

# Transaction Schedule

## Preferred Portfolio Services® (PPS) Custom/Advisory Services

### Equities, ETFs, Closed-End Funds, and Options

Online Order Entry	Ticket Charge	Advisor/Staff	Platform Fee
Equities, ETFs, and Closed-End Funds	\$4.95 <sup>1</sup> /\$7.95 <sup>2</sup>	\$4.95 <sup>2</sup>	\$0
Options	\$15 + \$1 per contract <sup>2</sup>	\$12 + \$1 per contract <sup>2</sup>	\$1 per contract

Fidelity ETFs are available without a transaction fee in NFS accounts.<sup>2</sup> For a list of these products, please visit [Products > Investment Products > Exchange-Traded Funds > Fidelity ETFs \(No transaction fee\)](#) on COMMunity Link®.

Trader Assisted	Ticket Charge	Advisor/Staff	Platform Fee
Equities, ETFs, and Closed-End Funds	\$25 <sup>2,3</sup>	\$4.95 <sup>2</sup>	\$5
Options	\$20 + \$1.25 per contract <sup>2,3</sup>	\$12 + \$1 per contract <sup>2</sup>	\$5 + \$1 per contract

Other	Ticket Charge	Platform Fee
Fixed Income	\$30 <sup>2</sup>	\$0
Structured Products	\$30 <sup>2</sup>	\$0
Precious Metals	\$50 <sup>2</sup>	\$0
UITs	\$20 <sup>2</sup>	\$0
Alternative Investments	\$50	\$0 <sup>5</sup>

### Mutual Funds

We have relationships with more than 500 **supporting fund families** providing access to thousands of mutual funds, including institutional shares for PPS accounts.

Three **nonsupporting mutual fund families** do not support intermediary distributions, resulting in higher transaction fees. They are Dimensional Fund Advisors (DFA), Dodge & Cox, and Vanguard.

Transaction	NTF	Supporting Funds <sup>4</sup>	Nonsupporting Funds <sup>7</sup>	Platform Fee <sup>6</sup>	
				Nonsupporting Funds	All Other Funds
Buy	Free	\$12 <sup>1</sup> /\$15 <sup>2</sup>	\$30 <sup>2</sup>	\$15	\$0
Sell	Free <sup>8</sup>	\$12 <sup>1</sup> /\$15 <sup>2</sup>	\$30 <sup>2,9</sup>	\$15 <sup>10</sup>	\$0
Exchange	Free	Free	\$30	\$15	\$0
PIP/SWP	Free	Free	\$3	\$3	\$0

<sup>1</sup> Account must be enrolled in all available e-notification (e-delivery) options (excluding tax documents).

<sup>2</sup> Plus service (confirm) fee of \$4 for accounts not enrolled in all available e-notification (e-delivery) options (excluding tax documents).

<sup>3</sup> Trader-assisted block trades will be the same ticket charge as online.

<sup>4</sup> \$20 if processed by the Trade Desk; \$10 for advisor/staff accounts (Buy/Sell/Exchange).

<sup>5</sup> Commission-based alternative investments are subject to a \$50 ticket charge to the advisor.

<sup>6</sup> Additional \$5 fee charged to advisor for trader-assisted transaction (Buy/Sell/Exchange).

<sup>7</sup> \$35 fee if processed by the Trade Desk; \$15 for advisor/staff accounts (Buy/Sell/Exchange).

<sup>8</sup> Funds purchased prior to their NTF effective date will still incur a ticket charge.

<sup>9</sup> For sells of DFA funds: \$15; \$12 for accounts enrolled in e-notification (e-delivery); \$20 if processed by the Trade Desk; \$10 for advisor/staff accounts.

<sup>10</sup> For sells of DFA funds, \$0 fee.

**Rates and mutual funds list subject to change**