

LADENBURG THALMANN

ESTABLISHED 1876

Schedule of Miscellaneous Account and Service Fees

The listed fees below do not include commissions, markups, commission equivalents or advisory fees. These fees apply to brokerage accounts serviced by Ladenburg Thalmann & Co. Inc. and held at Fidelity Custody and Clearing Solutions. Some of these fees may not apply to all brokerage account types. Some of these fees may be waived under certain conditions.

Account or Service	Fee Amount	Frequency
ACCOUNT MAINTENANCE		
<i>Retirement Account/ Service Fees</i>		
NFS IRA Termination Fee	\$95	Per account
NFS IRA Annual Maintenance Fee	\$40	Per year
Roth Conversion / Re-characterization Fee	\$50	Per event
Limited Partnership / Private Placement Fee	\$50	Per position per
Review of Limited Partnership / Private Placements	\$300	Per review
<i>Non-Retirement Account Fees or Services</i>		
Full Account Transfer Fee (ACAT)	\$75	Per Account
Inactivity Fee	\$50	Per Year
CASH MANAGEMENT SERVICES		
<i>Check Writing Account Fees</i>		
Brokerage Portfolio Account Fee		
Debit Card Fee	\$100 Gold \$150 Platinum	Annually
Brokerage Access Account Fee		Annually
Debit Card Fee	\$50	Annually
Check Reorder Fee	\$15	Per event
Insufficient Funds/Bounced Check Fee	\$15	Per event
Stop Payment Fee	\$15	Per event

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Check Copy Fee	\$10	Per event
INVESTMENT SPECIFIC		
<i>Physical Certificates</i>		
Legal Transfer Fee	\$90	Per event
Legal Transfer Return Fee	\$30	Per event
Physical Certificate Request (non DRS) Fee	\$220 * DRS requests \$10	Per security
Alternative Investment Holding Fee	\$125	Annual
Lifting Legends on Restricted Securities	\$250	Per, without sale
Securities Reorganization	\$36	Per event
<i>Miscellaneous/ All Brokerage Accounts</i>		
Overnight Mail Fee	\$10	Per event
Mailgrams	\$5	Per event
Returned // Bounced Check Fee	\$25	Per event
Photocopy of Confirms or Statements	\$5 / \$10	Per confirm & statement last 12 months / Previous 12 months \$10
Service Fees / Trade Ticket Charges	Up to \$22	Per event
Wire Transfer Fee	\$15	Per event
Prepayment Requests	\$15 + Interest	Per event
Ladenburg Thalmann Year-End Processing Fee	\$65	Per year
Borrow and Hard to Borrow Fee	Varies – Based on balance	Pass through \$
Safekeeping Fee for Certificates	\$5	Monthly Per Item
Reg. T Extension	\$15	Per event

Please note: Commissions and fees that may be charged by third parties, such as investment sponsors, money managers, or custodians, are not included. Ladenburg Thalmann & Co. Inc. reserves the right to change the fees it charges.

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