Miscellaneous Account and Service Fees Schedule
Advisory

The listed fees below do not include advisory fees. These fees apply to the following advisory program accounts: Strategic Asset Management (SAM), SAM II 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.[1]

ACCOUNT OR SERVICE	FEE	FREQUENCY
ACCOUNT MAINTENANCE		
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	Begins accruing 3 days after trade settlement
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
Small Account Fee [2]	$10	Per quarter (for accounts below $100,000)
Retirement Account Fees:		
Annual IRA Maintenance — *for custodial and tax reporting services provided to maintain an individual retirement account (IRA)*	$40	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*[2]	$50	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
CASH MANAGEMENT SERVICES		
Stop Payment	$10	Per check
Wired Funds	$30	Per wire
INVESTMENT SPECIFIC		
Alternative Investment (AI) Products [2]**:**		
AI Product Processing	$50	Per transaction
AI Administration	$35	Per year/per position ($100 max)
AI Unrelated Business Taxable Income (UBTI) Filing — *for preparation and filing of tax forms for UBTI, if applicable*	$100	Per required filing
Foreign Securities:		
Foreign Transaction Tax[3]	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)*	$25	Manual charge
Restricted Securities — Legend Removal	$50	Per legal transfer
Stock Option — Exercise (Cashless)	Margin Interest Rate	Per transaction
Transaction Charges:		
Equities, ETFs, Closed-end Funds	$9	Per transaction
Fixed Income	$50	Per transaction
Mutual Funds[4]	$0, $4.50, $26.50	Per transaction
Options	$25	Per transaction
Unit Investment Trusts	$35	Per transaction

Commissions and fees are subject to change. This schedule does not include all securities transaction types or fees. AXA 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 AXA Advisors Broker/Dealer Services toll-free at 1-866-487-7484 for assistance.

[1] 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.

[2] This fee applies to SAM/SAMII accounts only.

[3] 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.

[4] This fee applies to SAM accounts only. The charge is $0 for a Full Participating Fund (a fund that pays a certain level of recordkeeping fees to LPL and/or is part of LPL's "No Transaction Fee Network"), $4.50 for a Participating Fund (a fund that pays a certain level of recordkeeping fees to LPL), and $26.50 for a Non-Participating Fund (a fund that does not pay recordkeeping fees or pays below a certain level of recordkeeping fees to LPL).

Make Checks Payable as Follows:

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 AXA Advisors, LLC serves as an investment advisor for LPL Financial investment advisory programs offered through AXA Advisors' financial professionals. Brokerage accounts offered through AXA Advisors, LLC, member FINRA/SIPC, clearing through LPL Financial, member FINRA/SIPC.

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