



Table of Fees and Services

Carefully read Item 4 and Item 5 of Form ADV Part 2A (“Brochure”), as these sections of the Brochure contain important details about Rothman Investment Management advisory services and fees. Fees (may be/ are not) negotiable. The fees below will only apply to you when you request the services listed.

Fees Charged by Investment Adviser	Fee Amount		Frequency Fee is Charged	Services
Assets Under Management Fee	\$0 - \$1,000,000 Above \geq \$1,000,000 Subject to an annual minimum \$3,000 fee.	1.00% 0.75%	Quarterly in Arrears	Portfolio management for individuals and small businesses
Financial Planning Fee	\$3,000		One-time fee	Financial Planning Services for comprehensive personal financial plan
Financial Coaching	\$4,000/year		Billed quarterly	Ongoing financial planning without managing assets
Other	\$250		Hourly Charge	Includes additional financial planning, advice, or projects
Fees Charged by Third Parties	Fee Amount		Frequency Fee is Charged	Services
Talk with your Advisor about fees and costs applicable to you.				

Additional fees and costs to discuss with your Advisor

Additional Fees/Costs	Yes/No	Paid To
Brokerage Fees	No	
Commissions	Yes	TD Ameritrade
Custodian Fees	No	
Mark-ups	No	
Mutual Funds/ETF Fees and Expenses	Yes	Fund managers

Effective July 1, 2021