



2026 Client Brokerage Fee Schedule for Pershing Accounts

Retirement Account Fees	Amount	Frequency
Traditional IRA, Roth IRA, SEP IRA, ESA (Investment Advisory Accounts)	\$0	
Traditional IRA, Roth IRA, SEP IRA, ESA (Commission-Based Accounts)	\$43.50	Annual, in arrears
DirectChoice/Mutual Fund Only IRA	\$0	
Other/Qualified Retirement Account Types	\$50.00	Upfront, then annual
Account Termination Fee	\$95.00	Transaction
ESOP	\$50.00	Transaction

Account Service Fees	Amount	Frequency
Alternative Investment (Registered Product)	\$35.00	Annual
Alternative Investment (Unregistered Product)	\$85.00	Annual
Cash Due Interest on Debit Balances	PBLR + 1.5% ¹	Monthly
Certificate Safekeeping (Per Certificate)	\$10.00	Monthly
Fed Funds Wire Transfer	\$25.00 ²	Transaction
Forced Statements (Generated with No Activity)	\$1.00	Monthly
Foreign Securities Transfers	Euroclear: \$50 All others: \$75	Transaction
Inactive Account Fee (MF Only Account, DirectChoice)	\$0	
Inactive Account Fee (Retail Brokerage Accounts)	\$50.00 ²	Annual
Insufficient Funds (Return Check/ACH)	\$20.00	Transaction
Mutual Fund Surcharge (Charged in addition to standard trading fee on select funds)	\$10.00	Transaction
Options Assignment	\$15.00 ²	Transaction
Overnight Delivery of Check	\$12.00	Transaction
Outgoing Account Transfer Fee—Non-Retirement Account (to a non-Pershing firm)	\$150.00 ²	Transaction
Outgoing Account Transfer Fee—Non-Retirement Account (to Pershing firm)	\$150.00 ³	Transaction
Paper enrollment of statements, trade confirmations, prospectuses, proxy/ shareholder communications, and other account notices*	\$4.50 ²	Quarterly, in arrears
Regulatory Transaction Fee	Pass thru ⁴	Transaction
Reorganization—Mandatory; Bond/Fixed Income Redemption	\$10.00	Transaction

* DirectChoice accounts are exempt

Margin Accounts (Rates as of 1/26)^{1,2}

Debit Balance	Interest Rate
\$0 to \$24,999.99; PBLR +	2.00%
\$25,000.00 to \$49,999.99; PBLR +	1.50%
\$50,000.00 to \$99,999.99; PBLR +	1.00%
\$100,000.00 and above; PBLR +	0.75%

CORESTONE/Check-writing Fees	Amount	Frequency
Silver Account	\$0	
Silver Plus Account	\$50.00	Annual
Gold Account	\$100.00	Annual
Gold Corporate Account	\$150.00	Annual
Platinum Account	\$150.00	Annual
Platinum Corporate Account	\$250.00	Annual
Check Orders—Initial and Reorder	Vendor Pricing	Transaction
Retrieve Copy/Paid Check	\$2.50	Transaction
Stop Payment	\$25.00	Transaction

Trading Fees – Wealth Management Platform: Advisor Managed Portfolios (AMP Client Pay Tickets accounts) ⁵	Amount	Frequency
Equity/ETF	\$7.00	Transaction
Mutual Funds – Load @ NAV	\$7.00	Transaction
Mutual Funds – No Load	\$7.00	Transaction
Mutual Fund PIP/SWP	\$0	
Mutual Fund Exchange	\$0	
Mutual Fund Surcharge (charged in addition to standard trading fee on select funds)	\$10.00	Transaction
Fixed Income	\$7.00	Transaction
NTF mutual fund/ETF trade ⁶	\$0	
UIT	\$7.00	Transaction
Options	\$7.00	Transaction

Commission Schedule – Brokerage Accounts	
Equity	Up to 5% of principal (\$35 minimum) ³
Mutual Funds	No Load Purchase/Redemption and Load Redemption: up to \$13 ³ Load Purchase: \$0 Exchange/PIP/SWP: \$0
Fixed Income/UIT	Up to 2.75% of principal (\$45 minimum)
Options	Up to \$50/contract on the first two contracts, plus \$5 per contract thereafter (\$45 minimum)

Client Online Trading Ticket Charges & Commissions (approved for select clients only) ²	
Equity Orders	\$29.95
Mutual Fund Orders	\$29.95

1 Contact your Financial Professional for current rates.

2 Osaic Wealth adds an additional amount ("markup") on fees imposed by Pershing.

3 A fee assessed by Osaic Wealth and not Pershing.

4 Regulatory fee is assessed on proceeds from most equity and options sell transactions.

5 For WMP AMP wrap accounts, mutual fund surcharge of \$10 will be assessed to the trade, if applicable (charged on select mutual funds), but all other standard trading fees to client are \$0.

6 All custodian requirements for inclusion into NTF program must be met including enrollment of CUSIP into NTF program at the time of original purchase and minimum holding periods. Contact your Financial Professional for full program requirements.

7 If minimum fee is charged the commission may exceed 5% of principal.

Specific client programs may have fees that vary. In these instances, please consult the client/account agreement for pricing schedule. All fees are assessed against cash or cash sweep in the account. Fees are subject to change and are depicted on a per account basis and are not prorated when an account is closed prior to its anniversary date. Not all fees may be shown or are applicable to all account types. Please speak with your investment professional for additional details.

Securities and investment advisory services are offered through Osaic Wealth, Inc., broker-dealer, registered investment adviser and member of FINRA and SIPC. Osaic Wealth, Inc. is separately owned and other entities and/or marketing names, products or services referenced here are independent of Osaic Wealth, Inc.