

# LADENBURG THALMANN

ESTABLISHED 1876

## SCHEDULE OF MISCELLANEOUS ACCOUNT AND SERVICE FEES

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

Retirement Account Fees or Service Fees	Description	Fee	Frequency
NFS IRA Termination Fee	One-time fee charged when terminating your retirement account where FMTC/NFS is the custodian.	\$125	Per account
NFS IRA Annual Maintenance Fee	Applicable to Traditional, Roth, Rollover, IRA Beneficiary Distribution Accounts, SEP and SIMPLE IRAs where FMTC/NFS is the custodian.	\$35	Per year (in arrears)
Roth Conversion / Re-characterization Fee	Cost of conversion fee.	\$50	Per event
Limited Partnership / Private Placement Fee	Held positions in non-traded products.	\$50	Per position per year
Review of Limited Partnership / Private Placements	Cost of due diligence product review.	\$300	Per review

Non-Retirement Account Fees or Service Fees			
Full Account Transfer Fee (ACAT);	Fee for processing a full account transfer (does not apply to qualified accounts where FMTC/NFS is the custodian.)	\$75 <sup>1</sup>	Per account
Inactivity Fee:	Assessed on inactivity for a fiscal year. Not applicable to certain Asset Management Accounts, retirement accounts where FMTC/NFS is the custodian, or managed accounts.	\$50 <sup>1</sup>	Per year

Physical Certificates			
Legal Transfer Fee	Processing of certificate requiring legal documentation (i.e. Power of Attorney, Court Appointment, Death Certificate, Corporate Resolution, etc.)	\$75 <sup>1</sup>	Per event
Legal Transfer Return Fee	Fee for returned/rejected transfers.	\$25 <sup>1</sup>	Per event
Physical Certificate Request (non-DRS) Fee; DRS request	Registration of a physical security in a client's name. DRS notice from Transfer Agent	\$220 <sup>1</sup> \$10 <sup>1</sup>	Per security Per security
Securities Reorganizations	Processing of items after the action date in National Financial accounts.	\$0	Per event
Alternative Investment Holding Fee	Annual fee charged per position on registered and non-registered products (including Limited Partnerships, Real Estate Investment Trusts that are not traded on a Private Equity and Debt Issuance). Registered products are Alternative Investments that are registered under the Securities Act of 1933.	\$125	Annual
Lifting Legends on Restricted Securities	Process to remove legends on certificates without a sale.	\$250 <sup>1</sup>	Per item without sale

**LADENBURG THALMANN & Co. Inc. SCHEDULE OF MISCELLANEOUS ACCOUNT AND SERVICE FEES** *continued...*

Check writing Account Fees	Description	Fee	Frequency
Brokerage Portfolio Account Fee	Premium access - A full service brokerage account that offers valuable cash management tools to help manage your financial needs through a single source.	\$125 <sup>1</sup>	annually
Debit Card Fee		\$100 Gold \$150 Platinum	
Brokerage Access Account Fee			
Debit Card Fee		\$50 <sup>1</sup>	
Check Reorder Fee	Request for additional checks.	\$15 <sup>1</sup>	
Insufficient Funds/Bounced Check Fee	Return check fee.	\$15 <sup>1</sup>	
Stop Payment Fee	Stop Payment requested by you on disbursements made from your account within five business days of issuance.	\$15 <sup>1</sup>	
Check Copy Fee	Cost of check copy	\$10 <sup>1</sup>	

Miscellaneous/All Brokerage Accounts			
Overnight Mail Fee	Fee charged for overnight mail of checks at your request. (Saturday delivery is higher depending on address)	\$10 <sup>1</sup>	Per event
Mailgrams	Notification fee.	\$5 <sup>1</sup>	Per
Returned/Bounced Check Fee	Bounced check fee.	\$20 <sup>1</sup>	Per event
Photocopy of Confirms or Statements	Fee for providing historical copies of brokerage account statements, confirms and tax documents upon your request.	\$5 / \$10 <sup>2</sup>	Per confirm & statement last 12 months / Previous 12 months \$10
Postage & Handling Fees	Confirmation charge that applies to all transactions. Does not apply to Managed Accounts or Alternative Investments.	Up to \$22 <sup>2</sup>	Per event
Wire Transfer Fee	Wire money from brokerage account at your request.	\$15 <sup>1</sup>	Per event
Prepayment Requests	Pre settlement processing fee.	\$15 + Interest	Per event
Ladenburg Thalmann Year-End Processing Fee	Annual processing fee. IRA accounts are not charged this fee.	\$65 <sup>2</sup>	Per year
Borrow and Hard to Borrow Fee	Cost of borrowing securities. (Contact your financial professional for current rates).	Varies – Based on balance	Pass through NFS fee
Reg. T Extension	Request additional time for payment.	\$0	Per event

<sup>1</sup> Ladenburg Thalmann shares in the fees imposed by NFS.

<sup>2</sup> A fee assessed solely by Ladenburg Thalmann and not NFS.

Specific client programs may have fees that vary. In these instances, please consult the client/account agreement for pricing schedule. All fees are assessed against cash or cash sweep in the account. If funds are not available to cover fees or activity-related debits, holdings sufficient to cover any outstanding debit may be liquidated by Ladenburg Thalmann. Fees are subject to change and are depicted on a per account basis and are not prorated when an account is closed prior to its anniversary date. Not all fees may be shown or are applicable to all account types. Please speak with your investment professional for additional details. Securities offered through Ladenburg Thalmann, a broker-dealer and member of FINRA and SIPC. Investment advisory services offered through Ladenburg Thalmann Asset Management Inc. and/or are separately owned and other entities and/or marketing names, products or services referenced here are independent.

**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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