



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% ² | 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/Returned check | \$25.00 ² | 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) ² |
| Mutual Funds | No Load Purchase/Redemption and Load Redemption: up to \$13 ² 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.

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