Sorrento Pacific Financial, LLC
Fee Schedule for Partnervest Division

Effective 12/1/11

Pershing Fees for Full Service Clients

Cash Due & Margin Interest Charges		as applicable
Confirmation Processing Fee		$5
Direct Registration (DRS)	Per position sent to agent to hold	$20
Employee Stock Option Exercise (plus margin interest as incurred)		$75
Foreign Securities Processing/Transactions		as incurred/$85
Inactive Account Fee (Annual Custody Fee) - Mixed assets		$50
Inactive Account Fee (Annual Custody Fee) - Mutual Fund Only		$25
Limited Partnership/REIT Annual Custody Fee	Per LP/REIT position in Retirement Account	$35
Limited Partnership/REIT Re-registration, Transaction or Document Review		as incurred
Margin Trade Extensions		$25
No Load Short Term Redemption (Pershing NTF Funds only)		$50
No Load Transaction Fee (for Non Advisory Accounts Only)		$29-39
Outgoing Account Transfers to Another Firm		$95
Overnight Check		$12
Overnight Courier Fee (on outgoing non-ACAT Transfers of $100,000 or more)		$12
Paper Surcharge Statement Fee-paperless option is no charge.	Per paper statement mailing on Indiv,Joint,TOD,&Pershing Retirement Accounts	$0.75
Restricted Securities Processing		$75
Retirement Acct (IRA/SEP) Annual Maintenance		$35
Retirement Acct (SARSEP,SIMPLE,QRP) Annual Maint		$50
Retirement Acct Termination		$95
Returned Checks/ACH Rejects/Stop Pay		$25
Stop and/or Replace Certificate		as incurred
Systematic Investments/Withdrawals		$2
Transfers: Legal/Reregister Certificates		$60
Wired Funds		$25
Note: Other fees may apply for Fixed Income, Precious Metals, Asset Management, Checkwriting, Safekeeping, Reorgs or other Services.		as applicable

Fees and service costs are subject to change without prior notification.

Advisor Fees

Trading & Execution (Pershing accounts)		Cost	Frequency
Fixed Income/Bonds		$30	trade
MF Buy/Sells/Exchanges		$15	trade
Mutual Fund Surcharge (certain no-loads only)		$10	trade
Options		$18+$.75 per contract	trade
Options (Star 2&3 Transactions only)		$12+$.75 per contract	trade
Stocks/ETF's		$18	trade
Stocks/ETF's (Star 2&3 Transactions only)		$12	trade
Unit Investment Trusts (UITs)		$40	trade
Trade Cancels and Rebills - Pre/Post Settlement	If processed by home office--plus additional ticket charge	$30-$50	rebill
Trade errors & unsecured debits may be charged to advisor		varies	
Trader Assisted		$15	trade
Registration, Regulatory & Insurance			
E&O Insurance/Fidelity Bonding-Required Coverage		$250	monthly
FINRA Annual Registration Renewal	Year-end renewal; per licensed individual	$50	annual
FINRA Form U5 Registration Termination	Termination filing	$140	one time
FINRA Initial Registration per Licensed Individual	Includes U-4 filing, initial fingerprint card, WebCRD pre-hire	$205	one time
FINRA Registered Branch Office	Initial filing & renewal/includes audit	$270	annual
FINRA Securities Exams	Varies by exam	$100-$275	
FINRA/SIPC Assessment	% of gross commissions	0.275%	pay period
Firm Element Continuing Education	Annually per Associated Person/by track (includes AML)	$50-$200	annual
Form U4/Form U5 Disclosure Filing	Initial & amendments/per filing	$125	
Representative Advisory Registration	Varies by state; renews annually	$20-$290	annual
Representative State Registration	Varies by state; renews annually	$20-$290	annual
State Branch Office Registration	Varies by state	$20-$290	annual
SEC 36 month Books and Records Mailings	Non Pershing Clients only-Pershing account mailings/no charge	$1.50	per direct a/c
dataVISION			
Set Up Fee	Required for all licensed advisors	$200	one time fee
Monthly Cost Per Subscriber	Required for all licensed advisors	$150*	month
* There are various dataVISION modules ranging from $50-200/mo. All securities licensed advisors are required to subscribe to the $150/mo module			
Advisor Tools (Optional)	Various Services offered at discounted prices through SPF		
Albridge	Performance Reporting Software, integrated with dataVISION		
Client Profile Tool		$85	month
Full Performance Reporting		$185	month
CashEdge	Aggregates client investment accounts, including "held away" accounts	$100	month
Emerald Publications (800) 233-2834	Various marketing pieces offered to SPF advisors	Contact Emerald	
Financial Profiles Forecaster/Professional	Financial Planning Software (Forecaster is integrated with dataVISION)	$850/$1,265	annual
Forefield	Industry leading client communication tool	$65-$379	annual per rep
MarketingLibrary.net	Online, automated client communication & prospecting system	$20	month per rep
MarketingPro (extension of Marketing Library)	Above + automated email/mail features, built-in simple CRM system	Set up: $199; $40	month per rep
Stock Research (Morningstar, S&P, etc)	Various options available, call Product Marketing for specifics	varies	
Miscellaneous Optional Services			
Commission Advance Fee	Per advance paid	$250	advance
Commission Check Processing Fee	No charge for ACH payments, only if physical check is mailed	$25	per check
Expedited Advertising Fee	If same day turn around requested on advertising review	$100	request
Letter of Indemnity Processing	As applicable	$30	
Signature Guarantee Medallion	One time setup fee	$85-$125	one time
Signature Guarantee Bonding Annual Premium	Includes online registration fee	$250	annual

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