

# Miscellaneous Account and Service Fees Schedule

## Brokerage

The listed fees below do not include commissions, markups, commission equivalents or advisory fees. These fees apply to brokerage accounts held at LPL. Some of these fees may not apply to all brokerage account types. Some of these fees may be waived under certain conditions.<sup>1</sup>

ACCOUNT OR SERVICE	FEE	FREQUENCY
<b>ACCOUNT MAINTENANCE</b>		
Annual Custody for Inactive Accounts (excludes retirement accounts)	\$30	Per year
Confirm Processing	\$5	Per transaction
Corporate Actions — Mandatory (if securities are in physical form)	\$15	Per security
Corporate Actions — Voluntary or Mandatory with Options (if election is made)	\$25	Per security
Express Mail/Overnight Delivery	\$15	Per shipment unless otherwise noted
Extension for Money or Securities Received Past Settlement	\$15	Per event
Interest Charged for Money or Securities Received Past Settlement. 'Cash Due Interest Rate.'	10.25%	Begins accruing 3 days after trade settlement
Only charged if accrued interest exceeds \$25 for the period.		
Legal Transfer — for processing of certificate requiring legal documentation (e.g., power of attorney, court appointment, death certificate, corporate resolution, etc.)	\$20	Per security
Outgoing Account Transfer — for processing full account transfer of all assets and positions to another financial institution	\$125	Per account
Outgoing Account Transfer Check — for processing outgoing account transfer of physical checks	\$15	Per check over \$1,000
Return/Rejected Item/Non-Sufficient Funds (NSF)	\$20	Per item
<b>Retirement Account Fees:</b>		
Annual IRA Maintenance — for custodial and tax reporting services provided to maintain an individual retirement account (IRA)	\$40	Per year/per account
Annual QRP and 403(b)(7) Maintenance — for custodial and tax reporting services provided to maintain qualified retirement plan (QRP) or 403(b)(7) account	\$50	Per year/per account
IRA/QRP and 403(b)(7) Termination	\$125	Per account
QRP and 403(b)(7) Loan Processing	\$50	Per loan
Roth IRA Conversion	\$25	Per conversion
990-T Filing	\$100	Per 900-T
1099-R for Omnibus/Pooled QRPs	\$50	Per 1099-R
<b>CASH MANAGEMENT SERVICES</b>		
Stop Payment	\$10	Per check
Wired Funds	\$25	Per wire
<b>INVESTMENT SPECIFIC</b>		
<b>Alternative Investment (AI) Products:</b>		
AI Product Processing	\$50	Per transaction
AI Administration	\$35	Per year/per position (\$100 max)
AI Unrelated Business Taxable Income (UBTI) Filing — for preparation and filing of tax forms for UBTI, if applicable	\$100	Per required filing
<b>Foreign Securities:</b>		
Foreign Transaction Tax <sup>1</sup>	0.3%	Per purchase transaction
Transaction (not applicable to American Depository Receipts)	\$40	Per transaction or transfer
Transfer and Ship	\$250	Per transfer
<b>Mutual Funds:</b>		
Load Fund Redemption	\$15	Per transaction
No Load Fund Purchase and Redemption	\$40	Per transaction
No Load Fund Exchange	\$80	Per transaction
Systematic Trade <sup>2</sup> (Purchase/Sell/Exchange)	\$0	Per transaction
<b>Physical Certificates / Transfer and Ship — for issuance of physical certificate upon request (rate depends on transfer agent)</b>	\$0 - \$25	Per certificate
<b>Precious Metals:</b>		
Custody	1.5% of Market Value (\$50 minimum)	Per year, prorated quarterly
Physical Delivery of Product	Variable	Per shipment
<b>Restricted Securities — Legend Removal</b>	\$50	Per legal transfer
<b>Stock Option — Exercise (Cashless)</b>	Margin Interest Rate	Per transaction
<b>Unit Investment Trust (UIT) — Redemption</b>	\$40	Per transaction
<b>Fixed Income</b>	\$35	Per transaction

<sup>1</sup> A Foreign Transaction Tax is charged by LPL on foreign equity security purchases where the underlying non-U.S. securities are from French or Italian issuers. This tax is levied by the French or Italian governments, and the charge offsets the tax incurred by LPL Financial as a result of executing the transaction on your behalf.

<sup>2</sup> Systematic trades will not be subject to any trading costs if a minimum of 4 systematic executions occur. If the execution minimum is unmet, standard trading fees will be applied retroactively. Systematic trades can only be established for existing positions.

### Make Checks Payable as Follows:

John Doe 123 Main St. Your Town, USA	001	Date: 12/1/16
PAY TO THE ORDER OF: LPL Financial	\$ 600.00	
six hundred dollars	DOLLARS	Signature: John Doe
Notes: Account Number		

### Security Endorsement Instructions:

For value received, (Leave Blank) hereby sells, assigns and transfers unto (Leave Blank) shares represented by the within certificate and do hereby irrevocably constitute and appoint (LPL Financial) as Attorney to transfer the said shares on the books of the within named Corporation with full power of substitution in the premises.

Dated: (Date Signed)

Signed: (Sign Exactly as Registered on the Front, With All Signatures)

