quarter
Retirement Termination Fee	\$95.00	Per event
Return ACH	\$40.00	Per event
Returned Checks	\$25.00	Per event
Safekeeping	\$10.00	Per month
Sarsep/Prototype SEP, Simple IRA, and 403(b) (7) Custodial Accounts	\$65.00	Per year
Silver Account Annual Fee	\$25.00	Per year
Silver Check Reorder	\$12.50	Per reorder
Silver Plus Account Annual Fee	\$50.00	Per year
Statement Paper Surcharge	\$2.50	Per quarter
Stop Check Error	\$30.00	Per event
Stop Payment	\$25.00	Per event
UIT Redemption Fee	\$45.00	Per event
Year End Account Report	\$3.00	Per year

## MARGIN INTEREST

DEBIT BALANCE	MARGIN RATE
\$0 - \$9,999	Pershing Base Lending Rate + 0.75%
\$10,000 - \$29,999	Pershing Base Lending Rate + 0.25%
\$30,000 - \$49,000	Pershing Base Lending Rate - 0.50%
\$50,000 and over	Pershing Base Lending Rate - 1.00%

The Pershing Base Lending Rate can be found on Pershing's public website ([www.pershing.com/rates](http://www.pershing.com/rates))

## CHECK PAYMENT INSTRUCTIONS

Make checks payable to 'Pershing LLC.' and include the affected account number in the 'Notes/Memo' field.