

AMP Service Charges

Concourse Financial Group Securities, Inc. as IBD Account Services



These charges are applied to client accounts and consist of processing and transaction services in addition to any fees paid to third parties, such as banks and/or clearing firms.

Account

Inactive Accounts	
• Mutual Funds Only.....	\$12.50
• Mixed Securities.....	\$25
Dividend Reinvestment.....	\$.50
Roth IRA Conversion.....	Waived
Tax Lot Accounting (accts. less than \$50k).....	\$12
Safekeeping (per position, per month)	
• Domestic Safekeeping.....	\$13
• Foreign Safekeeping.....	\$15
Bond Redemption.....	Waived

Paper/Notifications*

*Fees waived if enrolled in eDelivery of documents

Statement Hard Copies	
• Year End Account Report.....	\$3
• Account Statement.....	\$1
• 1099 Tax Statement.....	\$2
Trade Confirmation Charge.....	\$1
Bond Redemption Notification.....	\$1
Good Until Cancel Notification.....	\$1

Cashiering

Fed Fund Wire.....	\$35
Certified Check Delivery.....	\$12
Insufficient Funds.....	\$25
Stop Payment (non-Corestone).....	\$10
Mail Courier Fees	
• Overnight Delivery.....	\$20
• Saturday Delivery.....	\$25
• Overnight Foreign Delivery.....	\$30

Transfers

Security Transfers	
• Legal/GNMA Transfer.....	\$135
• Foreign Transfers.....	\$75
Outgoing Account Transfer.....	\$115
Direct Reg. System (DRS) Transfer Out.....	\$15
Direct Reg. System (DRS) Transfer In.....	Waived
Reorganization	
• Voluntary Transfer.....	\$20
• Mandatory Transfer.....	\$10
• Accommodation Transfer.....	\$60
• Register and Ship Certificate.....	\$60

Retirement Account Fees

Termination Fee.....	\$95
Annual Custodial Maintenance	
• IRA and Roth IRA.....	\$45
• Mutual Fund Only: IRA & Roth IRA.....	\$15
• Coverdell Education Saving Accounts.....	\$45
• IRS Model 5305 SEP.....	\$45
• SIMPLE, SARSEP, 403(b)(7).....	\$58.50
• Money Purchase and Profit Sharing.....	\$75
• 401(k) and Individual (k).....	\$75
• Flex 401k and Flex PS/MPP.....	\$125

Limited Partnerships, Private Placements, & Other Special Products

Subscription Fee (per purchase).....	\$50
Redemption Fee (per redemption).....	\$50
Re-Registration Fee (per position).....	\$50
Annual Alternative Investment Fee (per position)	
• SEC Registered Positions.....	\$35
• SEC Non-Registered Positions.....	\$125
Physical Private Placements.....	\$500

FundVest/NTF Program

Only applicable to accounts which assess trading charges

Transactions	
Trade and Exchange	Waived
Below Min. Trade*	\$6
Series Below Min. Trade*	Waived
Short-Term Redemption**	\$50
Series Short-Term Redemption**	\$5

** FundVest/NTF securities must be held for a minimum of 1 calendar month

*Minimums	
Non-Qualified Initial Purchase	\$2,500
Qualified Initial Purchase	\$500
Subsequent Purchase	\$500
Systematic Purchase	\$100

LoanAdvance Program

Loan/Line Amount	Prime Rate Plus Admin. Fee
\$0 - \$249,999	Prime Rate plus 1%
\$250,000 - \$499,999	Prime Rate plus .75%
\$500,000 - \$999,999	Prime Rate plus .50%
\$1,000,000 and above	Prime Rate plus .25%

Resource Checking & Corestone Account Fees

Stop Payment (excludes Platinum).....	\$25
Initial Check Order	
• Personal Checks.....	Waived
• Business Checks.....	\$50
Personal Check Re-Orders	
• Silver & Silver Plus.....	\$12.50
• Gold & Corporate Gold.....	\$10
• Platinum & Corporate Platinum.....	\$7.50
• Business Checks.....	\$40
Copies of Paid Checks/VISA Drafts.....	\$2.50

Annual Fees

• Silver Account*	\$25
• Silver Plus Account.....	\$50
• Gold Account.....	\$100
• Corporate Gold Account.....	\$150
• Platinum Account.....	\$150
• Corporate Platinum Account.....	\$250

*Fee waived for accounts greater than \$25,000.

SIPC Coverage

Pershing is a member of SIPC, which protects securities customers up to \$500,000 (including \$250,000 for claims for cash). Details available at sipc.org. Excess of SIPC Coverage Through Underwriters at Lloyd's and Other Commercial Insurers In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits from certain underwriters in Lloyd's insurance market and other commercial insurers. The excess of SIPC insurance program is valid through February 10, 2020, for Pershing LLC accounts. It provides the following protection for Pershing LLC's global client assets:

- An aggregate loss limit of \$1 billion for eligible securities — over all client accounts
- A per-client loss limit of \$1.9 million for cash awaiting reinvestment — within the aggregate loss limit of \$1 billion

SIPC and the excess of SIPC insurance policy do not protect against loss due to market fluctuation. An excess of SIPC claim would only arise if Pershing failed financially and client assets for covered accounts — as defined by SIPC — cannot be located due to theft, misplacement, destruction, burglary, robbery, embezzlement, abstraction, failure to obtain or maintain possession or control of client securities, or to maintain the special reserve bank account required by applicable rules.