

# Miscellaneous Account and Service Fees Schedule

## Model Wealth Portfolios

The listed fees below do not include advisory fees. These fees apply to Model Wealth Portfolios program accounts. Some of these fees may be waived under certain conditions.<sup>1</sup>

| ACCOUNT OR SERVICE   | FEE    | FREQUENCY                                     |
|--|--------|---|
| <b>ACCOUNT MAINTENANCE</b>   |        |   |
| Corporate Actions — Mandatory (if securities are in physical form)   | \$15   | Per security                                  |
| Corporate Actions — Voluntary or Mandatory with Options (if election is made)  | \$15   | 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.'  | 10.25% | Begins accruing 3 days after trade settlement |
| Only charged if accrued interest exceeds \$25 for the period.  |        |   |
| 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                                      |
| <b>Retirement Account Fees:</b>  |        |   |
| Annual IRA Maintenance — for custodial and tax reporting services provided to maintain an individual retirement account (IRA)  | \$0    | 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                | \$0    | 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                                    |
| <b>CASH MANAGEMENT SERVICES</b>  |        |   |
| Stop Payment   | \$10   | Per check                                     |
| Wired Funds  | \$30   | Per wire                                      |
| <b>INVESTMENT SPECIFIC</b>   |        |   |
| <b>Foreign Securities:</b>   |        |   |
| Foreign Transaction Tax <sup>2</sup>   | 0.3%   | Per purchase transaction                      |
| Transaction (not applicable to American Depository Receipts)   | \$40   | Per transaction or transfer                   |
| Transfer and Ship  | \$250  | Per transfer                                  |
| <b>Physical Certificates / Transfer and Ship — for issuance of physical certificate upon request (rate depends on transfer agent)</b>                                    |        |   |
|  | \$25   | Manual charge                                 |
| <b>Restricted Securities — Legend Removal</b>  |        |   |
|  | \$50   | Per legal transfer                            |

Commissions and fees are subject to change. This schedule does not include all securities transaction types or fees. Equitable Advisors may receive compensation related to 12b-1 and administrative servicing fees from the money market funds and from the fee paid from participating banks in the Insured Cash Account program.

If you need additional information, please contact Equitable Advisors Broker/Dealer Services toll-free at 1-866-487-7484 for assistance.

<sup>1</sup> See account agreements for more information. These fees generally are not based directly on the costs of the transaction or service, and may include a profit.

<sup>2</sup> 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

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)

LPL Financial serves as the principal sponsor, an investment advisor and the broker/dealer, and Equitable Advisors, LLC (Equitable Financial Advisors in MI and TN) serves as an investment advisor for LPL Financial investment advisory programs offered through Equitable Advisors' financial professionals.



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ADVISORS

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