

# Mutual Fund and 529 Plan Marketing Services and Support at Merrill Lynch

Merrill Lynch, Pierce, Fenner & Smith (“Merrill Lynch”) provides distribution and marketing services and support to sponsors of domestic mutual funds, money market mutual funds and offshore mutual funds (together, “mutual funds”) and certain 529 plans that are available for purchase through Merrill Lynch. On our brokerage platform, we only recommend or select mutual funds from fund sponsors that pay us fees for marketing services and support. Mutual fund sponsors and 529 program or investment managers pay us an agreed upon fee based on a portion of each mutual fund or certain 529 purchases and pay an annual fee based on a portion of the fund sponsor or 529 program manager’s total assets held at Merrill Lynch. This means that Merrill Lynch receives higher payments from mutual fund sponsors or 529 program or investment managers with the greatest assets at Merrill Lynch.

Merrill Lynch does not receive or retain marketing service and support fees for Merrill Lynch retirement or benefit plan clients, domestic mutual funds or money market funds in asset-based fee accounts or with respect to the underlying investment options that serve as funding vehicles for variable insurance and variable annuity products. For a description of the marketing services and support provided to fund sponsors or 529 plans, fees and other information, please refer to the [Merrill Lynch Mutual Fund Investing Pamphlet](#) or the [Section 529 Plans at Merrill Lynch Brochure](#).

Below is a list of mutual fund sponsors and 529 program or investment managers who made marketing support payments of \$100,000 or more to Merrill Lynch in the prior calendar year.

## Greater than \$20 million

- BlackRock

## \$10 million – \$19.99 million

- American Funds

## \$5 million - \$9.99 million

- Federated
- Franklin Templeton

## \$1 million - \$4.99 million

- |               |                       |           |
|---------------|-----------------------|-----------|
| • AB          | • Invesco Oppenheimer | • MFS     |
| • Columbia    | • Janus Henderson     | • Natixis |
| • Eaton Vance | • JP Morgan           | • Nuveen  |
| • Fidelity    | • Legg Mason          | • PIMCO   |
| • First Eagle | • Lord Abbett         | • Putnam  |
| • Hartford    | • Mainstay            |           |

**\$500,000 - \$999,999**

- Amundi
- Calamos
- Cohen and Steers
- Davis
- Goldman Sachs
- Guggenheim
- John Hancock
- Macquarie
- PGIM
- Principal
- Thornburg
- Wells Fargo

**\$100,000 - \$499,999**

- AIG
- Advisors Asset Management
- Alger
- Allianz
- American Beacon
- American Century
- Angel Oak
- BNY Mellon
- Calvert
- DWS
- Gabelli
- IVA
- Ivy
- Morgan Stanley
- Neuberger Berman
- Touchstone
- Transamerica
- UB&T
- Victory
- Virtus
- Voya

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