

Account Service Charges - MCM - (EA4) - SMART INVESTMENTS



Overall fees are comprised of charges assessed by Pershing, LLC (“Pershing”) and Mariva Capital Markets, LLC (“MCM”). A portion of each fee relates to direct transaction charges imposed by Pershing, and the balance is received by MCM as additional revenue, portions of which may be shared with your broker, and ultimately will constitute additional compensation to MCM and/or your broker. Contact your broker or MCM’s corporate headquarters for further details related to this fee schedule. Please be advised that the schedule of charges is not exhaustive. For a questions regarding a particular charge, please contact your registered representative.

Account Transfer		Billing Event	
ACATS when the whole account is closing down	Automatic Outgoing Transfers	\$	85.00
	Manual Transfer	\$	85.00
Asset Movements		Certified Check Delivery	
Return check fee for non Corestone Accounts	Disbursement Error - Insufficient Funds	\$	30.00
Return check fee for non Corestone Accounts	Disbursement Error - Void Checks	\$	20.00
Return check fee for non Corestone Accounts	Insufficient Funds - Banking And Funds	\$	30.00
Checking Stop Payment for non Corestone Accounts	Payment Stop Error Fee	\$	20.00
Checking Stop Payment for non Corestone Accounts	Stop Check Fee	\$	20.00
Return check fee for non Corestone Accounts	Uncollected Fund Error	\$	30.00
Inactive Account Fees (Annual)		Inactive Acct - Mixed	
	Inactive Acct - Mutual Funds Only Accounts	\$	50.00
Foreign Receive and Deliver - ACATs (For partial delivery of foreign positions)		Agent Back Fee - Local Market Delivery	
	Agent Bank Fee - Euroclear Free Delivery	\$	40.00
	Agent Bank Fee - Local Market Receive	\$	90.00
	Agent Bank Fees- Euroclear Free Receives	\$	30.00
	Clearance Fee ACATs	\$	90.00
	Euroclear ACATs	\$	90.00
Margin Extension		Margin Extension	
	Margin Extension LA	\$	15.00
Redemptions		Bond Redemption	
		\$	10.00
Reorganizations Mandatory		Mandatory Reorg Deposit	
	Mandatory Reorg Physical	\$	10.00
	Mandatory Reverse Splits	\$	10.00
	Mandatory Reverse Splits Physical	\$	10.00
Reorganizations Voluntary		Voluntary Conversions	
	Voluntary Elections	\$	50.00
	Voluntary Exchanges	\$	50.00
	Voluntary Exercises	\$	50.00
	Voluntary Reorg	\$	50.00
Safekeeping Fees		Domestic Safekeeping, per account, per position, per month	
	Foreign Safekeeping	\$	10.00
Wire Fees		USD Fed Wire	
		\$	35.00

Wire Fees	Non USD Fed Wire	\$ 35.00
Mutual Fund Exchanges	Mutual Fund Exchange	\$ 10.00
	SRS Exchange (Systematic Reinvestment)	\$ 10.00
Confirmation Fee	Retail Customer Confirmation (Per confirmation)	\$ 2.00
Confirm/Statement Paper Surcharge	Confirm Paper Surcharge	\$ 2.00
	Statement Paper Surcharge	\$ 5.00
Ticket Cost	Service Charge (Ticket Cost x Transaction)	\$ 25.00
Alternative Investment Network Platform	Alternative Transaction Fee	\$ 50.00
	Annual per Position Service for Registered AI	\$ 35.00
	Annual per Position Service for Unregistered AI	\$ 125.00
Portfolio Evaluation Service (PES) Statement Enhancements	Account Cost Basis Service (Annual)	\$ 24.00
Portfolio Performing Packages - Albridge	Plus (6 Reports) - (Annual Charge - Quaterly Payments)	\$ 50.00
Account Annual Fee	Account Annual Fee - (Annual Charge - Quaterly Payments)	\$ 300.00