



Checklist

REQUIRED DOCUMENTS FOR PRIVATE EQUITY INVESTMENT AUTHORIZATION:

NOTE: FOR A SINGLE MEMBER OR FAMILY-CONTROLLED LLC, PLEASE USE THE RESPECTIVELY NAMED FORM.

- Fully completed, signed and dated Private Equity Investment Authorization
- Fully completed, signed and dated Private Equity Investment Notification
 - If investment is not already held on Pacific Premier Trust's platform

Applicable items for investment type:

Corporate Stock

IRAs MAY ONLY INVEST IN C-CORPORATIONS. SOLO(K)S MAY INVEST IN EITHER S- OR C-CORPORATIONS

- Certificate of Incorporation
- Articles of Incorporation
- Bylaws
- Offering Memorandum (Private Placement Memorandum)
- Subscription Agreement, Stock Purchase Agreement and/or any other form the investor is required to sign

Limited Liability Company

- Certificate of Organization
- Articles of Organization
- Operating Agreement
- Subscription Agreement, or any other agreement or form the investor is required to sign

Limited Partnership

PACIFIC PREMIER TRUST DOES NOT ACCEPT GENERAL PARTNERSHIP INVESTMENTS

- Certificate of Partnership
- Articles of Organization
- Limited Partnership Agreement

Offshore, Hedge Funds and REITs

- Offering Materials
- Subscription/enrollment agreement, or any other agreement or form the investor is required to sign

Important Reminders:

- Please complete all documents (incomplete forms will delay the review and funding process).
- Please ensure your Pacific Premier Trust account has sufficient cash to fund your investment, applicable transaction fees AND account minimum cash requirements.

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



SOLO(K) PRIVATE EQUITY INVESTMENT AUTHORIZATION

GENERAL INSTRUCTIONS

Please note that there is a separate Pacific Premier Trust form for Private Debt, Real Estate or Promissory Note Investments secured by Mortgages/Trust Deeds. Always obtain the most current form from our website at www.PacificPremierTrust.com/forms.

Do not copy for future use.

The items listed in A and B below must be received by Pacific Premier Trust to begin a review for Administrative Feasibility. If the asset you desire to purchase in your account has already been reviewed and determined Administratively Feasible, please provide only the documents listed below in B. Documents and forms will be returned if they are not completed and signed where required.

A.

- Completed and signed Private Equity Investment Notification Form. Required if the asset has not been previously reviewed for Administrative Feasibility. Must be signed by the General Partner, Managing Member, Fund Manager, Corporate Officer or an authorized individual for one of the aforementioned. The form may not be modified.
Offering materials, including items such as offering memorandums, prospectuses, subscription agreements, etc.

B.

- Pacific Premier Trust Account application (if applicable)
Pacific Premier Trust Transfer/Rollover Form (if applicable)
Pacific Premier Trust Alternative Equity Investment Authorization Form
Applicable Subscription Agreement or enrollment documents completed and signed by Account Owner (Must be signed by Account Owner in all locations that Pacific Premier Trust is required to sign.)

Pacific Premier Trust will execute subscription documents in its nominee capacity as a directed custodian/trustee; however, Investor Suitability standards/questions (investor accreditation) must be completed and signed by the Account Owner.

If you, a family member or another disqualified party (see Prohibited Transaction Disclosure) is an officer of, or has an ownership interest in the entry in which you are investing, Pacific Premier Trust reserves the right to require that you obtain an opinion of counsel from an ERISA or tax attorney regarding the matter of Prohibited Transactions. If you have questions, please consult with your tax advisor prior to submitting your investment instructions.

1. ACCOUNT OWNER INFORMATION (All Sections Required)

First Name: MI: Last Name:
Primary Phone: Type: Cell Home Business
Other Phone: Type: Cell Home Business
Email Address:

Table with 3 columns: Account Number, Number of Shares or Units, Amount. Includes a Total row.

2. INVESTMENT INSTRUCTIONS (All Sections Required) You understand that Pacific Premier Trust must receive annual valuations from the investment sponsor or the investment may be distributed to you at the last reported value (please refer to the Custodial Agreement for more information).

Name of Investment: _____

Number of Units/Shares: _____ Price per Units/Shares: _____

Amount of Investment: \$ _____

Percentage of Ownership in this investment after this purchase is complete: _____%(Obtain from asset sponsor.)

I Authorize Pacific Premier Trust to (check one):

New Purchase

Additional Purchase

Capital Call Increase Value Expenses (Include the Capital Call Notice from the investment sponsor.)

Exchange-Name of Investment from which exchanging: _____

Total amount of investment to be exchanged: \$ _____ 100% other: _____

3. FUNDING INSTRUCTIONS

Payee Name: _____

Street Address: _____

City: _____ State: _____ Postal Code: _____

Primary Phone: _____ Type: Cell Home Business

Other Phone: _____ Type: Cell Home Business

(Select one below)

Check

Wire or ACH

Please complete wire/ACH instructions below or attach wiring/ACH instructions.

Bank Name: _____

ABA Number: _____

Bank Account Name: _____

Bank Account Number: _____

Ref Number: _____

4. DOCUMENT FORWARDING INSTRUCTIONS

Use the address provided in the Funding Instructions above

Other (Please complete the information below.)

Recipient's Name: _____

Street Address: _____

City: _____ State: _____ Postal Code: _____

(Select one below)

Regular Mail

Overnight (charge my Pacific Premier Trust Account)

Overnight (use pre-addressed air bill, included)

Overnight (send via 3rd party billing) Account # _____ Fed Ex UPS

Email to: _____

If no box is checked, the default will be to send via regular mail.

5. ACKNOWLEDGEMENT AND SIGNATURE

1. I understand that I am responsible, and Pacific Premier Trust and its related entities are not responsible, for selecting and reviewing the above investment and for determining the suitability, nature, value, risk, safety and merits of the investment that I authorize Pacific Premier Trust to make for my Account.
2. I verify that I have received and read all pertinent information relating to the investment(s) named herein (i.e., private placement memorandum, purchase agreement, subscription documents, etc.).
3. I acknowledge that no funds will be paid to my Pacific Premier Trust account if an exchange from one asset (existing asset) held in my Pacific Premier Trust account is made to another issued by the same asset sponsor (new asset). I request that Pacific Premier Trust update its records to reflect the exchange transaction and the new asset into my account. I agree to indemnify and hold Pacific Premier Trust and its related entities, its affiliates, successors and assigns harmless from any and all claims, damages and losses that may result from such transaction.
4. I understand that distributions or dividends other than cash (i.e., distributions in-kind) paid by this investment are subject to administrative review by Pacific Premier Trust. In the event that an asset paid as part of a distribution/dividend paid-in-kind, is determined that it is not considered administrative feasible, I may be required to remove the asset from my Pacific Premier Trust account by transfer or distribution.
5. I understand that Pacific Premier Trust is not related to or affiliated with the management or selling agent(s) of the investment(s) that I have directed Pacific Premier Trust to purchase for my account. I acknowledge that Pacific Premier Trust has not reviewed, recommended or commented on the investment merits, risks, suitability or management of the asset(s) I have selected and I authorize Pacific Premier Trust to process this transaction. I therefore agree to release, indemnify, defend, and hold Pacific Premier Trust and its related entities harmless from any claims arising out of making such investment. I also understand and agree that Pacific Premier Trust and its related entities will not be responsible to take any action should the investment noted herein become subject to default, including fraud, insolvency, bankruptcy, or other court order or legal process.
6. I understand that Pacific Premier Trust will request confirmation of purchase as part of its role as custodian of my account, I also understand and agree that if the asset sponsor of the investment does not provide documentation to confirm this investment, Pacific Premier Trust may resign as custodian of my account.
7. I agree that any dispute regarding this investment shall be submitted to binding arbitration pursuant to the Commercial Rules of the American Arbitration Association and the terms of the Custodial Agreement. I understand that the prevailing party shall be entitled to recover all legal fees, reasonable costs and expenses and that these shall be in addition to any award of damage or any other relief to which the prevailing party is entitled.
8. I represent that the above investment is not a prohibited transaction, as defined in the Internal Revenue Code and Department of Labor regulations.
9. I acknowledge that this investment is not insured by the FDIC, is not an obligation of or guaranteed by Pacific Premier Trust and is subject to risk, including the possible loss of principal.
10. I understand that offshore entities are not organized under the laws of the United States and, most likely, are not subject to U.S. regulations and/or legal system. I am aware that I am responsible for all legal matters concerning my account, and that Pacific Premier Trust may resign as a directed custodian in the event of future legal proceedings.

The asset sponsor of any offshore fund that I may direct Pacific Premier Trust to purchase in my account may require that Pacific Premier Trust provide additional documentation or other information pursuant to the anti-money laundering or other laws applicable to the asset sponsor in the country in which it operates or is domiciled. The particular requirement of each country and each asset sponsor may differ. It is my responsibility to determine these requirements prior to directing that an offshore investment be purchased in my account, and by signing this form, I acknowledge that I have done so.

Additionally, the asset sponsor may impose similar requirements for Pacific Premier Trust related to the processing of this purchase. Pacific Premier Trust's policy is that it will provide a certification of compliance with United States anti-money laundering/anti-terrorism regulations applicable to Pacific Premier Trust. If the asset sponsor requires additional information beyond the certification, Pacific Premier Trust reserves the right to decline to provide such information and to instead characterize the offshore fund investment as no longer administratively feasible. I understand and acknowledge that Pacific Premier Trust and its related entities will not be responsible for any consequences resulting from such a determination.

(continued)

5. ACKNOWLEDGEMENT AND SIGNATURE CONTINUED

11. I have read and understand the disclosure printed on this form about foreign financial account reporting. I acknowledge that it is my responsibility to consult with my tax advisor and to determine if any actions are required on my part as an individual taxpayer with respect to any of the IRS requirements for reporting foreign financial accounts.

12. I agree that this Private Equity Investment Authorization is further subject to all the terms and conditions of the Custodial Agreement. (Please sign below and provide all requested information)

 _____
Account Owner Signature _____
Date

Print Name: _____

Name of Investment: _____ Investment Amount: \$ _____

NON-DEPOSIT INVESTMENT PRODUCTS ARE NOT INSURED BY THE FDIC; ARE NOT DEPOSITS OR OTHER OBLIGATIONS OF, OR GUARANTEED BY, THE BANK OR ANY OF ITS DIVISIONS; AND ARE SUBJECT TO INVESTMENT RISKS, INCLUDING POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

Upload forms to:
www.PacificPremierTrust.com/upload

Send mail to:
Pacific Premier Trust
Processing Center
P.O. Box 173859
Denver, CO 80217-3859

For express deliveries:
Pacific Premier Trust
Processing Center
1560 Broadway, Suite 400
Denver, CO 80202-3331

Questions?
Call 1-800-962-4238

Fax to: 303-614-7051