### Miscellaneous Account and Service Fees Schedule

The listed fees below do not include commissions, markups, commission equivalents or advisory fees. These fees apply to the following LPL Financial accounts available to clients of investment advisor firms: SWM, SWM II, Optimum Market Portfolios (OMP), Model Wealth Portfolios (MWP), Personal Wealth Portfolios (PWP), Manager Access Select, and Manager Access Network. Some of these fees may not apply to all of these account types. Some of these fees may be waived under certain conditions.1

<table>
<thead>
<tr>
<th>ACCOUNT OR SERVICE</th>
<th>FEE</th>
<th>FREQUENCY</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ACCOUNT MAINTENANCE</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Corporate Actions — Mandatory (if securities are in physical form)</td>
<td>$15</td>
<td>Per security</td>
</tr>
<tr>
<td>Corporate Actions — Voluntary or Mandatory with Options (if election is made)</td>
<td>$25</td>
<td>Per security</td>
</tr>
<tr>
<td>Express Mail/Overnight Delivery</td>
<td>$15</td>
<td>Per shipment unless otherwise noted</td>
</tr>
<tr>
<td>Extension for Money or Securities Received Past Settlement</td>
<td>$15</td>
<td>Per event</td>
</tr>
<tr>
<td>Interest Charged for Money or Securities Received Past Settlement</td>
<td>Cash Due Interest Rate</td>
<td>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</td>
<td>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</td>
<td>Per account</td>
</tr>
<tr>
<td>Outgoing Account Transfer Check — for processing outgoing account transfer of physical checks</td>
<td>$15</td>
<td>Per check over $1,000</td>
</tr>
<tr>
<td>Return/Rejected Item/Non-Sufficient Funds (NSF)</td>
<td>$20</td>
<td>Per item</td>
</tr>
</tbody>
</table>

**Retirement Account Fees:**

- Annual IRA Maintenance — for custodial and tax reporting services provided to maintain an individual retirement account (IRA)2
- Annual QRP and 403(b)(7) Retirement Maintenance — for custodial and tax reporting services provided to maintain qualified retirement plan (QRP) or 403(b)(7) account2
- IRA/QRP and 403(b)(7) Termination
- QRP and 403(b)(7) Loan Processing
- Roth IRA Conversion
- 990-T Filing
- 1099-R for Omnibus/Pooled QRPs

**CASH MANAGEMENT SERVICES**

- Checking — for Premier Plus checkwriting account feature, if selected
- Deposit Cash Account sweep fee3
- Stop Payment
- Wired Funds

**INVESTMENT SPECIFIC**

- Alternative Investment (AI) Products5:
  - AI Product Processing
  - AI Administration
  - AI Unrelated Business Taxable Income (UBTI) Filing — for preparation and filing of tax forms for UBTI, if applicable
  - AI Custody Analysis Fee for Private Securities
- Foreign Securities:
  - Foreign Transaction Tax5
  - Transaction (not applicable to American Depository Receipts)
  - Transfer and Ship
- Stock Option — Exercise (Cashless)
  - Margin Interest Rate
- Restricted Securities — Legend Removal
- Physical Certificates / Transfer and Ship — for issuance of physical certificate upon request (rate depends on transfer agent)
- Transaction Charges6:
  - Equities (including Closed-end Funds)
  - ETFs6
  - Fixed Income8
  - Mutual Funds9
  - Options
  - Unit Investment Trusts

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 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 can be found at lpl.com. It is expected that this fee will be recouped from the DCA Program Banks and will not be a fee directly applied to your account. For more information, see the DCA Disclosure booklet.
3 These fees apply to SWM/ SWM II accounts only.
4 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 as a result of executing the transaction on your behalf.
5 These fees apply to SWM accounts only.
6 The charge is $0 for an ETF whose sponsor participates in LPL’s ETF No Transaction Fee Network.
7 Transactions are done on a principal basis. Although there is no transaction charge, there will be a mark-up or mark-down on each transaction, which will be included in the price and yield on the bond.
8 The charge is $0 for a Full Participating Fund (a fund that pays LPL a level of compensation, such as 12b-1 fees, for services LPL provides to the funds) and $26.50 for a Non-Participating Fund. Although there is a $0 transaction charge, Full Participating Funds tend to have a higher expense ratio. See the SWM Account Agreement for more information.

Make Checks Payable as Follows:

<table>
<thead>
<tr>
<th>John Doe</th>
<th>123 Main St.</th>
<th>Your Town, USA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature</td>
<td>Date 12/1/16</td>
<td>PAY TO THE ORDER OF LPL Financial</td>
</tr>
<tr>
<td>$400.00</td>
<td>Account Number</td>
<td>Security Endorsement Instructions:</td>
</tr>
<tr>
<td>DOLLARS</td>
<td>Signature</td>
<td>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.</td>
</tr>
<tr>
<td>John Doe</td>
<td>Dated (Date Signed)</td>
<td>Signed (Sign Exactly as Registered on the Front, With All Signatures)</td>
</tr>
</tbody>
</table>

LPL Financial
Member FINRA/SIPC

FS14-RIA Revised 1219

Page 1 of 1