ForgeTrust

PROHIBITED TRANSACTIONS QUESTIONNAIRE

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

Complete sections 1, 2 & 3 if you are lending funds to, or buying stock or an interest in, a business entity, LLC, Limited Partnership.
Complete sections 1 & 4 if you are lending funds to an Individual.

1. PERSONAL INFORMATION (*required field)

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 Only	Date of Birth* (MM/DD/YYYY)
Phone* XXX-XXX-XXXX	Email (Your personal email only)	

2. INVESTMENT NAME/DESCRIPTION

Name of company/limited partnership/business entity in which you wish to invest

3. 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 member of your family the primary decision-maker or majority owner of the asset in which you intend to invest?	◯ 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)

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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.

4. COMPLETE IF LENDING FUNDS TO AN INDIVIDUAL

1. Name of Borrower:	
2. How are you related to the Borrower?	Please explain

5. SIGNATURE

Participant Signature	Date (MM/DD/YYYY)
X	

Please sign and submit additional documents as required.

DELIVERY INSTRUCTIONS

Please include this form with your required Investment documents.

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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