



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 STRUCTURED SETTLEMENTS

Use this checklist to submit the required items to Self Directed IRA Services, Inc. prior to the purchase, transfer or rollover of a Structured Settlement investment in an IRA:

<input type="radio"/> Investment Direction for Alternative Investment (our form – see attached)	<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.
<input type="radio"/> Settlement Agreement	<ul style="list-style-type: none"> • Please provide the complete document.
<input type="radio"/> Purchase and Sale Agreement and the Assignment	<ul style="list-style-type: none"> • The Purchase/Sale Agreement and the Assignment must reflect the name and registration shown below. • SDIRA Services will sign as the IRA Custodian after the Accountholder has signed.
<input type="radio"/> Copy of the court order approving the assignment of annuity payments (if applicable)	<ul style="list-style-type: none"> • Please provide all pages of the document. • All investments held in an IRA account must reflect the name and registration shown below.
<input type="radio"/> Amortization Schedule	<ul style="list-style-type: none"> • To be provided if scheduled payments

All investments and assignments must reflect the following 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



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



Fax to 512.495.9554



Self Directed IRA

SERVICES INC

A subsidiary of Horizon Bank

ALTERNATIVE INVESTMENT

Investment Direction

For Purchase, Transfer or Rollover

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 <ul style="list-style-type: none"> <input type="radio"/> Traditional <input type="radio"/> SEP <input type="radio"/> Roth <input type="radio"/> SIMPLE

2

Provide the information about the investment you wish to Purchase, Transfer or Rollover.

<ul style="list-style-type: none"> Investment Information and Amount 	Investment Name	_____		
	Investment Amount	\$ _____	<input type="radio"/> New Purchase <input type="radio"/> Additional Purchase <small>Investment already held in this account.</small>	<input type="radio"/> Transfer In-Kind <small>Complete Sections 1, 2 and 5 Complete the <i>IRA Transfer Request/Direct RO</i> form.</small> <input type="radio"/> Rollover In-Kind <small>Complete Sections 1, 2 and 5 Complete the <i>IRA Transfer Request/Direct RO</i> form.</small>
	Ownership Information	Number of Units/Shares _____	Price per Unit/Share \$ _____	Ownership Interest _____ %
<ul style="list-style-type: none"> Investment Contact 	Name	<input type="radio"/> Managing Member <input type="radio"/> General Partner <input type="radio"/> CEO/President <input type="radio"/> Other _____		
	Address	Phone _____		
<ul style="list-style-type: none"> Investment Type <div style="border: 1px dashed orange; padding: 5px; margin-top: 10px;"> <p>★ Refer to the appropriate <i>Investment Checklist</i> and submit the applicable documents for your investment. Checklists may be found in the <i>Forms</i> menu on our website at www.SDIRAServices.com.</p> <p>★ Investment Processing and Annual Holding Fees apply for certain investments. See the IRA Fee Schedule for applicable charges.</p> </div>	<input type="radio"/> Real Estate (Directly owned) <small>\$125 Real Estate Processing Fee</small>	<input type="radio"/> Limited Liability Company <small>\$50 Private Investment Processing Fee</small>	<input type="radio"/> Limited Partnership <small>\$50 Private Investment Processing Fee</small>	
	<input type="radio"/> Closely-Held Stock (C-Corp) <small>\$50 Private Investment Processing Fee</small>	<input type="radio"/> Corporate Debenture <small>\$50 Private Investment Processing Fee</small>	<input type="radio"/> Structured Settlement <small>\$50 Private Investment Processing Fee</small>	
	<input type="radio"/> Promissory Note <small>\$50 Private Investment Processing Fee</small> ___ Unsecured ___ Secured by _____	<input type="radio"/> Other _____ <small>See the IRA Fee Schedule for applicable fees</small>		

• Investment Documents

List and attach any Investment Documents which will require our signature.

1. _____ 3. _____
 2. _____ 4. _____

★ Investment Documents should reflect the registration name and address shown below:

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

3 Tell us how to fund this investment and handle 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

All investment documents 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 Documents: Specify: _____

• How to Send Funds and Handle 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.

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	<input type="radio"/> Payment enclosed <input type="radio"/> Deduct from my IRA account <input type="radio"/> Bill FedEx/UPS acct # _____		
Investment Processing Fee	<input type="radio"/> Payment enclosed (\$50 for Private Equity or Debt; \$125 for Real Estate) <input type="radio"/> Deduct from my IRA account		
If opening new account 1st Year Account Fee	<input type="radio"/> Payment enclosed (\$100 for Flex IRA) <input type="radio"/> Deduct from my IRA account		

Send Funds by Wire A wire fee of \$25 will be charged in addition to the Investment Processing Fee.

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 Processing Fee	<input type="radio"/> Payment enclosed (\$50 for Private Equity or Debt; \$125 for Real Estate) <input type="radio"/> Deduct from my IRA account									
Investment Document Delivery	<input type="radio"/> U.S. Mail <input type="radio"/> Fax to _____						<input type="radio"/> FedEx Overnight (must provide billing acct #) <input type="radio"/> UPS Overnight (\$10 + cost if billed to our UPS account)			
Overnight Fee	<input type="radio"/> Payment enclosed <input type="radio"/> Deduct from my IRA account <input type="radio"/> Bill FedEx/UPS acct # _____									
If opening new account 1st Year Account Fee	<input type="radio"/> Payment enclosed (\$100 for Flex IRA) <input type="radio"/> Deduct from my IRA account									

4 Complete the Accountholder Representation below.

- By checking this option, I represent that I am not an officer or director of the offering entity and/or borrower or any affiliate thereof, nor am I related to any officer or director of the offering entity and/or borrower or any affiliate, nor am I related to any other disqualified person from which my Account will purchase the above named Investment. I also represent that my ownership of an entity owned by my Account (combined with any family member or disqualified person) will be less than 50%.
- By checking this option, I represent and disclose that I am an officer or director of the offering entity and/or borrower or an affiliate thereof, or that I am related to an officer or director of the offering entity and/or borrower or an affiliate, or that I am related to a person or party from which my Account will purchase the above named Investment. The nature of the relationship, including the combined percentage of an entity owned by my Account, any family member, or disqualified person is as follows:

Nature of Relationship _____ Percentage Owned _____%

I understand that Self Directed IRA Services, Inc. may fully rely on my representation above and may require that I obtain a legal opinion if the potential for a prohibited transaction exists.

5 Sign below to authorize this investment direction.

Important: Please ensure that you read the following disclosures before you sign and date this document.

I direct Self Directed IRA Services, Inc. ("SDIRA Services") to execute the purchase, transfer, rollover, or exchange-in of the above-named Investment ("Investment") for the benefit of my self directed IRA account ("Account"). In directing the purchase, transfer or rollover of this Investment, I hereby make the following certifications and representations to SDIRA Services.

1. I have read and understand all offering information pertaining to the purchase of this Investment, and I meet any and all suitability requirements of the offering. I understand that SDIRA Services does not make any determination with respect to whether I meet any or all suitability requirements of the offering. Furthermore, I understand that SDIRA Services has no duty to question or conduct any suitability analysis on my behalf.
2. I acknowledge that my Account is self directed, and I am solely responsible for the selection, management, and retention of all investments held within my Account. I understand and acknowledge that SDIRA Services will exercise no discretion with respect to the funds in my Account, will not under any circumstances provide investment advice or recommendations, and will in all events invest all of the funds in my Account solely and exclusively at my direction. I further understand that I have entered into a "custodial" agreement under which SDIRA Services has no duties or responsibilities with respect to the investment of the funds in my Account. Finally, I understand and intend that SDIRA Services shall not assume the responsibilities of a trustee, a "fiduciary", or a person entitled to exercise any discretionary authority with respect to the funds in my Account, as those terms and concepts are defined in the Internal Revenue Code ("IRC"), ERISA, or other applicable federal, state, or local laws.
3. I understand that it is my sole responsibility to manage the Investment held within my Account, and that SDIRA Services has no responsibility to question any investment directions given by me or my Representative (if I have appointed/designated one), regardless of the nature of the Investment. I understand that SDIRA Services is in no way responsible for monitoring the performance of the Investment held within my Account. I understand that SDIRA Services has not conducted a due diligence review of this Investment, nor has SDIRA Services made any investigation with regard to this Investment, any issuer or sponsor of this Investment, or any officer, director, or other person or entity involved or affiliated with this Investment. I understand that SDIRA Services has not reviewed the prudence, viability or merits of the Investment.
4. I understand that, if my Representative or any other financial representative suggested that I retain the services of SDIRA Services as custodian for the Investment made through my Account, that such person is not in any way an agent, employee, representative, or affiliate of SDIRA Services. I acknowledge that SDIRA Services is not responsible for and is not bound by any representations, warranties, statements or agreements made by my Representative or any financial representative beyond the terms and provisions contained in my SDIRA Services Custodial Account Agreement and other SDIRA Services forms. I further understand that SDIRA Services has not made and will not make any recommendation or investigation with respect to my Representative or any financial representative, nor does SDIRA Services compensate my Representative or financial representative in any manner.
5. I understand that SDIRA Services does not make any determinations as to whether an investment is acceptable under ERISA, the IRC, or any other applicable federal, state or local laws, including securities laws. I acknowledge that it is my responsibility to review any investments to ensure compliance with the above requirements and to avoid the occurrence of any prohibited transactions in my Account arising out of this Investment. I understand that I should have all investments reviewed by my attorney and/or tax advisor prior to directing SDIRA Services to process this transaction on behalf of my Account.
6. I understand that certain transactions are prohibited for tax-exempt retirement arrangements under IRC Section 4975. I further understand that the determination of whether the transaction directed hereby is a prohibited transaction depends on the facts and circumstances that surround this transaction, and I understand that SDIRA Services makes no determination as to whether this transaction is a prohibited transaction. I warrant and represent that I have consulted with such advisors as I deem necessary and appropriate, and that I have determined among other things, that this Investment does not constitute a prohibited transaction as defined in IRC Section 4975. I represent that the offering entity or any affiliate thereof is neither a "disqualified person" as defined in IRC Section 4975(e)(2), nor a "party in interest" as defined in ERISA Section 3(14). I understand that, should my Account engage in a prohibited transaction, a taxable distribution equal to the fair market value of my Account will result and certain penalties may be incurred. I further understand that if such a deemed distribution takes place prior to my attaining age 59½, an additional premature distribution excise tax may be imposed.
7. My Account has sufficient liquid funds to make the initial purchase. If the Investment contains a provision for future contractual payments or assessments, I acknowledge that such payments or assessments shall be borne solely by my Account to the extent such payment is authorized by me or my Representative, and may reduce or exhaust the value of my Account.
8. I further agree to indemnify SDIRA Services for any and all payments or assessments which may result from holding the Investment within my Account, and I understand that SDIRA Services shall be under no obligation whatsoever to extend credit to my Account or otherwise disburse payment beyond the cash balance of my Account for any payment or assessment related to the Investment.
9. I understand that if the Investment contains any administrative requirements or duties beyond the capabilities or expertise of SDIRA Services to provide, then I agree to seek out suitable agents or counsel necessary to perform such duties and deliver a written service agreement acceptable to SDIRA Services for execution on behalf of my Account.
10. If the Investment to be purchased is a debt instrument, including individually-negotiated notes (such as a deed of trust, mortgage note or contract for deed) or privately-offered corporate debt, I agree to either enter into a Debt Servicer Agreement with a third party Agent on a form acceptable to SDIRA Services or to be my own Agent in order to administer the terms of the Investment on behalf of my Account. Should my third party Agent ever become unwilling or unable to perform the duties outlined in the Debt Servicer Agreement, I understand that all duties of the Agent revert to me until I name a successor third party Agent. Likewise, should I fail to appoint a third party Agent to service the Investment, I understand that all duties of the Agent are my responsibility. I understand that SDIRA Services does not offer or provide any servicing or collection duties with respect to any debt instrument, nor will SDIRA Services monitor the maturity date or take any action with regard to the maturity of any debt instrument unless specifically directed by me in writing. Furthermore, should I elect to renew or re-negotiate the terms of any Investment, I agree to notify SDIRA Services in writing and provide appropriate instructions for SDIRA Services to return the original Investment instrument to the debtor.

11. I agree to furnish payment instructions to SDIRA Services regarding any invoice, assessment, fee or any other disbursement notification received by SDIRA Services on behalf of the Investment, and I understand that SDIRA Services has no duty or responsibility to disburse any payment until such instructions are received from me or my Representative.
12. I understand that SDIRA Services has no responsibility or duty to notify me or forward to me any notices, proxies, assessments or other documents received by SDIRA Services on behalf of the Investment, unless I or my Representative request each such document in writing.
13. If the Investment to be purchased is a private equity investment, I understand that such Investment may generate Unrelated Business Taxable Income, or "UBTI." I further understand that, if the UBTI attributable to my Account exceeds \$1,000 for any taxable year, an IRS Form 990-T tax form must be filed along with the appropriate amount of tax, payable from the assets of my Account. I understand that SDIRA Services does not monitor the amount of UBTI in my Account and does not prepare Form 990-T. If the tax is applicable, I agree to prepare, or have prepared, the proper Form 990-T and forward it to SDIRA Services, along with authorization to pay the tax from my Account. If I am required to file Form 990-T with regard to any UBTI, I understand that I must obtain and use an Employer Identification Number ("EIN"). I will not use the EIN of SDIRA Services or my own social security number. I understand that I must apply for my own EIN prior to or in conjunction with requesting SDIRA Services to pay any taxes I may owe with regard to any UBTI that might be incurred.
14. I understand that SDIRA Services has no duty or responsibility to monitor the performance of the Investment or actions of the sponsor, nor to monitor the sufficiency or adequacy of my actions or duties or those of my heirs, successors, agents or assigns, and SDIRA Services will not be required to monitor the acts of any paid consultant to whom SDIRA Services may have contractually delegated any duties or responsibilities pursuant to my directions or the directions of my Designated Representative.
15. I understand that if SDIRA Services cannot obtain an annual market value or good faith estimate of the value for the Investment from the Investment's sponsor or other sources chosen by SDIRA Services in its sole discretion, SDIRA Services will notify me in writing to request that I obtain the annual market value or good faith estimate, compliant with Revenue Ruling 59-60, from an independent appraisal service as specified in my Custodial Account Agreement and Disclosure Statement. Until such value or estimate is provided, SDIRA Services may carry forward the last known value (if available), report the Investment's value at acquisition cost, or may apply a discount to reduce the Investment's value as SDIRA Services deems appropriate in its sole discretion. I further understand and acknowledge that, if SDIRA Services has not been provided with an annual market value or good faith estimate which is compliant with Revenue Ruling 59-60, either by the Investment's sponsor or by me via an independent appraisal, SDIRA Services may distribute the Investment in-kind to me.
16. I understand that in-kind distributions I receive from my Account are subject to Federal income tax withholding unless I elect not to have withholding apply. By signing and dating below, I elect not to have withholding apply to distributions from my Account, subject to my right to revoke this election at a later date. I also understand that if I revoke this election and there is no cash or insufficient cash in my Account at the time of distribution, SDIRA Services must sell any non-cash Investments to pay withholding and will distribute the remaining proceeds, if any. I understand that I am responsible for paying Federal income tax on the taxable portion of any distribution from my Account and that I may be subject to tax penalties if my payments of estimated tax and withholding, if applicable, are inadequate.
17. I agree to be responsible for any and all collection actions, including contracting with a collection agency or instituting legal action, and bringing any other suits or actions which may become necessary to protect the rights of my Account as a result of the operation or administration of the Investment. I understand that any legal filings made on behalf of this Investment are to be made in the name of "Self Directed IRA Services, Inc. Custodian for benefit of (my name) IRA." I agree that I shall not institute legal action on behalf of this Investment without the written consent of SDIRA Services to litigate and that I shall prosecute any legal action. I agree that any such legal action will be carried out in a manner that does not cause SDIRA Services to incur any costs or legal exposure.
18. I understand that I am the only person authorized to make changes or corrections to this Investment Direction form. If any changes or corrections to this form are required to process this Investment, I will provide SDIRA Services with a corrected and initialed copy of this form.
19. I understand that, except to the extent of the cash which is invested in the Horizon Bank NOW Account (which is FDIC insured), or directed into other FDIC-insured bank products, investments held within my Account are not FDIC-insured, nor are any amounts in my Account guaranteed by SDIRA Services, and such investments may lose value.

The foregoing representations and warranties are true and accurate as of the date hereof and shall be true and accurate as of the date of delivery of the funds to the Investment and shall survive such delivery. If in any respect such representations and warranties shall not be true and accurate prior to delivery of the funds to the Investment, I shall give written notice of such fact to SDIRA Services specifying which representations and warranties are not true and accurate and the reasons therefore.

I acknowledge that I have sole responsibility for directing the investment of my Account. I acknowledge that SDIRA Services will not exercise any discretion, assume any fiduciary responsibility, perform a due diligence review, or undertake any investigation as to the prudence, viability, merits, or suitability of the Investment. I acknowledge my understanding that SDIRA Services is not a "fiduciary", or a person entitled to exercise any discretionary authority with respect to the Investment, as those terms and concepts are defined in the Internal Revenue Code, ERISA, or other applicable federal, state or local laws, and 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.

Sign Here 

Accountholder Signature

Date

IRA Account # (if known)

05.01.2011

For internal use