ForgeTrust

PROMISSORY NOTE INVESTMENT CHECKLIST

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

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

☐ **REGISTRATION** - Note documents must be registered to the IRA as:

Forge Trust Co. CFBO [Client Name] [IRA Account No.]
PO Box 2048, San Francisco, CA 94126
Tax ID 26-2627205

☐ **If Borrower is an Entity, the following documentation is required for all note investments:**

- ☐ Documents certifying formation of entity
- ☐ Evidence that the entity is in good standing

Unsecured Promissory Note

- ☐ Investment Authorization with funding instructions
- ☐ Original notarized note* (Copy of notarized note acceptable for Entity)
- ☐ Note servicing agreement (if applicable)
- ☐ Amortization/Payment Schedule (if applicable)

Secured Promissory Note

Secured by Real Estate:

- ☐ Investment Authorization with funding instructions
- ☐ Copy of Note
- ☐ Copy of Note Endorsement (if applicable)
- ☐ Copy of Deed of Trust/Mortgage
- ☐ Copy of Assignment of Deed of Trust/Mortgage (if applicable)
- ☐ Evidence that the borrower is/will be on title
- ☐ Note servicing agreement (if applicable)
- ☐ Amortization/Payment Schedule (if applicable)

Post Funding Documents*:

- ☐ Copy of Executed Note
- ☐ Copy of Executed Note Endorsement (if applicable)
- ☐ Recorded Deed of Trust/Mortgage
- ☐ Recorded Assignment of Deed of Trust/Mortgage (if applicable)

Secured by Vehicle, Manufactured or Mobile Home:

- ☐ Investment Authorization with funding instructions
- ☐ Copy of Note
- ☐ Copy of Note Endorsement (if applicable)
- ☐ Copy of Certificate of Ownership in the Borrower's name
- ☐ Registration of title/lien holder to Forge Trust Co. CFBO (Investor Name) (IRA Account Number) under Tax ID 26-2627205
- ☐ Evidence that the borrower is/will be on title
- ☐ Amortization/Payment Schedule (if applicable)

Post Funding Documents*:

- ☐ Executed Security Agreement
- ☐ Certificate of Ownership

Secured by Equipment:

- ☐ Investment Authorization with funding instructions
- ☐ Copy of Note
- ☐ Copy of Note Endorsement (if applicable)
- ☐ Copy of UCC Filing (if applicable)
- ☐ Evidence that the borrower is/will be on title
- ☐ Amortization/Payment Schedule (if applicable)

Post Funding Documents*:

- ☐ Executed Security Agreement
- ☐ Recorded UCC Filing

©2026 Forge Trust Co.

Secured by Company Shares:

- ☐ Investment Authorization with funding instructions
- ☐ Copy of Note
- ☐ Copy of Note Endorsement (if applicable)
- ☐ Copy of Security Agreement (if applicable)
- ☐ Copy of Pledge Agreement (if applicable)
- ☐ Private Placement Memorandum / Subscription Agreement / Operating Agreement
- ☐ Amortization/Payment Schedule (if applicable)

Post Funding Documents*

- ☐ Executed Security Agreement
- ☐ Stock Certificate (if applicable)
- ☐ Stock Power (if applicable)

Secured by Participation Agreement:

- ☐ Investment Authorization with funding instructions
- ☐ Copy of Note
- ☐ Copy of Participation Agreement
- ☐ Evidence the borrower is/will be on title
- ☐ Private Placement Memorandum / Subscription Agreement / Operating Agreement
- ☐ Amortization/Payment Schedule (if applicable)

Post Funding Documents*

- ☐ Executed Participation Agreement

Secured by Other Collateral:

- ☐ Investment Authorization with funding instructions
- ☐ Copy of Note
- ☐ Copy of Note Endorsement (if applicable)
- ☐ Copy of Security Agreement (if applicable)
- ☐ Evidence the borrower is/will be on title
- ☐ Amortization/Payment Schedule (if applicable)

Post Funding Documents*

- ☐ Executed Security Agreement
- ☐ Executed Certificate of Ownership

***Post Funding Documents: You must provide the documents indicated within 90 days of the Promissory Note purchase/closing.**

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.

ForgeTrust

PROMISSORY NOTE INVESTMENT AUTHORIZATION

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

☐ 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 Only	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*

Description	☐ Secured ☐ Unsecured

Note Terms

Interest Options*: ☐ Principal and Interest ☐ Interest Only ☐ Balloon Note		
Principal Amount*:	Interest Rate*:	Maturity Date*:

Collateral Type (if Secured)

☐ Real Property	☐ Vehicle	☐ Company Shares	☐ Manufactured or Mobile Home	☐ Other:

Borrower Information

Borrower Name* Borrower SSN or TIN*	Borrower Address*
Borrower Phone Number* XXX-XXX-XXXX	Borrower Email*

If Promissory Note is secured by Real Property:

Loan Number:	Property Address:
Lien Position: ☐ First ☐ Second	City / State / County / Zip:

Contact Information

Loan Servicer or Mortgage Broker / Professional*		Address*
Phone* XXX-XXX-XXXX	Fax Number (optional)	Email*

Funding Information (Select One)

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 the face value of the note: $

☐ Invest Exactly: $ (This note is being purchased at a discount or premium)

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 to complete your investment transaction. Your investment request must contain all of the required documentation 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	
Reference Number	

◯ 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. If loaning money to a company, do you or any family member own any personal units/shares, are a main decision maker, or employed by the company?	◯ Yes	◯ No

If yes:

How are you related to the family member? (Write “self” if yourself)	What is the percentage of ownership? %

2. Are you related to the borrower?	◯ Yes	◯ No

If yes:

How are you related to the family member?

3. 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. Additional comments and/or explanations:

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, holdings of marijuana or other 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
RealEstateandNotes@ForgeTrust.com

Fax
(650) 769-6280

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

©2026 Forge Trust Co.