

Contact Center: (800) 248-8447 | [www.ForgeTrust.com](http://www.ForgeTrust.com)

## Important things investors need to know prior to opening their self-directed IRA account with Forge Trust Co.

To make your initial investment purchase, you are required to submit supporting documents **with** your *INVESTMENT AUTHORIZATION* form. Below is a list of common investment assets and their document requirements. For all other assets not listed below, please call us at (800) 248-8447.

**Please ensure that all paperwork is completed correctly prior to submitting to Forge Trust Co. and that all required paperwork is submitted together with the *INVESTMENT AUTHORIZATION* form.**

**IMPORTANT:** Investments must be registered and/or titled "Forge Trust Co. CFBO [Investor Name] [IRA Account No.] under Tax ID 26-2627205"

## BROKERAGE ACCOUNT (For publicly traded securities, foreign exchange, commodity exchange, etc.)

Brokerage firm's account application form—Please ensure that the firm is able to establish an account under the name of "Forge Trust Co. CFBO [Investor Name] [IRA Account No.] under Tax ID 26-2627205"

## CERTIFICATE OF DEPOSIT (CD)

CD with Fremont Bank: No additional documentation required. Please ensure that you include the length of the term and the amount to be invested on the Investment Authorization form.

CD with another financial institution: Application form provided by financial institution of your choice—Please ensure that the financial institution is able to establish an account under the name of "Forge Trust Co. CFBO [Investor Name] [IRA Account No.] under Tax ID 26-2627205"

## HEDGE FUNDS

Application form provided by hedge fund manager

Subscription Agreement

Investment interest/membership must be registered under "Forge Trust Co. CFBO [Investor Name] [IRA Account No.] under Tax ID 26-2627205" with a signature line for Forge Trust Co.'s authorized signer

Subscription Agreement must also include the investor's name and signature

Forge Trust Co.' Prohibited Transaction Questionnaire

## IRA LLC

Operating Agreement (see IRA LLC REQUIREMENTS document)

EIN Confirmation

Articles of Organization or Certificate of Formation

IRA LLC Agreement

## PRECIOUS METALS

Invoice/purchase contract/order form from precious metals dealer under the name of "Forge Trust Co. CFBO [Investor Name] [IRA Account No.] under Tax ID 26-2627205"

*You are responsible for finding a precious metals dealer and contacting them to obtain an invoice, purchase contract or order form to be submitted with our Investment Authorization form. All precious metals are to be stored at a facility approved by Forge Trust Co. (see our Fee Schedule for a list of approved storage facilities and their respective storage fees). For a list of precious metals allowed in an IRA, please see the "Acceptable Precious Metals" document. You may find this on our website, [www.ForgeTrust.com](http://www.ForgeTrust.com), or call us at (800) 248-8447 to obtain a copy.*

## PRIVATE PLACEMENTS, LIMITED PARTNERSHIPS, PUBLIC LLCs, NON-PUBLIC PARTNERSHIPS, etc.

Subscription Agreement and Private Placement Memorandum

Investment interest/membership must be registered under "Forge Trust Co. CFBO [Investor Name] [IRA Account No.] under Tax ID 26-2627205" with a signature line for Forge Trust Co.'s authorized signer

Subscription Agreement must also include the client (IRA owner's) name and signature as "Read and approved by <Insert client's printed name> <followed by the client's signature>"

Forge Trust Co.' Prohibited Transaction Questionnaire form

## PRIVATE STOCK (Non-publicly traded)

Stock purchase agreement/contract under the name of "Forge Trust Co. CFBO [Investor Name] [IRA Account No.] under Tax ID 26-2627205"

Forge Trust Co.' Prohibited Transaction Questionnaire form

## PROMISSORY NOTES – see attached

## MUTUAL FUNDS

No additional documentation required.

Mutual Funds are purchased through Matrix Settlement and Clearing Services (MSCS). MSCS requires funds be sent via wire for payments on settlement date. A \$25 outgoing wire fee will apply.

REITs (Real Estate Investment Trust)

Application form from REIT company

*IMPORTANT: Investments must be registered and/or titled "Forge Trust Co. CFBO [Investor Name] [IRA Account No.]" (Tax ID: 26-2627205).*

TAX LIENS – see attached

Asset Type	Required Pre-Funding Documents	Required Post-Funding Documents
<b>1. UNSECURED PROMISSORY NOTE</b>  If borrower is an individual  If borrower is a business entity	Investment Authorization with funding instructions Original notarized note* Note servicing agreement (if applicable)  Investment Authorization with funding instructions Copy of notarized note* Copy of assignment of note Documents certifying formation of entity Evidence that the entity is in good standing Prohibited Transactions Questionnaire	Amortization/payment schedule (if applicable)  Amortization/payment schedule (if applicable)
<b>2. SECURED PROMISSORY NOTE</b>  If borrower is an individual  If borrower is a business entity	Investment Authorization with funding instructions Original notarized note* Note servicing agreement (if applicable)  Investment Authorization with funding instructions Copy of the secured note* Note servicing agreement (if applicable) Documents certifying formation of entity Evidence that the entity is in good standing Prohibited Transactions Questionnaire	Amortization/payment schedule (if applicable)  Amortization/payment schedule (if applicable)
a.) Secured by Real Estate	Applicable documents listed in Section 2 plus: Copy of deed of trust/mortgage Copy of assignment of deed of trust (if applicable) Copy of note endorsement (if applicable) Evidence that borrower is/will be on the title	Applicable documents listed in Section 2 plus: Recorded deed of trust/mortgage Recorded assignment of deed of trust (if applicable) Executed note endorsement (if applicable)
b.) Secured by Vehicle, Manufactured or Mobile Home	Applicable documents listed in Section 2 plus: Copy of certificate of ownership in borrower's name Registration of title/lien holder to "Forge Trust Co. CFBO [Investor Name] [IRA Account No.] under Tax ID 26-2627205" Evidence that borrower is/will be on the title	Applicable documents listed in Section 2 plus: Executed security agreement Certificate of ownership
c.) Secured by Equipment	Applicable documents listed in Section 2 plus: Copy of UCC filing (if applicable) Evidence that borrower is/will be on the title	Applicable documents listed in Section 2 plus: Executed security agreement Recorded UCC filing (if applicable)
d.) Secured by Company Shares	Applicable documents listed in Section 2 plus: Copy of security agreement (if applicable) Copy of pledge agreement (if applicable) Documents certifying formation of entity Evidence that the entity is in good standing Private Placement Memorandum/Subscription Agreement/Operating Agreement	Applicable documents listed in Section 2 plus: Executed security agreement Stock Certificate (if applicable) Stock Power (if applicable)
e.) Secured by Participation Agreement	Applicable documents listed in Section 2 plus: Copy of participation agreement Evidence that borrower is/will be on the title Documents certifying formation of entity Evidence that the entity is in good standing Private Placement Memorandum/Subscription Agreement/Operating Agreement	Applicable documents listed in Section 2 plus: Executed participation agreement
f.) Secured by Other Collateral	Applicable documents listed in Section 2 plus: Evidence that borrower is/will be on the title Applicable security agreement	Applicable documents listed in Section 2 plus: Executed security agreement Executed certificate of ownership

<p>3. **REAL ESTATE</p> <p>Earnest money/For deposit only</p> <p>Purchase/Closing</p>	<p>When purchasing real estate, be sure that the third party understands that the buyer is "Forge Trust Co. CFBO [Investor Name] [IRA Account No.] under Tax ID 26-2627205"</p> <p>Investment Authorization with funding instructions Purchase Contract or Preliminary Settlement Statement in the name of "Forge Trust Co. CFBO [Investor Name] [IRA Account No.] under Tax ID 26-2627205"</p> <p>Investment Authorization with funding instructions Purchase Contract (without deposit) Estimated Closing Statement Preliminary title report Escrow package (if applicable) Loan package (if applicable) Proposed deed with "When Recorded Return To" address listed as: Forge Trust Co. – PO Box 7080, San Carlos, CA 94070</p>	<p>Recorded Grant Deed Title Insurance Policy</p>
<p>4.) TAX LIEN</p>	<p>Investment Authorization with funding instructions Application for purchase</p>	<p>Tax lien certificate</p>

\*Promissory note must outline the following terms, with signature lines for both the borrower and the lender:

- Amount of loan
- Date of issuance
- Interest rate
- Interest compounding period (annual, quarterly, monthly, daily, none)
- Re-payment terms (payments must be sent to Forge Trust Co.: PO Box 7080, San Carlos, CA 94070)
- Maturity date

*Lender must be listed as "Forge Trust Co. CFBO [Investor Name] [IRA Account No.] under Tax ID 26-2627205"*

\*\*Real Estate: Property Tax and all other expenses related to the Real Estate must be paid from the IRA account. Submit Expense payment request form and Invoice for payment. **DO NOT PAY WITH PERSONAL FUNDS as this will cause a prohibited transaction in your account resulting in a taxable distribution to you which will include penalty.**