

FEE SCHEDULE – Transaction-Based Pricing

For Managed Account Services clearing through Pershing LLC

Mutual of Omaha Investor Services
3300 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	\$65 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
Bond Redemption	Return of principal investment.	Statement	\$10 per event
CD Redemption	Redemption of Certificate of Deposit.	Statement	\$10 per event
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 Maintenance	Annual fee applicable to Individual(k), Simplified 401(k), Simplified Profit Sharing and Simplified Money Purchase Plan plans where Pershing is the custodian.	Invoice	\$75 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
Paper Delivery Fee	Fee for electing to receive account statements, notifications, or trade confirmations via postal mail. Fee is waived if these documents are sent via e-delivery. Go to mois.netxinvestor.com to sign up for E-delivery.	Statement	\$2 charged monthly
Paper Delivery Fee – Tax Documents	Fee for electing to receive annual tax documents via postal mail. Fee is waived if these documents are sent via e-delivery	Statement	\$10 per year
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 \$135 Legal Transfer Fee
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 for Equities / ETFs \$11 for Fixed Income
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 per transaction***
Service Charge: Mutual Fund Exchanges	Charge that applies to all mutual fund exchanges, separate from commissions or 12b-1 trails.	Confirmation	\$2 per side

Service Charge: Unit Investment Trust (UIT)	Charge that applies to all sales or redemptions, separate from commissions or annual operating expenses. Go to mois.netxinvestor.com to sign up for E-delivery.	Confirmation	\$11 per transaction
Stop Payment Order	Stop Payment requested by you on disbursements made from your account.	Statement	\$10 per item

CORESTONE ASSET MANAGEMENT ACCOUNT

Annual Fees (charged on the anniversary of Corestone account opening and recorded on statement)

Silver account (waived for accounts with \$25,000 or more in average month-end closing cash sweep balances)	\$25.00
Silver Plus account	\$50.00
Gold account	\$100.00
Platinum account	\$150.00
Corporate gold account	\$150.00
Corporate platinum account	\$250.00

Checking Fees

Stop payment (no fee for Platinum accounts)	\$25.00
Returned checks for ACH debits (for any reason)	\$25.00
Copy of paid checks	\$2.50

Personal Checks

Initial order (includes check book cover, check register, deposit tickets and 40 checks)	None
Reorders (includes check register, deposit tickets and 100 checks)	\$12.50 – Silver and Plus \$10.00 – Gold (including Corporate) \$7.50 – Platinum (Incl. Corporate)

Business Checks

Initial order (includes business binder, business register, deposit tickets and 252 checks)	\$50.00
Reorders (includes business register, deposit tickets and 252 checks)	\$40.00
Binder reorder	\$20.00

Carbon Copy Checks

Initial order (includes checkbook cover, check register and 100 checks)	\$15.00
Reorder (includes check register and 100 checks)	\$25.00
Cash Advance Transaction Fee	0.25%
Copies of Paid Checks or Visa Drafts	\$2.50

VISA Fees

ATM withdrawal fee	None
ATM surcharge fee (charged by ATM not on PNC Bank or Allpoint network)	Varies
Copy of paid VISA draft	\$2.50
Cash advance fee (non-ATM)	0.25% of the transaction (\$2.50 min)
Foreign transaction fee (for transactions performed outside the U.S.)	1% of the transaction

