

## General Instructions

Use these instructions to complete the Non-Traditional Investment Authorization Request form.

**Purpose of this form.** This form is required to request a purchase, sale, or exchange of a non-traditional asset.

**Important:** Verify that the issuer of your chosen investment has filed the investment with Trust Company of America.

**Non-Traditional Assets.** Types of non-traditional assets include, but are not limited to:

- Limited Partnerships
- Limited Liability Companies
- Non-Traded REITS
- Promissory Notes

You must **complete all required fields and provide all required additional forms and documentation** to expedite processing and to avoid requests for additional information.

Print or type all entries. Print clearly in all CAPITAL LETTERS to complete this form. To type entries, a fillable PDF of this form can be found online at [ira.trustamerica.com/account-forms](http://ira.trustamerica.com/account-forms).

## Section 1: Account Information

Provide the Trust Company account number and enter the account owner information exactly as it appears on your Trust Company account.

## Section 2: Purchase Instructions

### A. Asset Information

Select whether this is a new investment or an additional purchase. Provide the number of units, shares, or dollar amount and the asset description and symbol, if available.

**More than two assets.** If there are more than two assets being requested, list the information for the additional assets on a separate piece of paper and check the 'Additional asset information provided' checkbox at the end of the section.

**Important:** Subscription agreements from the asset sponsor must be included with a new investment or an additional purchase.

### B. Investment Information

Provide all required information requested. Any exclusions may delay processing of your request.

**Important: Complete only for non-traditional assets.**

## Section 3: Sell Instructions

Provide the asset description and symbol, if available, and the number of units, shares, or dollar amount.

**More than two assets.** If there are more than two assets being sold, list the information for the additional assets on a separate piece of paper and check the 'Additional asset information provided' checkbox at the end of the section.

**Important:** Contact the asset sponsor to determine if additional sale documents are required to process your request. *Note: Many non-traditional assets are not liquid and cannot be sold. Check with the asset sponsor to determine eligibility.*

## Section 4: Exchange Instructions

Provide the asset description and symbol of the "from" and "to" asset, if available, and the number of units, shares, or dollar amount.

**More than two assets.** If there are more than two assets being requested, list the information for the additional assets on a separate piece of paper and check the 'Additional asset information provided' checkbox at the end of the section.

## Section 5: Signature

Sign and date the form.

## Section 6: Investment Disclosure

Return your completed form as instructed by Trust Company of America. Questions regarding this form should be directed to Client Services.

**SECTION 1: Account Information**

Trust Company Account Number

Account Owner Name

Last 4 digits of SSN

**SECTION 2: Purchase Instructions**

**A. Asset Information**

Select one:  New Investment  Additional Purchase

In the event the investment purchased is sent to me instead of Trust Company of America, I agree that I will forward the original certificate to Trust Company of America. I will also supply Trust Company of America copies of any confirmations I receive regarding this transaction.

Asset Description

Units/Shares/Dollar Amount

Asset Description

Units/Shares/Dollar Amount

Additional asset information provided, including subscription documents, if applicable

**B. Investment Information**

**IMPORTANT: Complete only for non-traditional assets.**

1. Will this investment constitute a controlling interest?  Yes  No

Controlling interest is considered as being enabled to make production, financial, or legal decisions on behalf of the company or investment or its representatives, or; directly or indirectly owning, controlling, or holding with power to vote, five (5) percent or more of the outstanding voting securities.

2. Is this an investment in an S corporation? (IRAs cannot invest in S corporations)  Yes  No

3. Are you an employee of this company or an affiliated company?  Yes  No (**proceed to question 5**)

4. If you answered 'yes' to question 3, what position do you hold? \_\_\_\_\_

5. Can your general activities impact the value, performance or return of the investment?  Yes  No

6. Are you related to anyone who is in a position to impact the value, performance or return of the investment?  
 Yes  No (**proceed to question 9**)

7. Provide name of the relative \_\_\_\_\_

8. What is the relationship of this person to yourself? \_\_\_\_\_

9. Do you have other investments with the issuer?  Yes  No

10. Will this purchase in any way violate the regulations governing your account or be considered a prohibited transaction pursuant to the Internal Revenue Service regulations?  Yes  No

*Investment regulations are covered under IRS Regulation Section 404(a)(1) and under ERISA Section 4975. As the holder of a retirement account it is ultimately your responsibility to maintain compliance with these rules and regulations.*

11. Have you received, read and understood all of the relevant documentation associated with the purchase of this investment?  
 Yes  No

**SECTION 3: Sell Instructions**

If the investment I am instructing Trust Company of America to sell is physically in my possession, I understand that Trust Company of America must have the instrument in their possession in good deliverable form prior to following my instructions to sell.

\_\_\_\_\_  
 Asset Description Units/Shares/Dollar Amount

\_\_\_\_\_  
 Asset Description Units/Shares/Dollar Amount

Additional asset information provided, including sale documents, if applicable

**SECTION 4: Exchange Instructions**

From:

\_\_\_\_\_  
 Asset Description Units/Shares/Dollar Amount

To:

\_\_\_\_\_  
 Asset Description Units/Shares/Dollar Amount

Additional asset information provided, if applicable

**SECTION 5: Signature**

I certify that I have fully read and will comply with Section 6 titled Investment Disclosure.

I acknowledge that I have sole responsibility for directing the investment of my account, and the administrative review performed by Trust Company of America on the above offering was solely to determine that the investment is administratively feasible for Trust Company of America to hold for the benefit of my account. I further acknowledge that this review was not a due diligence review, and that Trust Company of America has not rendered any investment advice, nor has Trust Company of America expressed any opinion as to the prudence or viability of the investment(s), its value or management. I agree to hold Trust Company of America harmless for any loss, damage, or injury or expense which may occur as a result of the execution of this investment direction and certification.

\_\_\_\_\_  
 Signature of Account Owner Date

\_\_\_\_\_  
 Print Name

**SECTION 6: Investment Disclosure**

I direct Trust Company of America to execute the attached request. I understand that Trust Company of America may rely on any verbal or written funding instructions provided by myself or by my designated representative. I hereby make the following certifications:

1. I have received, read, and understood all of the offering documentation as it pertains to the purchase of this investment (s), and that I furthermore meet any and all suitability, and other requirements of the offering both declared and implied. Additionally, I have reviewed this material with my financial or legal representative to ensure that my participation in this investments does not involve any self dealing activity, as described in Section 4975 of the code or Section 406 of the Employee Retirement Income Security Act of 1974, as amended (ERISA). To the extent that any such self dealing may otherwise be involved, this investment transaction is the subject of a specific statutory exemption or administrative exemption. I recognize and understand that my account (s) with Trust Company of America is/are self-directed and I recognize that Trust Company of America's role is only that of a custodian for my account (as defined by the Internal Revenue Code or ERISA, or any other applicable Federal, State, or local laws).

**Section 6: Investment Disclosure (Continued)**

2. That my Trust Company of America account contains sufficient liquid funds to purchase the investment. I am aware of the fact that if this investment should contain a provision for future contractual payments, additional capital calls, and/or assessments, including margin calls, I acknowledge that such payments shall be borne solely by the Account to the extent authorized in payment instructions by me or my designated representative, and may reduce or exhaust the value of my entire Account. I further agree to indemnify and hold harmless Trust Company of America for any and all payments or assessments which may result from holding the investment (s) within the Account and further agree that Trust Company of America shall be under no obligation whatsoever to extend credit to the account or otherwise disburse payment beyond the cash balance of the account for any payment or assessment in my account balance that would be necessary to meet such additional funding requirements, or agree to meet any capital calls. I am aware of the administrative and annual fees associated with my accounts and it's holdings with Trust Company of America. I furthermore am aware of my obligation to ensure that these fees are resolved in a reasonable and timely manner. I also am aware that regardless of the return or performance of my investment I am obligated to settle all outstanding fees owed to Trust Company of America on my behalf and recognize their right to seize or liquidate any of my holding to meet these obligations. I am aware that I may not be able to meet a required minimum distribution (RMD) if the investment is or becomes illiquid and I agree to indemnify and hold harmless Trust Company of America from any penalty for failure to meet an RMD.
3. I understand that Trust Company of America has the right to accept and/or reject any investment at their sole discretion without cause. I also understand that although Trust Company of America may accept an investment or instructions to purchase an investment on my behalf, that this in no way implies a disclosure of opinion on behalf of Trust Company of America. I recognize that Trust Company of America will not review the merits of my investment or whether the investment is acceptable under ERISA, the Internal Revenue Code, or any other applicable Federal, State, or local laws including but not limited to security laws. I understand that my account with Trust Company of America is self-directed and that it is my responsibility to review any investments to ensure compliance with above requirements and to avoid the occurrence of any prohibited transactions in my account arising out of my investments. I agree to indemnify and hold harmless Trust Company of America from any claims that this investment is not prudent, proper, diversified, or otherwise in compliance with the Internal Revenue Code or ERISA, or any other applicable Federal, State, or local laws. I also understand and agree that Trust Company of America will not be responsible to take any action should there be any default with regard to the investment. I recognize Trust Company of America's right to terminate their affiliation with this investment or with the duties affiliated with acting as the custodian of my account for any reason and at any time without due notice.
4. I am aware of and accept the fact that Colorado State law provides that Trust Company of America shall not be responsible for any loss resulting from making or retention of any investment pursuant to direction. I understand that the investment is not FDIC insured and may lose value. I agree that any claim or dispute arising out of or in any way related to an investment shall be settled by arbitration in accordance with the rules of the American Arbitration Association. Any such arbitration proceedings or court suits, if allowed, shall be held in the County of Arapahoe, State of Colorado, and judgment upon any reward may be entered in any court having jurisdiction.
5. In reference to any investment I may request that could be defined as "Non-Traditional" (Limited Partnerships, Limited Liability Companies, Non-Traded REITS, Promissory Notes, etc.) I am aware that Trust Company of America is a non-affiliated party and as such is under no obligation to act as a servicing agent for these investments. I recognize that serving, tax filing, managing, trading, and annual valuations are the responsibility of the servicing agent and that it is my obligation to insure that these services are provided to Trust Company of America. I agree that I will direct the servicing agent to send all funds generated from this investment to my Trust Company of America account and I will forward any funds received directly to the account for deposit. I am aware that if no annual valuation of an investment is available, that Trust Company of America is obligated to report the most recent valuation available (this is done without regard to the age of the valuation). I am aware that Trust Company of America's role on my account is strictly that of a custodian; and that they bear no responsibility to forward to me any notices, proxy voting's or other legal documents that would relate to these investments; and that if I am forwarded these items it is done only as an additional service to me and not as the actions of a servicing agent. By execution of this document, the powers of administration and management and the owner or the investment advisor appointed by the owner, is the sole fiduciary of the account within the meaning of the Code Section 7701 (a)(6). As fiduciary, the owner acknowledges sole responsibility to prepare and file and Form 990-T reporting unrelated business income of the plan that may be required to be filed. The owner certifies that only the owner or the investment advisor appointed by the owner has sufficient knowledge of the required information to complete Form 990-T. The owner acknowledges that Trust Company of America as a nondiscretionary custodian, is not a fiduciary of the plan account, does not have sufficient knowledge of the required information to prepare and file Form 990-T, and has no responsibility for the preparation or filing of any return, including Form 990-T that may have to be filed with respect to the plan account under Code 6012. In the event that the owner fails to file any required income tax form under Code Section 6012, including Form 990-T, the owner acknowledges that any penalties and interest due in connection with that failure will be paid by the owner.

- End of Form -