Fee schedule for services

Retirement accounts

Annual maintenance fee:
- IRA, Roth IRA, Coverdell Education Savings, IRS Model 5305 SEP: $35
- IRA and Roth IRA (mutual fund only): $10
- SARSEP/Prototype SEP, SIMPLE IRA, qualified retirement plans (money purchase/profit sharing plans/401(k)/Individual 401(k)/403(b)(7) custodial accounts: $50

Termination fees:
- IRA/Roth IRA/Coverdell Education Savings/IRS Model SEP: $95
- IRA and Roth IRA (mutual fund only): $95
- SARSEP/Prototype SEP, SIMPLE IRA, qualified retirement plans (money purchase/profit sharing plans/401(k)/Individual 401(k)/403(b)(7) custodial accounts: $95

Commission and other charges
- Minimum commission: Stock, option, mutual fund: $20
- Confirmation fee (per confirmation): $5.50
- Mutual fund surcharge: $10
- Option exercise and assignment transactions (per notification): $25
- Precious metals: $20
- Unit investment trusts: $35
- DK items: US/Non US: 10/10 per day
- Foreign receive & deliver fees: Euroclear/all other foreign depositories: $50/75
- Inactive account fee (per inactive account, per year): $25
- Inactive account fee: mutual fund only (per inactive account, per year): $12.50
- Margin and COD extension (per event): $10
- Paper delivery for statements and confirms: 75 cents
- Reorganization items: voluntary/mandatory (per event): $50/10
- Bond redemptions (per event): $10
- Foreign securities (per account, per position, per month): $2
- Wire funds: $15
- Precious metals storage fee (per market value per annum): 75 basis points
- Precious metals delivery fee: pass-through
- Safekeeping (per account, per position, per month): $10
- Safekeeping foreign securities (per account, per position, per month): $10
- Fractional share equity dividend reinvestment (per item): $1
- Overnight courier fee: standard/Saturday/international delivery: $12/18/25

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1. A fee of $50 will apply for conversions to a mutual fund only IRA/Roth IRA from a traditional IRA/traditional Roth IRA.
2. This fee applies to purchases and redemptions only.
Transfers
Legal, GNMA, restricted items (per transfer) ............................... 135
Outgoing account (per transfer) .............................................. 100
Global transfers, receive, delivers (per transfer), plus settlement fees) ............................... .25
Accommodation (per transfer) ........................................... 60
Register and ship certificate (per transfer) ..................................... 60
Direct registration (per transfer) ........................................ 10

Corestone checking account fees
Silver account (annual fee waived if cash sweep >$25,000) .................. $25
Check reorder .......................................................... 10
Carbon copy checks (initial order/reorder) ..................................... .50
Business checks (initial order/reorder) ........................................... .95
Replacement binder ...................................................... .95
Returned checks or ACH debits ............................................. .50
Stop payment ........................................................... .95
Cash advance fee (non-ATM) .................................................. .95
Copy of paid checks or MasterCard draft ...................................... .50

Alternative investment network platform
Transaction fee: this fee applies to each alternative investment not participating in the no-fee Pershing Alternative Investment Network (per position, per event) ..................................................... 50
Annual per position service charge (registered/unregistered) .......................... 35/125
Alternative investment provider eligibility review fee (per review) .................. 300

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.