## Fee schedule for services

### Retirement accounts

**Account set-up/annual fees**
- IRA: $35
- Money purchase/profit-sharing plans/Individual 401(k): $35

**Termination fees**
- IRA: $125
- Money purchase/profit-sharing plans/Individual 401(k): $125

### Annual custody and safekeeping fees for accounts below minimum threshold (brokerage only)
- Per master account: $375
- Per additional account: $125

### Commission charges (brokerage only)

#### Principal amount commission charge for Option transactions
- $0.01 - $2,499.99: $30
- $2,500 - $4,999.99: $50
- $5,000 - $19,999.99: $70
- $20,000 - $29,999.99: $100
- $30,000 - $49,999.99: $135
- $50,000+: $175

#### Wire fees
- Domestic/Foreign institution: $35
- IRA: $15

#### Return check fees (NSF)
- $25

#### Overnight mail
- $20

#### Legal transfer fee (physical certificate)
- $90

#### DRS registration/ship DRS statement
- $10

#### Transit/ship certificate–non DRS eligible
- $220

#### Stop payment
- $15

#### Mailgram
- $5

### Special service charges

- Service fee – mutual funds*: $20
- Service fee – fixed income*: $10
- Service fee – equities and exchange traded funds (ETFs)*: $5
- Voluntary tender offer: $40
- Redemptions–customer name: $25
- Physical reorg: $25
- Account termination fee: $95
- Copies of statements: $20
- Third party checks: $12
- IRS Form 990-T UBTI Tax Return Filing Fee (only if filing is required): $300

* Service fees apply to each respective trade. Mesirow does not provide legal or tax advice. Mesirow refers to Mesirow Financial Holdings, Inc. and its divisions, subsidiaries and affiliates. The Mesirow name and logo are registered service marks of Mesirow Financial Holdings, Inc. Mesirow Financial Investment Management, Inc. is an SEC-registered investment advisor. Securities offered by Mesirow Financial, Inc., member FINRA, SIPC. Wealth Management services offered through Mesirow Financial Investment Management, Inc. Intellectual property of Mesirow Financial Investment Management may not be copied, reproduced, distributed or displayed without MFIM’s express written permission. © 2023 All rights reserved. While Mesirow Financial Investment Management, Inc. does not recommend a specific custodian, it has a relationship with NFS, which allows us to share in custodial fees revenue, fund revenue sharing and easily onboard clients to the NFS platform. Additionally, some fees listed on the fee sheet are marked up from the cost to us, or are additional fees not specifically tied to any or our cost, and the additional revenue is retained by us and used to offset costs of business operations. You should review the fees of your custodian before choosing that custodian. Mesirow reserves the right to change its fees at any time.

### About Mesirow

Mesirow is an independent, employee-owned financial services firm founded in 1937. Headquartered in Chicago, with locations around the world, we serve clients through a personal, custom approach to reaching financial goals and acting as a force for social good. With capabilities spanning Global Investment Management, Capital Markets & Investment Banking, and Advisory Services, we invest in what matters: our clients, our communities and our culture. To learn more, visit mesirow.com and follow us on LinkedIn.