



Retirement Account Fees¹	
Traditional IRA, Roth IRA, SEP IRA, Educational Savings Accounts (Fee-based accounts)	\$0.00 / year
Traditional IRA, Roth IRA, SEP IRA, Educational Savings Accounts (Commission-based accounts) ²	\$75.00 / year
Traditional IRA, Roth IRA, SEP IRA, Educational Savings Accounts (Mutual Fund Only) ²	\$25.00 / year
Individual(k), Simplified 401(k), Simplified Profit Sharing and Simplified Money Purchase Plan Document Type ³	\$75.00 / year
Flexible 401(k), Flexible Profit Sharing and Flexible Money Purchase Plan Document Type	\$125.00 / year
Conversion from existing IRA to Mutual Fund Only IRA	\$50.00 / request
Account Termination/Transfer Fee	\$95.00 @ termination

Cornerstone/Checkwriting Fees	
Silver Account	\$0.00 / year
Silver Account Plus	\$50.00/year
Gold Account	\$100.00/year
Platinum Account	\$150.00/year
Corporate Gold Account	\$150.00 /year
Corporate Platinum Account	\$250.00 /year
Personal Checks – Initial Order	\$0.00
Personal Checks – Checks Reorder (Silver)	\$12.50 / order
Personal Checks – Checks Reorder (Gold)	\$10.00 / order
Personal Checks – Checks Reorder (Platinum)	\$7.50 / order
Carbon Copy Checks – Initial Order	\$15.00 / order
Carbon Copy Checks –Reorder (Silver, Gold, Platinum)	\$25.00 / order
Business Checks – Initial Order	\$50.00 / order
Business Checks – Checks Reorder	\$40.00 / order
Returned Checks of ACH Debits	\$25.00 / event
Stop Payments	\$25.00 / event
Cash Advance Fee (non-ATM)	0.25% of principal (\$2.50 minimum) / withdrawal
Overnight Checks / Card Delivery ⁸	\$40.00 / request

Account Service Fees	
Inactive Account Fee (Retail Accounts) ^{1,2,4}	\$75.00 / year
Inactive Account Fee (Mutual Fund Only Retail Accounts) ^{1,2,3}	\$25.00 / year
Bond Redemption Fee ^{1,2}	\$5.00 / event
Bond Redemption Notification Fee ^{1,2}	\$2.00 / event
Checking Fees – Stop Payment (non-Cornerstone Account)	\$10.00 / event
Checking Fees – Returned Checks (non-Cornerstone Account)	\$25.00 / event
Postage and Handling Fees ^{1,2}	\$5.95 / confirm
Margin Extensions ¹	\$30.00 / extension
Non-U.S. (“Foreign”) Account Fee ^{2,5}	\$75.00 / year
Paper Delivery Surcharge for Customer Statements and Confirm ^{1,2,6,7}	\$5.00 / statement or confirm
Special (Forced) Statement Product	\$5.00 / event
Physical Private Placements -Settlement Fee	\$500.00 / trade
Puerto Rico Tax Reporting Fee	\$50.00 / account / year

¹ This fee included in your investment advisory annual fee

² Steward Partners Investment Solutions adds markups fees imposed by Pershing.

³ Due annually, charge upon account set up.

⁴ Inactivity an account holding a security for a full calendar year 1/1 -12/31 without generating (1) trade (2) margin interest of at least \$100. Mutual fund systematic trades, reinvestments and exchanges are considered a trade. Equity dividend reinvestments are not considered trades. Inactive Fee Exemptions: Corestone Gold or Platinum, SPIS Investment Advisory Program, LoanAdvance, Directed Trust Services, Lockwood and Managed Investments, where Pershing acts as custodian or servicing agent and collects service fees, OR accounts exclusively holding “book entry only” fixed income positions, an aggregate FundVest position of \$10,000 or more, or a Cash Management Choice – Group 1 sweep balance of \$10,000 per month or more.

⁵ All accounts with a tax residence other than in the U.S. or Puerto Rico (“Foreign”) that maintain a position, balance or had a Form 1042-S reportable transaction during the calendar year shall be subject to this annual fee.

⁶ Not applicable to electronic delivery option

⁷ Subject to change based on postal rates, paper and vendor costs. Fee assessed for customer and interested party statements per physical statement production and billed in arrears. Physical delivery surcharge for customer confirmations is assessed on a per trade basis and billed as incurred.



Safekeeping – Name US and Non-US Market Securities ²	\$150.00
Accommodation Transfers ²	\$100.00 / transaction
Direct Registration Eligible – from Pershing to Customer ²	\$25.00 / event
Deposit and Withdrawal at Custodian (DWAC) Pass Through Fees (DTC Deposit) ²	\$10.00 / event
Deposit and Withdrawal at Custodian (DWAC) Pass Through Fees (DTC Withdrawal)	\$5.00 / event
Deposit and Withdrawal at Custodian (DWAC) Pass Through Fees (Transfer Agent)	pass-through from transfer agent
Pershing DWAC Processing Fee	\$5.00 / instruction message
Legal, GNMA, and Restricted Items	\$135.00 / transaction
Non-US Market Transfers: Euroclear ⁷	\$125.00 / item
Non-US Market Transfers: All Other non-US Markets Depositories ⁷	\$125.00 / item
Outgoing Account Transfers ²	\$125.00 / transfer
Register and Ship Physical Certificate to Investor ⁸	\$500.00 / transfer
Wired Funds (outbound)	\$25.00 / transfer
Wired Funds (inbound) ⁴	\$0.00
Overnight Courier Fee: Standard Delivery	\$12.00 per item
Overnight Courier Fee: Saturday Delivery	\$18.00 per item
Overnight Courier Fee: International Delivery	\$25.00 per item
Reorganization Items – Voluntary ^{1,9}	\$50.00 per event
Reorganization Items – Mandatory ^{1,9}	\$10.00 per event

Broker Dealer Commission Schedule¹⁰	
Stocks, ETFs, UITs	\$10.00 (min) up to 2.0% of principal price
Options	\$10.00 (min) up to 2.0% of the opening option transaction(s)
Structured Notes	Based on prospectus
Mutual Funds	Sales load in prospectus
Fixed Income (Corporate, Municipal, Government Bonds) – Agency / Principal	\$10.00 (min) up to 3.0% of principal price

Securities and investment advisory services offered through Steward Partners Investment Solutions, LLC, registered broker/dealer, member FINRA/SIPC, and SEC registered investment adviser. Investment Advisory Services may also be offered through Steward Partners Investment Advisory, LLC, an SEC registered investment adviser. Steward Partners Investment Solutions, LLC, Steward Partners Investment Advisory, LLC, and Steward Partners Global Advisory, LLC are affiliates and separately operated.

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

[Regulatory Information & Disclosures](#) | [Important Disclosures](#)

⁸ Steward Partners Investment Solutions adds markups fees imposed by Pershing

⁹ Activities that support transactions such as exercising rights or warrants, voluntary tenders, involuntary tenders, the conversion of convertible bonds or preferred stock.

¹⁰ Commissions do not apply to investment advisory programs sponsored by Steward Partners Investment Solutions, LLC (RIA) For more details, please refer to our Form CRS, your investment advisory agreement and our Firm's ADV Form ADV Part 2A.