

# 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              | Begins accruing 3 days after trade settlement |
| 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 (excludes retirement accounts)             | \$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>  |                                     |   |
| Checking — for Premier Plus checkwriting account feature, if selected  | \$60                                | Per year                                      |
| 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>2</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                               |
| <b>Physical Certificates / Transfer and Ship</b> — for issuance of physical certificate upon request (rate depends on transfer agent)                                    | \$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                                  |
| Product Processing   | \$50                                | Per transaction                               |
| <b>Restricted Securities</b> — Legend Removal  | \$50                                | Per legal transfer                            |
| <b>Stock Option</b> — Exercise (Cashless)  | Margin Interest Rate                | Per transaction                               |
| <b>Unit Investment Trust (UIT)</b> — Redemption  | \$40                                | Per transaction                               |

<sup>1</sup> See account agreements for more information. These fees generally are not based directly on the costs of the transaction or service by LPL, and may include a profit to LPL.

<sup>2</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.

### Make Checks Payable as Follows:

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

### 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)

