

FEE SCHEDULE – Transaction-Based Pricing

For Managed Account Services clearing through Pershing LLC

Mutual of Omaha Investor Services
 Mutual of Omaha Plaza
 Omaha, NE 68175-1020
 Member FINRA/SIPC



Fee	What it is for	Recorded	Amount
Account Transfer	Transfer of account to another Broker Dealer or other custodian (does not apply to qualified accounts where Pershing is the custodian).	Statement	\$50 per account
Activity Assessment	Regulatory Fee assessed on proceeds from most equity and option sell transactions.	Confirmation	Per SEC regulations
Bank Wire	Wire money from your account at your request.	Statement	\$20 per wire
Direct Registration (DRS)	A transfer of securities to or from investor name on the books of the transfer agent on the Direct Registration System. *Note: certain transfer agents impose an additional \$10 per security to transfer from DRS to Pershing.	Statement	\$20 per security*
Equity Dividend Reinvestment	Charge for fractional share purchases (\$3 minimum) waived for Pershing retirement accounts and Corestone Gold and Platinum accounts.	Statement	\$1 per transaction \$3 minimum
IRA Maintenance	Annual fee applicable to retirement accounts with Pershing as the custodian.	Invoice	\$43.50 per year
IRA Maintenance – Mutual Fund Only	Annual fee applicable to retirement accounts with Pershing as the custodian.	Invoice	\$12.00 per year
IRA Conversion to Mutual Fund Only IRA	One-time charge when a full Traditional or Roth IRA is converted to a Mutual Fund Only IRA.	Invoice	\$50 per plan
IRA or Retirement Plan Maintenance	Annual fee applicable to SAR/SEP, SIMPLE and Qualified Plans where Pershing is the custodian.	Invoice	\$58.50 per plan account
IRA or Retirement Plan Termination	One- time fee charged when terminating your retirement account where Pershing is custodian.	Statement	\$95 per plan
Legal Transfer	Processing certificates with legal documentation (i.e. Power of Attorney, Court Appointment, Death Certificate, Corporate Resolution, etc.).	Statement	\$135 per security
Other Miscellaneous	Charges related to transactions and/or custody of Alternative Investments, ADRs, international securities, account pledges, etc.	Statement	At cost
Overnight Delivery	Fee charged for overnight delivery at customer request.	Statement	\$12
Overnight Saturday Delivery	Fee charged for overnight Saturday delivery at customer request.	Statement	\$18
Reorganization Activities	Processing mandatory or voluntary reorganization items.	Statement	\$10 per mandatory \$50 per voluntary
Restricted Stock	Charge to remove legend on Rule 144 restricted items. **Note: an additional \$50 charge may be applied by the custodian to review legal opinions.	Statement	\$40 per security** plus direct costs
Returned Deposits	Deposits made by check or ACH to your account returned due to insufficient funds or stop payment.	Statement	\$20 per item
Service Charge: ETFs/Equities and Fixed Income	Charge that applies to all exchange traded fund, equity and fixed income transactions separate from commission or mark-up. Go to www.mois.netxinvestor.com to sign up for e-delivery.	Confirmation	\$9.75 for Equities / ETFs \$11.75 for Fixed Income (reduced \$.75 if online confirmation)
Service Charge: Mutual Funds	Charge that applies to all non-systematic mutual fund purchases, sales or redemptions, separate from commissions or 12b-1 trails. Go to mois.netxinvestor.com to sign up for e-delivery. ***Note: An additional \$10 surcharge may be applied by the custodian for certain mutual funds.	Confirmation	\$7.75 per transaction*** (reduced \$.75 if online confirmation)
Service Charge: Mutual Fund Exchanges	Charge that applies to all mutual fund exchanges, separate from commissions or 12b-1 trails.	Confirmation	\$2 per side
Statement Paper Surcharge	Fee for each brokerage account statement sent by postal mail. To sign up for e-delivery go to www.mois.netxinvestor.com .	Statement	\$.075 per statement (waived if online statements)
Stop Payment Order	Stop Payment requested by you on disbursements made from your account.	Statement	\$10 per item