Mesirow

Fee schedule for services

Retirement accounts

Annual maintenance fee:

IRA, Roth IRA, Coverdell Education Savings, IRS Model 5305 SEP	$43.50
IRA and Roth IRA (mutual fund only)[1]	$12
SARSEP prototype SEP, SIMPLE IRA and 403(b)(7) custodial accounts	$58.50
Individual(k), Simplified 401(k), profit sharing, money purchase plan document type	$75

Termination fees:

IRA, Roth IRA, Coverdell Education Savings, IRS Model 5305 SEP	$95
IRA and Roth IRA (mutual fund only)[1]	$95
SARSEP prototype SEP, SIMPLE IRA and 403(b)(7) custodial accounts	$95
Individual(k), Simplified 401(k), profit sharing, money purchase plan document type	$95

Commission and other charges

Minimum commission: Stock, option, mutual fund	$20
Confirmation fee (per confirmation)	$1
Mutual fund surcharge[2]	$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)	$14
Wire funds	$7.50
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

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) $65
Global transfers, receive, delivers (per transfer), plus settlement fees)
Euro/Other Non-US . . . . $25/$75
Accommodation (per transfer) $60
Register and ship certificate (per transfer) $500
Direct registration (per transfer) $10

Corestone checking account fees

Silver account (annual fee waived if cash sweep >$25,000) $25
Check reorder (Silver/Gold/Platinum) . . . . $12.50/$10/$7.50
Carbon copy checks (initial order/reorder). . . . . $15/$25
Business checks (initial order/reorder) . . . . $50/$40
Replacement binder $20
Returned checks or ACH debits $25
Stop payment $25
Cash advance fee (non-ATM) . . . . 0.25% of Principal ($2.50 Min)
Copy of paid checks or Visa draft $2.50

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.

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