

# Advisory

## Miscellaneous Fee Schedule

The list below does not include commissions or advisory fees. Additionally, some of these fees may not apply to all account types.

Item	Fee	Frequency
Alternative Investment Administration Fee	\$35	Per Position/Per Account/Per Year (\$100 max)
Express Mail	\$15	Per Shipment (unless otherwise noted)
Extension for Money or Securities Received Past Settlement	\$15	Per Event
Foreign Transaction Fee (not ADRs):		
All Foreign Securities	\$40	Per Transaction or Transfer
Foreign Security Physical Custody	\$15	Per Position/Per Year
Foreign Security Transfer and Ship	\$250	
Interest Charged for Money or Securities Received Past Settlement	Cash Due Interest Rate	
Legal Transfer	\$20	Per Security
Outgoing Account Transfer Check Fee	\$10 - \$15	Any checks above \$1,000
Outgoing Non-PTC Retirement Account Transfer Fee	\$95	Per Account
Physical Mutual Fund Redemption	\$35	Per Position
Reorganization or Tender Fees:		
Mandatory	\$15	Per Security (if the securities are in physical form)
Voluntary	\$25	Per Security
Replacement Statements or 1099s	\$5	Per Document
Restricted Securities Legend Removal	\$50	Per Event (Legal Transfer)
Retirement Account Fees:		
IRA Maintenance Fee <sup>1</sup>	\$40	Per Year/Per Account
IRA/QRP and 403(B)(7) Termination Fee	\$95	Per Account
QRP and 403(b)(7) Maintenance Fee	\$50	Per Year/Per Account
QRP and 403(b)(7) Loan Processing Fee	\$50	Per Loan
Roth IRA Conversion Fee	\$25	Per Conversion
1099-R Processing Fee for Omnibus/Pooled QRPs	\$50	Per 1099-R
Returned/Rejected Item/NSF Fee	\$20	Per Item
Security Safekeeping	\$10	Per Position/Per Year
Stock Option Exercise (Cashless)	Margin Interest	
Stop Payment Fee	\$10	Per Check
Transfer and Ship Fee	\$0-\$25	Depending on transfer agent, usually higher for foreign and restricted stock
Wired Funds	\$25	Per Wire

Please note, commissions and fees that may be charged by third parties, such as investment sponsors, money managers or custodians, are not included. LPL Financial receives compensation in the form of 12b-1 and administrative servicing fees from the money market funds that may be held in your account. Please refer to the fund prospectus for further disclosure. LPL Financial receives compensation from participating banks in the Insured Cash Account program based on a percentage of the average daily deposit balances in the banks participating in the program. Please refer to the Insured Cash Account Program Disclosure Booklet for further information. LPL Financial reserves the right to change the fees it charges upon 30 days notice.

For a full list of LPL Financial fees, please contact your representative/advisor.

<sup>1</sup> The annual maintenance fee will be charged at a rate of \$10.00 per quarter, in arrears. Any 12B-1 fees credited to the account will be offset by this charge.

### Make Checks Payable as Follows:

John Doe 123 Main St. Your Town, USA	Date: 12/1/10	001
PAY TO THE ORDER OF: <u>LPL Financial</u>	\$ <u>600.00</u>	
<u>six hundred dollars</u>	DOLLARS	
Notes: <u>Account Number</u>	Sign: <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)**