

**ALTERNATIVE ASSET INVESTMENT AUTHORIZATION FORM**  
Asset Custody Services



**SECTION 1: Account Information**

Trust Company Account Number	Account Owner Name	Last 4 digits of SSN
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**SECTION 2: Prohibited Transaction Questionnaire**

Is seller a disqualified person as defined by the IRS? Yes  No

Will you personally benefit from this investment while it is held in your IRA? Yes  No

**SECTION 3: Investment Information**

New or additional purchase (select one):  New  Additional

Asset Description	Units/Shares/Dollar Amount
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I have verified this investment is administratively feasible and can be held in my IRA at Trust Company of America

I have attached additional information, including subscription documents, if applicable

Please note that at the time of purchase, all documentation should be titled Trust Company of America FBO (Client Name and Trust Company of America account number), PO Box 6580, Centennial CO 80155-6580, and sent to Trust Company of America. All payments must be directed to TCA and must reference the applicable TCA account number. Trust Company of America will return any documentation not properly titled, unsigned, to you or the asset sponsor.

**SECTION 4: Payment Instructions**

Pay by check  Overnight Check

Name of Payee	Mailing Address
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Pay by wire

Bank Name	Name on Bank Account
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ABA (Routing) Number	Account Number
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**SECTION 5: Redemption Instructions**

Many non-traditional/alternative assets are not liquid and cannot be sold. Contact the asset sponsor to determine eligibility and what documents are required to process your request.

I have attached additional information, including sale documents, if applicable

Asset Description	Units/Shares/Dollar Amount

**SECTION 6: Alternative Asset Special Information**

I understand that providing Trust Company of America (TCA) with valuations and statements showing asset activity, at a minimum of annually or upon request by TCA, are the responsibility of the asset sponsor/general partner. I understand that if TCA is not in receipt of these documents, I will then be responsible for obtaining them from the asset sponsor/general partner and providing them to TCA. I am aware that if no annual valuation of an investment is available, that TCA is obligated to report the most recent valuation.

I agree that I will direct the asset sponsor/general partner to send all funds generated from this investment to my TCA account. I will forward any funds received directly by me to my TCA account for deposit. I understand that I will be responsible for any actions related to, and costs associated with, any legal proceedings that are initiated for this investment. I am aware that TCA's role is strictly that of a custodian for my account, and that they bear no responsibility to forward to me any notices, or other legal documents that would relate to this investment. Items may be forwarded to me. I understand that TCA may review the asset and if no annual valuation and/or statement of asset activity have been received, or if there are indications of prohibited transactions, TCA may resign as custodian of the asset. Resignation entails distribution of the asset, resulting in a taxable event to me in the year the distribution was made. By execution of this document, the powers of administration and management, the owner of the plan account is the sole fiduciary of the account within the meaning of Code Section 7701(a)(6).

**SECTION 7: Signature**

**BY SIGNING BELOW, I CERTIFY THAT I HAVE READ AND AGREE TO ALL SECTIONS OF THIS FORM AND THE INVESTMENT DISCLOSURE. I ACKNOWLEDGE THAT I UNDERSTAND AND AGREE TO ALL TERMS AND CONDITIONS INCLUDED IN THIS ALTERNATIVE ASSET INVESTMENT AUTHORIZATION FORM.**

Signature	Date
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Printed Name
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Return your completed form as instructed by Trust Company of America. Questions regarding this form should be directed to Client Services at 1-800-223-4133 Option 2.

- END OF FORM -

## GENERAL INSTRUCTIONS

Use these instructions to complete the Alternative Asset Investment Authorization form.

**Purpose of this form:** This form is required for a purchase the following non-traditional assets: Limited Partnerships, Limited Liability Companies, Private Placements, Private Stocks, Certificates of Deposit and Non-Traded REITS. If you are acting as an investor in an entity (Limited Partnership or Limited Liability Corporation) who is acting as a lender, then use this form. If you are acting as a lender, use the Promissory Note or Deed of Trust Investment Authorization form. Investment authorization forms for other asset types can be found at [ira.trustamerica.com](http://ira.trustamerica.com) or by calling 800-223-4133, option 2.

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

Print or type all entries. Print clearly in all CAPITAL LETTERS to complete this form.

### **Section 1: Account Information**

Provide the TCA account number, account owner name and the last four digits of the account owner's social security number, exactly as it appears on your TCA account.

### **Section 2: Prohibited Transaction Questionnaire**

Complete all questions listed.

### **Section 3: Investment Information**

Provide all required information requested, including a purchase agreement and title documentation. Any exclusion may delay processing of your request. New assets that are not already approved for custody by Trust Company of America must be reviewed for administrative feasibility and may incur an asset review fee. Please contact us at 800-223-4133, option 2, to set up an asset review.

### **Section 4: Payment Instructions**

Please select check, overnight check or wire, and provide all required information requested.

### **Section 5: Redemption Instructions**

Many non-traditional/alternative assets are not liquid and cannot be sold. Contact the asset sponsor to determine eligibility and what documents are required to process your request.

### **Section 6: Alternative Asset Special Information**

Review this section thoroughly.

### **Section 7: Signature**

Read section 7, sign and date the form.

**Please refer to the following Definitions when completing this form.**

**Prohibited Transactions:** A prohibited transaction can occur between you and a disqualified person.

*Disqualified Person:*

- Yourself
- Your lineal ascendants (parents, grandparents, etc.) and lineal descendants (children, grandchildren, etc.)
- Your spouse and your spouse's lineal ascendants and descendants
- Any entity for which any disqualified party owns 50% or more
- A fiduciary (attorney, CPA, Registered Investment Advisor (RIA), Certified Financial Planner (CPA) etc.

The term 'prohibited transaction' includes any direct or indirect issues from the following list:

- Sale, exchange, or leasing of any property between your IRA account and a disqualified person
- Lending of money or other extension of credit between your IRA account and a disqualified person
- Furnishing goods, services, or facilities between your IRA account and a disqualified person
- Transfer or use of the income or assets of your IRA account by or for the benefit of a disqualified person
- An act by a disqualified person who is a fiduciary whereby the fiduciary deals with the income or the assets of your IRA account in his own interest or for his own account.
- Receipt of any consideration by a disqualified person, who is a fiduciary from any party dealing with your IRA account, in connection with a transaction involving the income or assets of your IRA account.

# ALTERNATIVE ASSET INVESTMENT AUTHORIZATION FORM

## Asset Custody Services



Examples include but are not limited to:

- You cannot loan money from your IRA account to your child
- You may not stay in a vacation property that is owned by your IRA account
- You cannot pay yourself directly any income from profits generated from the rental property held by your IRA account. The money must be deposited in the IRA account.

For more information regarding Prohibited Transactions, please refer to Publication 590, which can be found on [www.irs.gov](http://www.irs.gov).

## INVESTMENT DISCLOSURE

I direct Trust Company of America (TCA) to execute this request. I understand that TCA may rely on written funding instructions provided by myself. 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 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 investment does not involve any self-dealing activity, as described in Section 4975 of the Internal Revenue 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 that TCA will not verify if my investment is acceptable under ERISA, IRS code or any other applicable Federal, State, or local laws including but not limited to security laws. I also understand that although TCA may accept an investment or purchase of an investment on my behalf, that this in no way implies disclosure of opinion on behalf of TCA. I acknowledge that I have sole responsibility for directing the investment of my account, and the administrative review.
2. That my TCA 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 or assessments, I acknowledge that such payment shall be borne solely by the Account to the extent authorized by me, and may reduce or exhaust the value of my entire Account. I further agree to indemnify and hold harmless TCA for any and all payments or assessments which may result from holding the investment within the Account and further agree that TCA 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. I am aware of the administrative and annual fees associated with my accounts and its holdings with TCA. 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 TCA 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 TCA from any penalty for failure to meet an RMD.
3. I understand that my account with TCA 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 acknowledge that TCA is a nondiscretionary custodian, is not a fiduciary of my 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 account under Code 6012 nor any penalties or interest related to filing of Form 990-T. I also understand and agree that TCA will not be responsible to take any action should there be any default with regard to the investment. I recognize TCA'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. I agree to indemnify and hold harmless TCA 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.
4. I am aware of and accept the fact that Colorado State law provides that TCA 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 award may be entered in any court having jurisdiction.