





QUALIFIED PLANS  
FULL SERVICE SOLO 401(K)  
FEE SCHEDULE

<b>1</b>	<b>Installation Fee</b> (Payable in advance, non-refundable)	
	ETC Prototype Plan Document (Includes Adoption Agreement, Adopting Plan Resolution, Summary Plan Description)	\$300

2	Qualified Plan Service Fees			
■ Plan Fees:		■ Participant Account & Loan Fees:		
Plan Takeover	\$300	Participant Distribution (includes Form 1099-R)	\$90	
Plan Document Restatement		Participant Loan	\$200	
(Adoption Agreement, Adopting Resolution, Summary Plan Description)	\$300	Participant Deemed Loan (includes Form 1099-R)	\$75	
		Participant Loan Corrections	\$75	
		Qualified Domestic Relations Order (QDRO) Processing	\$200	
Plan Amendments		■ Other Fees:		
(Adopting Resolution and Summary Plan Description or Summary of Material Modifications)	\$150	Account Corrections	\$75	
		IRS Form 5558	\$25	
		IRS Model Amendments (Adopting Resolution and Summary of Material Modifications)	\$25	
Recordkeeping of Assets Held Outside the Custody of Equity Trust Company	\$25	IRS Plan Audit - Providing Plan Document Copies	\$25	
		Form 5500 EZ (optional - plan assets < \$250,000)	\$250	

<b>3</b>	<b>Annual Custody &amp; Recordkeeping Fees</b>	
	<b>\$350 / Year</b>	
	<b>+</b>	
	<b>Market Value Based Fees</b>	
	<b>Account Value</b>	<b>Annual Fee</b>
	\$1 - \$14,999	\$225
	\$15,000 - \$24,999	\$320
	\$25,000 - \$49,999	\$350
	\$50,000 - \$99,999	\$425
	\$100,000 - \$199,999	\$500
	\$200,000 - \$299,999	\$700
	\$300,000 - \$399,999	\$750
	\$400,000 - \$499,999	\$1,075
	\$500,000 - \$599,999	\$1,750
	\$600,000 - \$699,999	\$1,850
	\$700,000 - \$799,999	\$1,950
	\$800,000 - \$899,999	\$2,000
	\$900,000 - \$999,999	\$2,050
	\$1,000,000 - \$1,999,999	\$2,150
	\$2,000,000+	\$2,250

<b>4</b>	<b>Special Service Fees (Charged at time service is rendered)</b>	
	<b>Service Fees:</b>	
	Cashier's Check, Certified Mail Service	\$30 each
	Overnight Mail Service	\$50 each
	Paper Bill Pay (Avoided by utilizing electronic bill pay)	\$15 each
	Paper Statement Fee (Avoided by enrolling in eStatements)	\$60 annually
	Special Document Processing	\$10 each
	Miscellaneous Activity Request	\$75 / hour
	Special Handling Fee	\$25 each
	<b>Asset Specific Fees:</b>	
	<b>Precious Metals Storage* &amp; Ongoing Fees</b>	
	Segregated Precious Metals Storage	\$150
	Non-Segregated Precious Metals Storage	\$100
	Precious Metals Coin Shipping	Cost + \$10
	In-Kind Distribution or Transfer Out	\$50/Transaction
	Life Insurance Policy Fee - per year, per policy	\$50 each
	Foreign Currency Fee	\$100 annually
	<b>Funds Transfer Fees:</b>	
	Wire Transfer Fee (Domestic & International)	\$30 each
	Stop Payment, Return Check Fee	\$30 each
	Voided Check Fee - per check	\$10 each
	<b>Late Fees:</b>	
	Late Fee (Failure to pay Annual Fee by provided deadline)	\$50
	Second Late Fee (Failure to pay Annual Fee 30+ days post deadline)	\$50
	<b>990-T Processing Fee:</b>	See 990-T Schedule

<b>5</b>	<b>Termination Fees</b>	
	Plan Termination Fee (Includes: Plan Amendments, Resolution to Terminate, Final Participant Valuation Summary, Participant Distributions, Form 1099-R, Final IRS Form 5500 Preparation)	\$500
	Plan Deconversion (Participant Valuation Summary and Transfer of Funds to New Service Provider)	\$300
	Re-Registration of Alternative Asset	\$100 / asset
	Account custody fees are not prorated. Fees effective as of 1/1/2023. Qualified Plan fees may be deductible as a business expense. Please consult with your tax professional for further guidance. *Precious Metals storage fees are charged at account open and each January thereafter. Precious metals storage fees may be assessed by each separate depository utilized.	
	Make annual fee payment with check, automatic deduction from account, or  	

1 Equity Way • Westlake, OH 44145 • PHONE: (800) 955-3434 Option 3 • WWW.EQUITYINSTITUTIONAL.COM • EMAIL: QPSERVICES@TRUSTETC.COM