

Registrations

The following is a list of regulatory agencies that monitor investment advisor and/or broker dealer subsidiaries of the parent corporation Mesirow with regard to the investment advisory or securities brokerage dealer activities:

- U.S. Securities and Exchange Commission (SEC)
- Financial Industry Regulatory Authority (FINRA)
- NASDAQ Stock Market
- Municipal Securities Rulemaking Board (MSRB)
- National Futures Association (NFA)
- United States Department of Labor (DOL)
- U.S. Commodity Futures Trading Commission (CFTC)
- State regulatory organizations within all 50 states as well as the District of Columbia and Puerto Rico
- State insurance agencies within 39 states as well as the District of Columbia and Puerto Rico.
- Financial Conduct Authority (UK)
- Securities and Futures Commission (Hong Kong)
- Central Bank of Ireland
- Belgian Financial Services and Markets Authority
- Australian Securities and Investments Commission
- Swiss Financial Market Supervisory Authority
- Canadian Provinces*

*Mesirow operates pursuant to exemptions from registration in the Canadian provinces in which it conducts business.

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