

Miscellaneous Account and Service Fees Schedule

Outside Investment Accounts

The listed fees below do not include commissions, markups, commission equivalents or advisory fees. These fees apply to the purchase of mutual funds in non-retirement accounts when a mutual fund purchase, sale or exchange is processed through the LPL Financial electronic trading system. These fees do not apply to retirement accounts, nor do they apply if the purchase, sale or exchange is made directly through the mutual fund company, or via an application directly through a mutual fund or insurance company. Some of these fees may be waived under certain conditions.¹

ACCOUNT OR SERVICE	FEE	FREQUENCY
ACCOUNT MAINTENANCE		
Confirm Processing	\$5	Per transaction
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
CASH MANAGEMENT SERVICES		
Wired Funds	\$25	Per wire
INVESTMENT SPECIFIC		
Mutual Funds:		
Load Fund Redemption	\$15	Per transaction
No Load Fund Purchase and Redemption	\$40	Per transaction
No Load Fund Exchange	\$80	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.

Make Checks Payable as Follows:

John Doe 123 Main St. Your Town, USA	001 Date: <u>12/1/13</u>
PAY TO THE ORDER OF: <u>LPL Financial</u>	\$ <u>600.00</u>
<u>six hundred dollars</u>	DOLLARS
Notes: <u>Account Number</u>	Signature: <u>John Doe</u>

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)



Member FINRA/SIPC

