

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, qualified retirement plans (money purchase/profit sharing plans/401(k)/Individual 401(k)/403(b)(7) custodial accounts	\$58.50

Termination fees:

IRA/Roth IRA/Coverdell Education Savings/IRS Model SEP	\$95
IRA and Roth IRA (mutual fund only) ¹	\$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)	\$.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

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