Reset Form

STRATA TRUST COMPANY

Public Investment Checklist

Please gather all the information on this checklist and submit the documentation to STRATA Trust Company ("STRATA") prior to the purchase, transfer, or rollover of the following investments:

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

- All items must be received in good order at least 48 hours before any scheduled closing date.
- Please contact us if the type of public investment you wish to process is not on this checklist.

Form Submission Instructions:

STRATA offers two convenient options for transmitting your requests:

Option 1: SERVICENOW, e-sign and submit forms securely to STRATA. Use this option for faster form submission.

Go to https://www.stratatrust.com/resource-center/forms/ for form access and instructions.

Option 2: You may print + email, fax, or mail the form as shown below:

Email: Operations@StrataTrust.com
Fax: 512.495.9554
US Mail: PO Box 23149, Waco, TX 76702
Overnight: 7901 Woodway Drive, Waco, TX 76712

Accountholder completes and provides the following:

☐ **Public Investment Direction:** Complete and sign STRATA's Public Investment Direction form. To avoid any processing delays, please be sure to complete all sections of the form. This form authorizes STRATA to send funds from your IRA to the Investment Issuer once all documentation is provided to STRATA in good order.

☐ **The Investment Application:** Complete and sign the investment application if making an initial purchase in a Public LP, LLP or REIT.

☐ **The Non-IRA Brokerage Account Application:** A brokerage account may be opened with a brokerage/clearing firm of your choice. Application should be signed by the Accountholder.

The investment registration must reflect the following named investment owner:

STRATA Trust Company Custodian
FBO (Accountholder Name) IRA (Account #)
PO Box 23149
Waco, TX 76702

Tax ID: 26-2637994

Need Assistance?

Client Services
866.928.9394 | Service@StrataTrust.com
Monday – Friday, 8:00 am – 5:30 pm CST

Investment Direction for Public Investment

Form Submission Instructions: (Choose One)

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Section 1 Account Information

Accountholder Name		IRA Account # (if known)
Social Security Number (Last 4 Digits Only)	Daytime Phone Number	Email Address

Section 2 Investment Information

- **Investment Information**

Refer to the appropriate Investment Checklist and submit the applicable documents for your investment. Checklists may be found in the Forms section on our website, www.StrataTrust.com.

Investment Name ____________________

Investment Amount $ ____________________ *A verbal confirmation may be required for this transaction

☐ New Purchase

☐ Transfer In-Kind
Complete Sections 1, 2, 4 and 5 of this form.
Complete the IRA Transfer Request form.

☐ Rollover In-Kind
Complete Sections 1, 2, 4 and 5 of this form.
Complete the Deposit Certification form.

☐ Additional Purchase
Investment already held in this account.

☐ Exchange from ____________________

Number of Units/Shares ____________ Price per Unit/Share $____________ Ownership Interest ____________ %

- **Investment Contact**

Name ____________________ Title ☐ Managing Member ☐ General Partner ☐ CEO/President ☐ Other ____________

Address ____________________

Phone ____________________ Email ____________________

- **Investment Type**

☐ Public LP, LLC or REIT

☐ 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.

☐ Other____________________

INVESTMENT PRODUCTS: NOT FDIC-INSURED • NO BANK GUARANTEE • MAY LOSE VALUE

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:

STRATA Trust Company, Custodian FBO (Accountholder's name) IRA
PO Box 23149
Waco, TX 76702
Tax ID: 26-2637994

Section 3 Investment Funding and Fees

I authorize and instruct STRATA to purchase this investment in the manner indicated below.

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	☐ U.S. Mail	☐ Overnight (see IRA Fee Schedulet)	

☐ **Send Funds by Wire** A wire fee of will be charged in addition to the Investment Processing Fee – see IRA Fee Schedule

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 (See IRA Fee Schedule)	☐ Payment enclosed	☐ Deduct from my account

Document Delivery Payment Instructions

Investment Document Delivery	☐ U.S. Mail	☐ Fax to ______
	☐ Overnight (see IRA Fee Schedule)	

Additional Instructions

______

______

______

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Section 4 Processing Fees

If selections made above referred you to STRATA's IRA Fee schedule, please indicate below how you would like these fees to be paid so that there are no processing delays regarding your request. Typical transaction fees include wire fee, overnight fee, withholding fees, and funding processing fees.

- ☐ Deduct processing fees from cash in the account. I understand this could result in a lesser amount being remitted if there is not sufficient cash in the account.
- ☐ Charge fees to the credit card on file. Fee Payment Authorization form must have previously been submitted for this to be a valid option.
- ☐ One-time charge to a credit card. Credit Card Authorization form must be submitted separately. Otherwise, fees will be deducted from available cash.

If no valid option is chosen, then fees will be deducted from cash in the account prior to processing your request which could result in a lesser amount being remitted.

Section 5 Accountholder Signature

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

I direct STRATA Trust Company ("STRATA") 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 STRATA 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 STRATA will have a reasonable amount of time to complete my instructions.

Accountholder Signature ____________________ Date ____________________