

Miscellaneous Account and Service Fees Schedule

Brokerage - Client Trade Direct (CTD)

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.¹

ACCOUNT OR SERVICE	FEE	FREQUENCY
ACCOUNT MAINTENANCE		
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
Retirement Account Fees:		
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
CASH MANAGEMENT SERVICES		
Stop Payment	\$10	Per check
Wired Funds	\$25	Per wire
INVESTMENT SPECIFIC		
Equities, ETFs and Options		
Orders entered electronically (internet)	\$14.95 + Confirm Fee	Per transaction
Orders entered manually (over the phone)	\$49.95 + Confirm Fee	Per transaction
Foreign Securities:		
Foreign Transaction Tax ²	0.3%	Per purchase transaction
Transaction (not applicable to American Depository Receipts)	\$40	Per transaction or transfer
Transfer & Ship — for issuance of a physical certificate (if eligible) (additional fees may be applicable at the Issuing Agent)	\$100	Per certificate
Mutual Funds:		
No Load Orders entered electronically (internet)	\$14.95 + Confirm Fee	Per transaction
No Load Orders entered manually (over the phone)	\$49.95 + Confirm Fee	Per transaction
Load Fund Redemption entered electronically (internet)	\$14.95 + Confirm Fee	Per transaction
Load Fund Redemption entered manually (over the phone)	\$49.95 + Confirm Fee	Per transaction
Physical Certificates / Transfer & Ship — for issuance of a physical certificate (if eligible)	\$500	Per certificate
Precious Metals:		
Custody	1.5% of Market Value (\$50 minimum)	Per year, prorated quarterly
Physical Delivery of Product	Variable	Per shipment
Restricted Securities — Legend Removal	\$50	Per legal transfer

¹ 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.

² 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 123 Main St. Your Town, USA	Date: 12/1/16	001
PAY TO THE 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)



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