ForgeTrust

INVESTMENT CHECKLIST

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

Do NOT use this form for Real Estate, Promissory Notes, Mutual Funds, IRA LLCs or Publicly Traded Stock/Bonds as there are separate forms for those.

To make your initial investment purchase, you are required to submit supporting documents with this *INVESTMENT AUTHORIZATION* form. Below is a list of common asset types and the document required.

☐ **REGISTRATION - All Investments must be registered to:**

Forge Trust Co. CFBO [Client Name] [IRA Account No.]

PO Box 2048, San Francisco, CA 94126

Tax ID 26-2627205

PRIVATE INVESTMENTS:

Hedge Fund

- ☐ Subscription Agreement - in the registration noted above
  - ☐ Signed as "Read and Approved"

Private Placement (Limited Partnership, Public LLC, Stock, Non-Public Partnership, etc.)

- ☐ Subscription or Stock Purchase Agreement – in the registration noted above
  - ☐ Signed as "Read and Approved"
- ☐ Offering Document - Private Placement Memorandum or offering deck (if applicable)
- ☐ Operating Document (e.g. LP, OA, and/or By-laws)

REITs (Real Estate Investment Trust)

- ☐ Application from REIT company - in the registration noted above
  - ☐ Signed as "Read and Approved"

PUBLIC INVESTMENTS:

Certificate of Deposit (CD)

- ☐ Application form provided by financial institution of your choice— ensure that the firm can establish an account in the registration noted above

Precious Metals

- ☐ Invoice/purchase contract/order form from precious metals dealer - in the registration noted above
- ☐ I have signed the invoice/purchase order
- ☐ I validated and attest that the metals are allowed in an IRA per IRS rules.
- ☐ I acknowledge that I am responsible for finding a precious metals dealer and agreeing to the purchase price.
- ☐ I understand that All precious metals are to be stored at a facility approved by Forge Trust Co. (see the Fee Schedule for a list of approved storage facilities and their respective storage fees). If using Blue Vault storage, complete that Investment Authorization instead.

Note:

If the supporting documents require original ink signature(s), please mail this Investment Authorization form with the supporting documents to Forge Trust Co. at:

Regular Mail: PO Box 2048, San Francisco, CA 94126

Overnight Mail: 4 Embarcadero Ctr, Floor 15, San Francisco, CA 94111

Need help completing the form? Please call us at 1-800-248-8447 for assistance.

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INVESTMENT AUTHORIZATION INITIAL PURCHASE

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☐ Priority Processing Requested: Priority processing does not mean same day; it may take 1-3 business days, if in good order, approved, and required funds are available. There is a fee of $250 for this service. Standard processing time is up to 10 business days, if in good order.

☐ Change Request: Check this box if this request is a modification of an original request.

☐ Invoice My Fees: I elect to be invoiced any applicable fees to pay online, via credit card or ACH. If enrolled in automatic payments, no additional action is required; otherwise, I understand I will have 5 days to make a one-time payment. If payment is not received, and there is insufficient cash to satisfy the amount due, my request will be canceled.

Required fields are identified with an *

1. PERSONAL INFORMATION

Should Forge Trust Co. 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)	Date of Birth* (MM/DD/YYYY)
Phone* XXX-XXX-XXXX	Email (Your personal email only)	

2. INVESTMENT INSTRUCTIONS

Prior to releasing your funds we may contact you at the phone number on record for verbal confirmation of these instructions.

Asset Name* (include class or series if applicable)	Asset Type* (based on the type selected on the investment checklist)

Asset Contact Information

Name of Investment Sponsor/Managing Entity*		Address*
Phone* XXX-XXX-XXXX	Fax Number (optional)	Email*

Amount to Purchase

Please note we will retain enough cash to maintain your minimum required balance, and to cover any investment-related fees or any unpaid fees before sending your requested amount. If there are insufficient funds to cover the minimum balance and/or fees, your request will be put on hold until sufficient funds are available. The purchase will be completed as soon as possible.

☐ Invest exactly amount / fund now: $ _____ Total shares/units/interest being purchased now: _____

☐ I authorize Forge Trust Co to automatically fund capital calls as they are received,up to the full commitment amount of _____ as detailed in the accompanying purchase/subscription agreement.*

☐ Invest all available cash balance less funds on hold, required minimum balance, fees due and transaction fees

- ☐ Optional: Specify amount of cash required in custodial cash account before purchase is made: _____
- ☐ Optional: If you wish to retain more than the minimum required balance, specify amount to be retained: _____

* Please note, if you are investing in a draw down fund you may elect to authorize automatic payment of future capital calls up to the full commitment amount by acknowledging the option above. To revoke the approval to pay the commitment listed, provide notice in writing at least five business days in advance of the next call.

3. DOCUMENT REQUIREMENTS (Your request will not be processed if you do not provide the required documents with this form.)

Please refer to the *INVESTMENT CHECKLIST* on page 1. There may be additional documents required by the investment sponsor to complete your investment transaction; confirm what your sponsor requires ahead of submitting documents to Forge Trust Co. Your investment request must contain all of the required documentation, and completed in full, signed “read and approved”, in order to be processed.

ASSETS MUST BE REGISTERED AS “FORGE TRUST CO. CFBO [INVESTOR NAME] [ACCOUNT NO.] (TAX ID: 26-2627205)”. Address of record: PO Box 2048, San Francisco, CA 94126

4. FUNDING INSTRUCTIONS

Please indicate how funds from your account are to be sent (check or wire) for the purchase of the asset listed above.

◯ Send a WIRE. I understand a wire fee will apply.

Bank Name*	
Bank Address* (No PO Box)	
Bank Phone Number	
Attention	
ABA (wire routing number)*	
Account Name*	
Account Number*	
For Further Credit Account Name	
For Further Credit Account Number	

◯ Send International Wire.	I have completed the International wire section and attached the WIRE REQUEST form located online. I understand that an international wire fee will apply.
◯ Send a CHECK using the following service: ◯ Regular Mail ◯ Overnight Mail (via FedEx) Charge cost of overnight delivery to: FedEx Account #: _____ *If no account # is provided, it will be billed to your IRA account at cost.*	Payee Name Address (must not be a bank address) City/State/Zip

5. PROHIBITED TRANSACTION QUESTIONNAIRE

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 company/limited partnership/business entity?	◯ 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.

6. ACKNOWLEDGMENT, AUTHORIZATION & SIGNATURE

I hereby acknowledge that I am solely responsible for the investment instructions I am making. You acknowledge that Forge Trust Co. and its representatives do not provide tax, legal or investment advice; that the Account is self-directed; and that you assume full responsibility for this investment. Forge Trust Co. is not responsible for and does not guarantee the products, services or performance of any self-directed investment. You release and agree to indemnify and hold harmless Forge Trust Co., its divisions, officers, employees, directors, representatives, owners, affiliates, successors, and assigns from liability for any adverse consequences that may result from this investment. I hold harmless, protect and indemnify the Custodian and Administrator from and against any and all liabilities, losses, damages, expenses and charges that the Custodian and Administrator may sustain or might sustain resulting directly or indirectly from my investment. By your signature below, you certify that the information and instructions provided, and the elections made by and through this investment authorization, are true and correct.

I acknowledge that Forge Trust Co. may contact me for verbal confirmation of my investment instructions, which may cause delays if I cannot be reached at any of my phone number(s) on record. I hereby authorize the purchase of the asset listed above for my Forge Trust Co. account. I confirm that this purchase does not include any illegal or impermissible investments under South Dakota or Federal law, including, but not limited to, marijuana-related holdings or holdings related to illegal substances, illegal gambling, or illegal artifacts.

Account Owner’s Signature	Date (MM/DD/YYYY)
✕	

Please sign and submit additional documents as required.

DELIVERY INSTRUCTIONS

Email
investments@ForgeTrust.com

Fax
(650) 745-2929

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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