



Futures Investment Checklist

Client Services
866.928.9394
512.637.5739
www.StrataTrust.com

Send to: (Please submit using one method)
Email: NewInvestments@StrataTrust.com
Fax: 512.495.9554
US Mail: PO Box 23149, Waco, TX 76702
Overnight: 7901 Woodway Dr, Ste 200, Waco, TX 76712

Please gather all the information on this checklist and submit the documentation to STRATA Trust Company prior to the purchase, transfer, or rollover of a futures investment:

Accountholder completes and provides the following:

- ☐ **Futures Investment Direction:** Complete and sign STRATA's Futures 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 FCM once all documentation is provided to STRATA in good order.
- ☐ **FCM Application:** Complete and sign the FCM application to establish a trading account in the name of your IRA. STRATA will then sign in its capacity as the IRA custodian after you have signed the application. Please include all pages of the application.
- ☐ **Broker Agreement:** If you have chosen to authorize a third-party to place trades on behalf of your IRA within the FCM account, please complete and sign the broker's agreement. A broker may include a Commodity Trading Advisor, Introducing Broker, or Associated Person.

Important Reminders

- All items must be received in good order at least 48 hours before any scheduled closing date.
- Please contact us prior to directing a futures investment to ensure your FCM of choice has signed STRATA's FCM Representation Letter. If the FCM has not signed the representation letter, then your investment may be delayed and/or may not be processed.

The FCM account must reflect the following registration name, address, and Tax ID:

STRATA Trust Company Custodian
FBO (Accountholder Name) IRA (Account #)
PO Box 23149
Waco, TX 76702
Tax ID: 26-2637994



Investment Direction for Futures

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Please complete all information for your investment to avoid a delay in processing.

Section 1 Account Information

Accountholder Name	IRA Account # (if known)
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.

FCM Name _____

Broker Name
***If there is no broker, write N/A

Investment Amount \$ _____

☐ New Purchase
Processing fee applies, see IRA Fee Schedule

☐ Additional Purchase
Investment already held in this account.

☐ Broker Change Only

FCM/Broker Contact

Name _____ FCM/Broker Firm Name _____

Address _____

Phone _____ Email _____

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

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="checkbox"/> Send Funds by Check			
Make Check Payable To			
Send To	Address		
	City	State	Zip
Send By	<input type="checkbox"/> U.S. Mail <input type="checkbox"/> FedEx Overnight (\$30+ cost if billed to our account) <input type="checkbox"/> UPS Overnight (\$30+ cost if billed to our account)		
Overnight Fee	<input type="checkbox"/> Payment enclosed <input type="checkbox"/> Deduct from my account <input type="checkbox"/> Bill FedEx/UPS acct # (\$30) _____		

<input type="checkbox"/> Send Funds by Wire		A wire fee of \$30 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 (\$25)	<input type="checkbox"/> Payment enclosed <input type="checkbox"/> Deduct from my account		
Document Delivery Payment Instructions			
Investment Document Delivery	<input type="checkbox"/> U.S. Mail		<input type="checkbox"/> Fax to _____
	<input type="checkbox"/> FedEx Overnight (\$30 + cost if billed to our account)		<input type="checkbox"/> UPS Overnight (\$30 + cost if billed to our account)
Overnight Fee	<input type="checkbox"/> Payment enclosed <input type="checkbox"/> Deduct from my account <input type="checkbox"/> Bill FedEx/UPS acct # (\$30) _____		

Additional Instructions

Section 4 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, transfer, rollover, or exchange-in of this futures 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 STRATA.

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 STRATA does not make any determination with respect to whether I meet any or all suitability requirements of the offering. Furthermore, I understand that STRATA has no duty to question or conduct any suitability analysis on my behalf. I understand the risks and speculative nature of futures investments and understand that my Account could experience a loss greater than the value of my Account and/or assets available to me in other retirement accounts or qualified plans.
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 STRATA 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 STRATA has no duties or responsibilities with respect to the investment of the funds in my Account. Finally, I understand and intend that STRATA 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 STRATA 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 STRATA is in no way responsible for monitoring the performance of the Investment held within my Account. I understand that STRATA has not conducted a due diligence review of this Investment, nor has STRATA 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 STRATA 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 STRATA as custodian for the Investment made through my Account, that such person is not in any way an agent, employee, representative, or affiliate of STRATA. I acknowledge that STRATA 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 STRATA Custodial Account Agreement and other STRATA forms. I further understand that STRATA has not made and will not make any recommendation or investigation with respect to my Representative or any financial representative, nor does STRATA compensate my Representative or financial representative in any manner.
5. I understand that STRATA 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 STRATA 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 STRATA 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, including margin calls, 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. To ensure funds are available in the event of margin calls, deficit balances, or other obligations arising from the futures account, I acknowledge and guarantee that sufficient liquid assets will remain available in my Account or other qualified plan accounts to meet such obligations without being committed for the purpose of trading futures. I further understand and acknowledge that margin calls, deficit balances, or other obligations must be sent from my STRATA Account, and I may not fund such obligations out of pocket.
9. I further agree to indemnify STRATA for any and all payments or assessments which may result from holding the Investment within my Account, and I understand that STRATA 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.
10. I understand that if the Investment contains any administrative requirements or duties beyond the capabilities or expertise of STRATA 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 STRATA for execution on behalf of my Account.
11. I agree to furnish payment instructions to STRATA regarding any invoice, assessment, fee or any other disbursement notification received by STRATA on behalf of the Investment, and I understand that STRATA has no duty or responsibility to disburse any payment until such instructions are received from me or my Representative.
12. I understand that STRATA has no responsibility or duty to notify me or forward to me any notices, proxies, assessments or other documents received by STRATA on behalf of the Investment, unless I or my Representative request each such document in writing.
13. I understand that STRATA 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 STRATA will not be required to monitor the acts of any paid consultant to whom STRATA may have contractually delegated any duties or responsibilities pursuant to my directions or the directions of my Designated Representative.
14. 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, STRATA 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.
15. 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 "STRATA Trust Company 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 STRATA 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 STRATA to incur any costs or legal exposure.
16. 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 STRATA with a corrected and initialed copy of this form.
17. 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 STRATA, 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 STRATA 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 STRATA 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 STRATA 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 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.



Accountholder Signature

Date