The listed fees below do not include advisory fees. These fees apply to the following LPL Financial program accounts: Strategic Asset Management (SAM I), SAM II, Optimum Market Portfolios, Advisory and Brokerage (OMP), Model Wealth Portfolios (MWP), Personal Wealth Portfolios (PWP) and Manager Select. Some of these fees may not apply to all of these account types. Some of these fees may be waived under certain conditions.

## ACCOUNT MAINTENANCE

<table>
<thead>
<tr>
<th>FEE</th>
<th>FREQUENCY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transaction Fee/Service Charge</td>
<td>$5 Per transaction</td>
</tr>
<tr>
<td>Corporate Actions — Mandatory (if securities are in physical form)</td>
<td>$15 Per transaction</td>
</tr>
<tr>
<td>Corporate Actions — Voluntary or Mandatory with Options (if election is made)</td>
<td>$25 Per transaction</td>
</tr>
<tr>
<td>Express Mail/Overnight Delivery</td>
<td>$15 Per shipment unless otherwise noted</td>
</tr>
<tr>
<td>Extension for Money or Securities Received Past Settlement</td>
<td>$15 Per event</td>
</tr>
<tr>
<td>Interest Charged for Money or Securities Received Past Settlement</td>
<td>Cash Due Interest Rate Begins accruing 3 days after trade settlement</td>
</tr>
<tr>
<td>Legal Transfer — for processing of certificate requiring legal documentation (e.g., power of attorney, court appointment, death certificate, corporate resolution, etc.)</td>
<td>$20 Per security</td>
</tr>
<tr>
<td>Outgoing Account Transfer — for processing full account transfer of all assets and positions to another financial institution (excludes retirement accounts)</td>
<td>$125 Per account</td>
</tr>
<tr>
<td>Outgoing Account Transfer Check — for processing outgoing account transfer of physical checks</td>
<td>$15 Per check over $1,000</td>
</tr>
<tr>
<td>Return/Rejected Item/Non-Sufficient Funds (NSF)</td>
<td>$20 Per item</td>
</tr>
<tr>
<td>Small Account Fee</td>
<td>$10 Per quarter (for accounts below $100,000)</td>
</tr>
</tbody>
</table>

## Retirement Account Fees:

- Annual IRA Maintenance — for custodial and tax reporting services provided to maintain an individual retirement account (IRA)
  - IRA/QRP and 403(b)(7) Maintenance — for custodial and tax reporting services provided to maintain qualified retirement plan (QRP) or 403(b)(7) account
  - IRA/QRP and 403(b)(7) Termination | $50 Per year/per account |
  - QRP and 403(b)(7) Loan Processing | $125 Per account |
  - Roth IRA Conversion | $50 Per loan |
  - 99-T Filing | $25 Per conversion |
  - 1099-R for Omnibus/Pooled QRP | $100 Per 900-T |
  - 1099-R | $50 Per 1099-R |

## CASH MANAGEMENT SERVICES

- Checking — for Premier Plus checkwriting account feature, if selected | $60 Per year |
- Deposit Cash Account sweep fee | $13.25 (as of 10/31/19, subject to change) Per month, per account |
- Stop Payment | $10 Per check |
- Wired Funds | $25 Per wire |

## INVESTMENT SPECIFIC

### Alternative Investment (AI) Products: $^{3}$

- AI Product Processing | $50 Per transaction |
- AI Administration | $35 Per year/per position ($100 max) |
- AI Unrelated Business Taxable Income (UBIT) Filing — for preparation and filing of tax forms for UBIT, if applicable | $100 Per required filing |

### Foreign Securities: $^{6}$

- Foreign Transaction Tax | 0.3% Per purchase transaction |
- Transaction (not applicable to American Depository Receipts) | $40 Per transaction or transfer |
- Transfer and Ship | $250 Per transfer |

### Physical Certificates / Transfer and Ship — for issuance of physical certificate upon request (rate depends on transfer agent) | $0 - $25 Per certificate |

### Restricted Securities — Legend Removal | $50 Per transaction |

### Stock Option — Exercise (Cashless) | Margin Rate Interest |

### Transaction Charges: $^{1}

- Equities (including Closed-end Funds) | $9 Per transaction |
- ETFs | $9 Per transaction |
- Fixed Income | $50 Per transaction |
- Mutual Funds | $0, $4.50, $26.50 Per transaction |
- Systematic Trades $^{10}$ | $0 Per transaction |
- Options | $25 Per transaction |
- Unit Investment Trusts | $35 Per transaction |

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 This fee applies to OMP accounts only.
3 This fee applies to OMP accounts only.
4 This fee applies to SAM ISM II accounts only.
5 This fee may apply to shares of an ETF whose sponsor participates in LPL’s DCA Program.
6 This fee only applies to US stocks listed on the DCA Program Banks.
7 This fee only applies to IRAs that participate in the DCA Program. This monthly fee is based on a fee schedule tied to current Fed Funds Target Rate as detailed in the DCA Disclosure Booklet located on LPL.com. The current fee is 0.25% of the adjusted balance in the account. For more information, see the DCA Disclosure booklet.
8 The charge is $0 for an ETF whose sponsor participates in LPL’s ETF No Transaction Fee Network.
9 The charge is $0 for a Non-Participating Fund (a fund that does not pay recordkeeping fees or pays below a certain level of recordkeeping fees to LPL).
10 Systematic trades will not be subject to any trading costs if a minimum of 4 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:


dated: ___________________________

LPL Financial

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