ForgeTrust

INVESTMENT ROLLOVER NOTIFICATION

Contact Center: (800) 248-8447 | www.ForgeTrust.com

Complete and submit this form to begin the process of rolling over an investment into your Forge Trust Co. ("Forge Trust") Individual Retirement Account ("IRA")" from a current qualified retirement plan (e.g., 401(k), 457 and 403(b) plans), or rolling over an investment that has been distributed to you personally from an IRA or other qualified retirement plan within the last 60 days (this is considered an indirect rollover). We will use this information to review the investment and, if accepted, work with you and your current plan administrator to re-register the investment to your Forge Trust IRA. *If rolling over cash, complete the Deposit Notification form.*

Required fields are identified with an *

1. PERSONAL INFORMATION

Should we need to contact you in regards to this request, your preferred method of contact is:

☐ Email

☐ Primary Phone

First Name*	Middle Name	Last Name*
Account Number	Social Security Number* Last 4 Digits Only	Date of Birth* (MM/DD/YYYY)
Phone* XXX-XXX-XXXX	Email (Your personal email only)	

2. DELIVERY ACCOUNT INFORMATION

Attach a statement from the institution currently holding the investment or documentation confirming the distribution of this investment to you personally. If there is no such document available, provide a letter signed by the trustee of the custodian confirming the asset was held in a qualified retirement plan.

Current/Previous Custodian Name: Account Type:

3. INVESTMENT INFORMATION

Complete one form per investment being rolled over to Forge Trust. The investment will be reviewed to ensure administrative feasibility.

Investment Name**	Investment Type (e.g. LLC, Stock, Metal, Note, Real Estate)	Current Investment Value

☐ This investment is active and in good standing, and NOT in default or pending litigation or bankruptcy.

If box is not checked, please provide additional detail.

Investment Contact Information

Please provide contact information for the investment sponsor or loan servicer associated with this investment. This should NOT be filled out with your previous/current custodian's information.

Name of Investment Sponsor/Loan Servicer Entity*		Address*
Contact Name		
Phone*	Fax Number (optional)	Email*

*** Please note that we will not be able to accept your investment without a WRITTEN confirmation of the transfer. Forge Trust will send a request to the entity you listed above in order to obtain this written confirmation. Your involvement will become necessary if the entity you listed above does not respond to our request.*

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4. INVESTMENT FEASIBILITY QUESTIONNAIRE (Not applicable for publicly traded investments)

Please answer the below questions to allow us to review this investment and confirm it is eligible to be held in a tax-qualified account.

1. Do you or any family member own any units/shares/interest in the investment outside of your IRA?	◯ Yes	◯ No

If yes:

Explain the relationship. (Write 'self' if yourself)	What is the existing percentage of ownership?

2. Are you or any family member the main decision-maker or majority owner of the investment?	◯ Yes	◯ No

If yes:

Explain the relationship. (Write 'self' if yourself)

3. Are you or any family member employed by the investment?	◯ Yes	◯ No

If yes:

Explain the relationship. (Write 'self' if yourself)	What position is held?

4. Will you or any family member be compensated or receive any other personal benefit as a result of this IRA investment?	◯ Yes	◯ No

If yes:

Explain the relationship. (Write 'self' if yourself)

5. Are you a Politically Exposed Person ("PEP")? PEP refers to individuals who are or have been entrusted with a prominent public function, as well as to their immediate family members, and close associates. PEPs include political figures, executives of government-owned corporations, senior government officials, and members of the executive, legislative, administrative, military, and judicial branches of government.	◯ Yes	◯ No

If yes, please explain.

5. INVESTMENT REQUIREMENTS (for Alternative Investments only)

In order to review your investment, we must receive the below documents and/or information specific to the type of investment you are requesting to roll over. *Additional documents and/or signatures may be required based on your unique investment.*

IRA LLC	**Private Placement (Limited Partnership, Private Stock, Non-Public Partnership, etc.)**
◯ Forge Trust Form: IRA LLC Agreement (Located at www.ForgeTrust.com -> Forms)	◯ Subscription or Stock Purchase Agreement
◯ Operating Agreement	◯ Operating/LP Agreement
◯ Articles of Organization / Certificate of Formation	◯ Offering Document - Private Placement Memorandum or offering deck (if applicable)
◯ EIN Confirmation (showing the LLC registration and EIN Assigned)	

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REITs (Real Estate Investment Trust)	Promissory Notes
◯ Change of Ownership Paperwork (from REIT management company)	◯ Executed Note ◯ If Secured: Assignment of collateral/Deed of Trust
Real Estate	**Precious Metals** Please indicate where you would like your metals held.
◯ Forge Trust Form: Real Estate Valuation (Located at www.ForgeTrust.com -> Forms) ◯ Recorded Deed	◯ Delaware Depository (East Coast) ◯ BlueVault Precious Metals Storage (West Coast)

6. SIGNATURE

I acknowledge that Forge Trust and its representatives do not provide tax, legal or investment advice; that the IRA is self-directed; and that I assume full responsibility for this investment. Forge Trust is not responsible for and does not guarantee any self-directed investment's products, services, or performance. I hold harmless, protect and indemnify Forge Trust, Forge Services, Inc. ("Administrator"), and their representatives from and against all liabilities, losses, damages, expenses, and charges that Forge Trust, the Administrator, and their representatives may sustain resulting directly or indirectly from my investment. By my signature below, I certify that the information and instructions provided are true and correct. I confirm that this asset does not include any illegal or impermissible investments under South Dakota or Federal law, including, but not limited to, holdings of marijuana or other illegal substances, illegal gambling, or illegal artifacts.

If requesting an Indirect Rollover: I certify that this is a valid rollover contribution that meets all Internal Revenue Service requirements. I have not executed another rollover from any other IRA in the past 12 months. I hereby authorize the deposit of the in-kind rollover contribution and understand that I am fully responsible for the tax consequences of this transaction.

Account Owner Signature	Date (MM/DD/YYYY)
X	

Please sign and submit additional documents as required.

DELIVERY INSTRUCTIONS

Email
transfers-in@ForgeTrust.com

Fax
(650) 745-2907

Regular mail
Forge Trust Co.
PO Box 2048
San Francisco, CA 94126

Overnight mail
Forge Trust Co.
4 Embarcadero Ctr, Floor 15
San Francisco, CA 94111

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