

## SOLO(K) PRECIOUS METALS INVESTMENT/TRANSFER AUTHORIZATION

### IMPORTANT REMINDER

Sending incomplete documents will delay the review and funding/transfer process. Please make sure the Account contains sufficient cash to cover the investment, minimum cash requirement and all applicable transaction fees.

All precious metal holdings are held at Delaware Depository Service Company (“DDSC”) and should never be sent directly to PENSICO Trust Company (PENSICO).

### PURCHASING/ LIQUIDATING PRECIOUS METALS

PENSICO Trust Company (PENSICO) is not a precious metals dealer. If you are interested in investing in approved precious metals in your IRA, you must find a qualified metals dealer. Once you have identified the dealer you would like to work with and you have negotiated a purchase with the dealer (metal type, weight, etc.) please submit this form to PENSICO so we can forward the appropriate funds to complete the transaction. All metals are held at DDSC. At the time funds are transferred, PENSICO will also forward shipping instructions to the dealer so the metals will be shipped and placed in your Account. Please be sure the amount listed on this form is inclusive of any dealer commission, shipping, handling and insurance costs. PENSICO will pass through any costs associated with precious metals storage to your PENSICO Account.

#### Permissible Precious Metals:

- **Gold**

- American Eagle coins<sup>(1)</sup>
- Australian Kangaroo/Nugget coins
- Austrian Philharmonic coins
- Canadian Maple Leaf coins
- Credit Suisse — Pamp Suisse Bars .999
- U.S. Buffalo Gold Uncirculated coins (no Proofs)
- Bars and rounds as referenced below<sup>(2)</sup>

- **Silver**

- American Eagle coins<sup>(1)</sup>
- Australian Kookaburra coins
- Austrian Vienna Philharmonic coins
- Canadian Maple Leaf coins
- Mexican Liberated coins
- Bars and rounds as referenced below<sup>(2)</sup>

- **Platinum**

- American Eagle coins<sup>(1)</sup>
- Australian Koala coins
- Canadian Maple Leaf coins
- Isle of Man Noble coins
- Bars and rounds as referenced below<sup>(2)</sup>

- **Palladium**

- Bars and rounds as referenced below<sup>(2)</sup>

- **Unacceptable Precious Metals Include**

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>○ Austrian 100, 20 and 10 Corona</li> <li>○ Belgian 20 Franc</li> <li>○ British Britannia</li> <li>○ Chilean 100 Peso</li> <li>○ Colombian 5 Peso British Sovereign</li> <li>○ Dutch 10 Guilder</li> </ul> | <ul style="list-style-type: none"> <li>○ French 20 Franc</li> <li>○ Hungarian 100 Korona</li> <li>○ Italian 20 Lira</li> <li>○ Rare or Collectible Coins<sup>(1)</sup></li> <li>○ South African Krugerrand</li> <li>○ Swiss 20 Franc</li> </ul> |
|---|---|

<sup>(1)</sup>Coins, including the American Eagle, that have undergone “certification” (also known as “slabbed” coins) are not acceptable in IRAs at this time.

<sup>(2)</sup>Bars and rounds produced by manufacturers accredited by Nymex/Comex, LME, LBMA, NYSE/Liffe/CBOT, and ISO-9000 or a national mint. The minimum fineness for bars are:

Gold: .995+  
Silver: .999+  
Platinum: .9995+  
Palladium: .9995+

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**DELAWARE DEPOSITORY SERVICE DIVISION OF  
DEPOSITORY TRUST COMPANY OF DELAWARE, LLC  
PRECIOUS METALS FEE SCHEDULE**

**Individual Retirement Accounts**

Commingled Allocated Holdings  
(Sub-Accounted by Customer)

\*Default Sub-Account Setup

Segregated Allocated Holdings  
(Sub-Accounted by Customer)  
(Stored separately from other Investors' precious metals)  
If you would like your sub-Account segregated please  
select "segregated" in section 2

**Gold/Platinum/Palladium/Silver**

\$0.80 per \$1,000 (8 basis points)

\$95 minimum

Billed at Account opening and annually, each January, thereafter.

\$1.60 per \$1,000 (16 basis points)

\$190 minimum

Billed at Account opening and annually, each January, thereafter.

\*\*Internal transfers from segregated Accounts incur a  
\$25 transfer fee per transaction.

NOTE: The above fees are billed in advance at the time an Account is opened and on the sub-Account opening date thereafter each subsequent year. Storage fees are neither prorated nor refundable.

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**HANDLING FEES**

**Preparation of Outgoing Shipments via Armored or Private Carrier**

**\$.10 per ounce** for all Bullion other than the items listed below. (Please note that if bags or boxes are unsealed and detailed verification and handling is required to prepare their contents for release, the standard \$.10 per ounce charge will apply.)

**\$10.00 per item** for:

- |                             |                                   |
|-----------------------------|-----------------------------------|
| 1) 1,000 ounce silver bars  | 5) 100 ounce palladium plates     |
| 2) 100 ounce gold bars      | 6) Sealed 90% silver bags         |
| 3) 400 ounce gold bars      | 7) Sealed 40% clad bags           |
| 4) 50 ounce platinum plates | 8) Mint sealed bullion coin boxes |

A \$25.00 minimum charge per out-shipment will apply in every instance. PENSCO Account Owner shall be liable to pay such fees as of the day PENSCO gives Depository instructions to prepare a shipment for delivery, notwithstanding the fact that the delivery order may later be cancelled by Company, if in fact Depository has caused such shipment to be prepared for delivery. Shipments will be prepared in accordance with standard Depository's practices and packaging materials.

**Preparation of Outgoing Shipments Via US Postal Service or Express Mail Carrier**

**\$19.50 per package** handling fee, plus all applicable postage, registration, and insurance charges.

Note: Express mail carriers include Federal Express, United Parcel Service and others. Express mail carriers subject to change without notice.

**PENSCO will pass the above fees through to your PENSCO Account. These fees are in addition to any PENSCO asset fees listed on your fee schedule.**



# SOLO(K) PRECIOUS METALS INVESTMENT AUTHORIZATION

### 1) ACCOUNT OWNER INFORMATION

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last Name: \_\_\_\_\_  
Primary Daytime Phone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_  
Secondary Daytime Phone Number: \_\_\_\_\_ Email Address: \_\_\_\_\_

### 2) INVESTMENT INSTRUCTIONS (Please provide a copy of your Dealer Invoice)

I authorize PENSICO to (check one):

- Purchase (buy)     Liquidate (sell)     Transfer In (from current custodian)

Solo (k) Sub-Account	Precious Metal Type	Description of Coins, Bars or Rounds	Quantity	Value

Total amount of purchase (including dealer commission, shipping, handling and insurance):\$ \_\_\_\_\_

Segregated Allocated Holdings:

- I would like my metals segregated from other Investors' precious metals, and I agree to the fees listed on page 2 of the Precious Metals Investment Authorization.

### 3) DEALER INFORMATION

Company Name: \_\_\_\_\_  
Contact Name: \_\_\_\_\_  
Dealer's Address: \_\_\_\_\_  
City: \_\_\_\_\_ State/Province: \_\_\_\_\_  
Country: \_\_\_\_\_ Postal Code: \_\_\_\_\_  
Contact Phone: \_\_\_\_\_  
Dealer's Email Address: \_\_\_\_\_

**4) FUNDING INSTRUCTIONS:** All precious metals transactions will be funded via wire transfer and PENSICO wire fees apply. Please see your PENSICO fee schedule for wire fee amount.

Payee Name: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
City: \_\_\_\_\_ State/Province: \_\_\_\_\_  
Country: \_\_\_\_\_ Postal Code: \_\_\_\_\_

*Please provide wire instructions below or attach wiring instructions*

Bank Name: \_\_\_\_\_  
ABA Number: \_\_\_\_\_  
Bank Account Name: \_\_\_\_\_  
Bank Account Number: \_\_\_\_\_  
Ref Number: \_\_\_\_\_  
Phone Number: \_\_\_\_\_



**5) ACKNOWLEDGEMENT AND SIGNATURE**

1. I understand that I am responsible, and PENSCO and its related entities Services (hereafter "PENSCO") is 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 PENSCO to make for my Account.
2. I verify that I have received and read all pertinent information relating to the investment(s) named herein.
3. I understand that PENSCO is not related to or affiliated with the management or selling agent (Precious Metals Dealer) of the investment(s) that I have directed PENSCO to purchase for my Account. I acknowledge that PENSCO has not reviewed, recommended or commented on the investment merits, risks, suitability or management of the asset(s) I have selected and I authorize PENSCO to process this transaction. I therefore agree to release, indemnify, defend, and hold PENSCO and its related entities harmless from any claims arising out of making such investment. I also understand and agree that PENSCO 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.
4. I understand that PENSCO will request confirmation of purchase as part of its role as custodian of my Account.
5. 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.
6. I represent that the above investment is not a prohibited transaction, as defined in the Internal Revenue Code and Department of Labor regulations.
7. I acknowledge that this investment is not insured by the FDIC, is not an obligation of or guaranteed by PENSCO and is subject to risk, including the possible loss of principal.
8. I agree that any costs associated with the storage of my precious metals at the Delaware Depository Service Company will be passed through to my PENSCO Account.



Account Owner Signature

Date

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

**Upload forms to:**  
[www.pensco.com/upload](http://www.pensco.com/upload)

**Send mail to:**  
PENSCO  
P.O. Box 173859  
Denver, CO 80217-3859

**For express deliveries:**  
PENSCO  
1560 Broadway, Suite 400  
Denver, CO 80202-3331

**Questions?**  
Call 1-800-962-4238

**Fax to:** 303-614-7098