

1099 REP ANNUAL FEES

MANDATORY PRODUCT/SERVICE	DESCRIPTION	PRICE PER PERSON
E&O Insurance Fee	Errors and Omissions insurance	\$2,500 ^[1]
Fidelity Bond, MSRB, SIPC Insurance	Fidelity Bond, MSRB, and SIPC insurance	\$315
FINRA Registration Fees	Annual FINRA registration and renewal fees (excluding individual state registration)	\$175 ^[2]
IAR Registration Fee	Investment Advisor Representative registration fee (excluding individual state registration)	\$350 ^[2]
Books & Records	Regulatory books and records fee	\$225
Base Technology Fee	Base technology fee for software: commission reporting, compliance, e-mail, continuing education	\$2,000 ^[3]

OPTIONAL PRODUCT/SERVICE	DESCRIPTION	PRICE PER PERSON
SmartStation® Basic	Basic account information (generally for support staff)	\$1,750 ^[4]
SmartStation® Pro	Same as "Basic" but with quotes and research tools	\$1,900 ^[4]
SmartStation® Add-Ons	<ul style="list-style-type: none"> - Real-Time Stock Quotes - Real-Time Options Quotes - Dow Jones News - Options 	\$1,400 \$450 \$1,250 \$500
BlackDiamond	BlackDiamond software - 1.65 bps on AUM on platform	Calculated ^[5]
Branch Office Fee	Fee for registering office location with FINRA, branch office inspections	\$450 / per branch
Client Service Associate	Personal Client Service Associate located at Pinnacle headquarters	\$50 / hour
Technology Support	IT Support services that extend beyond SmartStation and email support. Including, but not limited to, desktop support, printer/scanner support, and mobile device support	8am - 5pm = \$125 / hour After Hours = \$187.50 / hour

Above fees represent the annual cost of each expense. Annual fees can be charged monthly, or billed in December for the upcoming year.

Additional fees may be charged that are not listed above. An example of these types of fees would be FedEx, which a corporate ID is provided to ensure discounted rates.

^[1] Rep pays \$5,000 retention for any event that leads to Pinnacle using the policy.

^[2] The cost of state registrations, which are charged at cost to the Firm and will be billed when incurred.

^[3] Other annual fees not included above are any additional special IT systems that are not included in the basic technology package (for example, requiring a CRM) will be billed when incurred.

^[4] Pick one SmartStation® Package. This cost is in addition to the basic technology fee.

^[5] Actual amount charged to rep will be reviewed and adjusted quarterly.