

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

Merrill Lynch, Pierce, Fenner & Smith (“Merrill”) provides marketing services and support to the sponsors of domestic and offshore mutual funds and money market mutual funds (together, “mutual funds”) and the 529 plan program or 529 investment managers of certain 529 plans. On our brokerage platform, we only make available and recommend mutual funds from sponsors that pay us marketing services and support fees. The amount of marketing services and support fees that we receive varies and is based on (1) client purchases of mutual funds and certain 529 plans, and/or (2) total client assets in mutual funds and certain 529 plans, and/or (3) fixed fee arrangements.

Merrill does not receive marketing service and support fees for Merrill retirement or benefit plan clients, domestic mutual funds or money market mutual funds in asset-based fee accounts, or 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 mutual fund sponsors or 529 plan program or 529 investment managers, fees and other information, please refer to the [Merrill Mutual Fund Investing Pamphlet](#) or the [Section 529 Plans at Merrill Brochure](#).

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

## Greater than \$40 million

- BlackRock

## \$20 million - \$39.99 million

- N/A

## \$10 million – \$19.99 million

- American Funds

## \$5 million - \$9.99 million

- Federated
- Franklin Templeton

## \$1 million - \$4.99 million

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

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

- Amundi
- Calamos
- Cohen and Steers
- Davis
- Touchstone
- Neuberger Berman
- Goldman Sachs
- Morgan Stanley
- John Hancock
- Macquarie/Delaware
- Transamerica
- PGIM
- Principal
- Thornburg
- Allspring

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

- Advisors Asset Management
- Alger
- American Beacon
- American Century
- BNY Mellon
- Calvert
- DWS
- Guggenheim
- Ivy
- Nationwide
- Ninety One
- Legg Mason
- Catalyst
- UB&T
- Victory
- Schroder
- Voya

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No investment program is risk-free, and a systematic investing plan does not ensure a profit or protect against a loss in declining markets. Any investment plan should be subject to periodic review for changes in your individual circumstances, including changes in market conditions and your financial ability to continue purchases.

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