

Pershing®

AN AFFILIATE OF THE BANK OF NEW YORK MELLON

Harbour Investments, Inc. Fee Schedule (For Internal Use Only)

\$22 Minimum per Equity Transaction
Add \$5 per trade on orders placed by Harbour Home Office Staff

Clearing Charges*

New Ticket	Low	High
\$ 22.00	\$ -	\$ 24,999.99
\$ 40.00	\$ 25,000.00	\$ 49,999.99
\$ 60.00	\$ 50,000.00	\$ 99,999.99
\$ 120.00	\$ 100,000.00	\$ 249,999.99
\$ 225.00	\$ 250,000.00	\$ 499,999.99
\$ 450.00	\$ 500,000.00	\$ 999,999.99
\$ 850.00	\$ 1,000,000.00	+

Options Equity/Index	\$20 + \$1.00 per contract
Option Assignment	\$10 in addition to regular charges
CD's, Corp and Muni Bonds	Bond Central Trades \$30 Non-Bond Central Trades \$40
Govt Bonds	\$40
UIT's	\$35

Mutual Funds*

Load/No-Load Purchase	\$13
Load/No-Load Redemption	\$13
NAV Purchases	\$13
Fund-Vest Pur/Red	\$0**
No-load MF Non-Fund/SERV	\$20
Load MF Non-Fund/SERV	\$40
Mutual Fund Exchanges	\$8 to client / \$5 to Rep
Mutual Fund DCA	\$2.50 (Buys or Sells)

*These charges represent the standard costs.
 Harbour reserves the right to pass through additional charges.

** FundVest charge for redemption prior to holding 6 months - \$52.00

HOUSE ACCOUNT CHARGES \$60 OR 1% WHICHEVER IS GREATER

Short Interest/Debits are charged to the client account.

Customer Charges*

Paper Statements/Confirmations/Notifications or Proxy/Shareholder Comm.	\$2/month
Statement and Trade Confirm Fee	\$3.55/trade
Overnight Check	\$12/Sat. Delivery \$18
Margin Extension	\$10
Returned checks/ACH	\$20
Stop Payment on Pershing Issued Check	\$10
Fed Wire Funds	\$20
Inactive Account Fee (Mixed Account/Mutual Funds Only)	\$25 / \$12.50
Dividend Reinvestment Fee	\$1
Register & Ship Cert Fee	Varies by Transfer Agent
Legal & GNMA Transfer	\$60

Voluntary Reorg Charges	\$20
Mandatory Reorg Charges	\$5 in account \$20 physical
Customer Name Safekeeping	\$2/month/position
Domestic/Foreign Security Safekeeping	\$2/month/position
Foreign Security Clearing (in addition to standard charges)	\$50-\$75
Private Placement/ LPs	\$35/item/year
Subscription/Redemption Fee	\$50/item
Account Transfer Out (Add \$12 overnight fee for checks over \$250k)	\$65
Direct Registration (outgoing)	\$10/fund transferred
DRS in from Transfer Agent (fee passed on from the Agent)	\$15 min.
DK items	\$10
Cancel/Rebill	\$20 min.
Busted Trade	\$10 min.
Statement & Confirm Copy charges are passed on from Pershing	\$25 min.
Forced Monthly Statements	\$1/month/account
1099 Tax and Year End Statements	\$2/account
NetXInvestor Client access (Edelivery access free)	\$2/account/month
Retirement Plans Fee*	
Traditional, SEP and Roth IRA Annual Fee	\$43.50
Mutual Fund Only IRA/Roth IRA Annual Fee	\$12
Qualified Plan Annual Fee	\$58.50-\$125.00
Termination Fee on all IRA's	\$95
Standard IRA conversion to Mutual Fund Only	\$50
Corestone Annual Fees*	
Corestone Silver	\$25***
Corstone Silver Plus	\$50***
Corestone Gold	\$100***
Corporate Gold	\$150***
Platinum	\$150***
Corporate Platinum	\$250***

***Refer to Corestone Fee Schedule for a complete listing of fees

As of 11-7-2024