



Self Directed IRA

S E R V I C E S I N C

A subsidiary of Horizon Bank

600 Congress Avenue, Suite 400 • Austin, TX 78701
866.928.9394 • 512.637.5739 • www.SDIRAServices.com

Investment Checklist for PUBLIC INVESTMENTS

Use this checklist and the attached **Investment Direction** to direct an investment in:

- Public LPs or LLCs
- Public non-traded REITs
- Tradable securities (stocks, bonds, mutual funds and other securities) through a brokerage or clearing firm account*
- Other public investments

* Tradable securities may be held with a brokerage or clearing firm of your choice. SDIRA Services does not directly hold tradable securities.

<p><input type="radio"/> Investment Direction for Public Investment (our form – see attached)</p>	<ul style="list-style-type: none"> • This form should be completed and signed by the Accountholder. • Please complete all sections to avoid any processing delays.
<p><input type="radio"/> The investment application if making an initial purchase in a Public LP, LLC or REIT</p>	<ul style="list-style-type: none"> • The application should be signed by the Accountholder. • Please provide all pages of the document.
<p><input type="radio"/> The <i>non-IRA</i> brokerage account application if making an initial trade in a brokerage/clearing account</p>	<ul style="list-style-type: none"> • A brokerage account may be opened with a brokerage/clearing firm of your choice. • Application should be signed by the Accountholder.

All investments, including brokerage accounts, must reflect the following account name, address and Tax ID:

Self Directed IRA Services, Inc. Custodian
FBO (Accountholder Name) IRA (Account #)
600 Congress Avenue, Suite 400
Austin, TX 78701
Tax ID: 26-2637994

Submit the above items to us.



Self Directed IRA Services, Inc.
P.O. Box 685133
Austin, TX 78768

Physical Delivery



Self Directed IRA Services, Inc.
600 Congress Avenue, Suite 400
Austin, TX 78701



Fax to 512.495.9554
Any investment applications with original signatures should be mailed or delivered to us.



Self Directed IRA

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Investment Direction for PUBLIC INVESTMENT

For regular mail:
P.O. Box 685133
Austin, TX 78768

For overnight delivery:
600 Congress Avenue, Suite 400
Austin, TX 78701

Phone:
866.928.9394
512.637.5739

Fax:
512.495.9554

Website:
www.SDIRAServices.com

PLEASE COMPLETE ALL INFORMATION FOR YOUR INVESTMENT TO AVOID A DELAY IN PROCESSING.

1

Provide your information.

Accountholder
Name

IRA Account #
(if known)

Daytime Phone
Number

IRA Type Traditional SEP
 Roth SIMPLE

2

Tell us about the investment you wish to purchase.

Investment Information

Investment Name	_____		
Investment Amount	\$ _____	If applicable Number of Units/Shares _____	If applicable Price per Unit/Share \$ _____
Type of Purchase	<input type="radio"/> New Purchase <input type="radio"/> Additional Purchase (Investment already held in this account)		

Investment Contact

Contact Name	_____	
Firm Name	_____	
Title	<input type="radio"/> General Partner/Managing Member <input type="radio"/> Other _____	
Phone	_____	

Investment Type

Select the type of Public Investment you wish to make.

Brokerage Account with _____
Name of clearing/brokerage firm

- Required for the purchase and holding of all publicly traded stocks, bonds, mutual funds or other securities
- Provide the *non-IRA* brokerage account application for our signature for the initial opening of the brokerage account.

Public LP, LLC or REIT

Other _____

Owner Registration

All investments, including brokerage accounts, should be properly registered in the following owner name and TIN:

Self Directed IRA Services, Inc. Custodian FBO (accountholder's name) IRA (account #)
600 Congress Avenue, Suite 400
Austin, TX 78701
Tax ID: 26-2637994

3

Tell us how to fund the investment and handle any fees.

I authorize and instruct Self Directed IRA Services, Inc. to purchase this investment in the manner indicated below.

When to Process

Immediately upon receipt of this instruction using funds available in my cash account
Any investment application must be provided in good order and account must have cleared funds.

Hold this instruction until you receive the following:

Incoming Funds from: Transfer Rollover Other Specify: _____

Investment Application: Specify: _____

• **How to Send Funds and Handle Any Fees**

★ If fees will be deducted from your account, keep this in mind when requesting a transfer or other transaction to cover the funding of this investment. Otherwise, your investment may be funded for a lesser amount than you have indicated in section 2.

<input type="radio"/> Send Funds by Check			
Make Check Payable To			
Send To	Address		
	City	State	Zip
Send By	<input type="radio"/> U.S. Mail <input type="radio"/> FedEx Overnight (must provide billing acct #) <input type="radio"/> UPS Overnight (\$10 + cost if billed to our UPS account)		
Overnight Fee	If check sent overnight <input type="radio"/> Payment enclosed <input type="radio"/> Deduct from my IRA account <input type="radio"/> Bill FedEx/UPS acct # _____		
1st Year Account Fee	If opening a new IRA account <input type="radio"/> Payment enclosed (\$80 Basic IRA) <input type="radio"/> Deduct from my IRA account		

<input type="radio"/> Send Funds by Wire				A wire fee of \$25 will be charged.					
Bank Name							Bank Phone		
Bank Location	City						State		
ABA Routing #	Must be 9 digits _____								
For Credit To	Account Name						Account #		
For Further Credit To	Account Name						Account #		
Wire Fee	<input type="radio"/> Payment of \$25 enclosed <input type="radio"/> Deduct \$25 from my IRA account								
Investment Application Delivery	<input type="radio"/> U.S. Mail <input type="radio"/> FedEx Overnight (must provide billing acct #) <input type="radio"/> Fax to _____ <input type="radio"/> UPS Overnight (\$10+ cost if billed to our UPS account)								
Overnight Fee	If Application sent overnight <input type="radio"/> Payment enclosed <input type="radio"/> Deduct from my IRA account <input type="radio"/> Bill FedEx/UPS acct # _____								
1st Year Account Fee	If opening a new IRA account <input type="radio"/> Payment enclosed (\$80 Basic IRA) <input type="radio"/> Deduct from my IRA account								

4 Sign below to authorize this investment direction.

I direct Self Directed IRA Services, Inc. ("SDIRA Services") to execute the purchase of the above named Investment ("Investment") for the benefit of my self directed IRA account ("Account"). In directing the purchase of this Investment, I understand that my Account will be charged or credited as appropriate with the net earnings, gains, losses and expenses, as well as appreciations or depreciations in market value of the investments held in my Account. I also understand that my Account will be charged with any costs or expenses attributable to the establishment and /or maintenance of investments held within it. I agree to hold SDIRA Services harmless from any liability for any loss, damage, injury or expense which may occur as a result of the execution of this Investment Direction. I understand that SDIRA Services will have a reasonable amount of time to complete my instructions.



Accountholder Signature

Date

IRA Account # (if known)

For internal use



CONSUMER INVESTOR AWARENESS NOTICE

Today more than ever it is important that owners of self-directed retirement plans conduct research to make informed decisions and avoid fraud, but where do you start?

For your convenience, a number of websites and specific resources are available at www.ira.com. At the website you can download a free DVD "Tricks of the Trade – Outsmarting Investment Fraud" and free e-books "Fighting Fraud 101" from FINRA and "Seniors Against Investment Fraud (SAIF)" from the California Department of Corporations.

www.investor.gov (800-732-0330) The Securities and Exchange Commission (SEC) is dedicated to helping Americans protect their investments.

www.nasaa.org (202-737-0900) The North American Securities Administrators' Association (NASAA) provides information on investor education.

www.finra.org (301-590-6500) The Financial Industry Regulatory Authority (FINRA) has an "Investor" section on Smart Investing.

www.aarp.com (888-687-2277) American Association of Retired Persons (AARP) includes a section on scams, fraud and consumer protection.

BE AWARE OF FALSE CLAIMS & ENDORSEMENTS

Be mindful of individuals who offer investments that are "approved by the government" or imply that because the transaction occurs through a custodian that the custodian approves the investment, that it is appropriate for you or that it carries little or no risk.

There are risks associated with any investment that is not FDIC-insured. Neither governmental agencies nor self-directed IRA custodians endorse specific investments. The fact that an investment is *permitted* in an IRA should not be used in determining whether the investment is *appropriate* for you.

A SAMPLE OF QUESTIONS TO CONSIDER WHEN CONTEMPLATING YOUR INVESTMENTS

Have you checked the investment history of the individual(s)/entity offering this investment?

Have you checked with the Secretary of State to ensure that this entity/company is in good standing?

Have you consulted with an independent financial professional to ensure that this investment is suitable for you and meets your investment objectives?

Have you reviewed the consumer investor awareness resources provided above?

Of course, the resources and issues identified above are not intended to be all-inclusive, but they should give you a head-start on reducing the risk of the investment decisions that you make for yourself and your self-directed retirement account.

This notice is not intended to be nor should it be construed as investment advice, nor should this notice or the resources cited above be considered the ultimate authority with respect to your investment decisions. If you feel that you need specific investment advice, we encourage you to consult with an independent financial professional when considering an investment to ensure that your investment is suitable for you and fits within your investment objectives.