



Secondary Market Investment Authorization

IMPORTANT INFORMATION

In this document the term "Custodian" refers to Pacific Premier Trust. Please complete all information requested. Any missing or incomplete information may result in processing delays. Both the buyer and seller will need to execute this form. NOTE: If this is a purchase of an asset that has not been previously reviewed by Pacific Premier Trust for administrative feasibility, there are additional documents required from the investment sponsor.

* Indicates required information.

DOCUMENTS REQUIRED FROM ACCOUNT OWNER

Secondary Market Investment Authorization Form

Applicable purchase/sale documents, completed and signed by Account Owner

1 ACCOUNT OWNER INFORMATION

Form with fields: ACCOUNT OWNER NAME (FIRST, MI, LAST)*, PACIFIC PREMIER TRUST ACCOUNT NO.*, EMAIL*, PRIMARY PHONE NO.*

I, the above Account Owner, authorize the Custodian to buy/sell the following asset from/to the "disinterested party" named below. I certify that I meet the suitability requirements of the investment and that the proposed trade does not constitute a prohibited transaction as defined in the Internal Revenue Code Section 4975. I verify that I have received and read all pertinent information regarding the transaction listed below (i.e., prospectus, offering circular, investment agreement, transfer or assignment forms, etc.) and agree to any terms and conditions outlined in the previously mentioned documents. Unless I specify otherwise, the Custodian may release funds prior to receiving confirmation of the re-registration. I understand that it is my responsibility to provide all documents necessary to complete this transaction.

Form with fields: NAME OF ASSET*, NO. OF UNITS/SHARES*, DOLLAR AMOUNT* \$, PERCENTAGE OF OWNERSHIP AFTER PURCHASE IS COMPLETE* %

Are you or any family member employed by, receiving compensation from, or affiliated with the party buying/selling the asset to/from the IRA? Yes No

NOTE: This authorization must be completed in full. If the transaction is being facilitated through a market maker, be sure to include the market maker's name in the appropriate section.

2 BUYER/SELLER INFORMATION

Pacific Premier Trust Account Owner?*

SELLER'S NAME Yes No

Form with fields: ACCOUNT OWNER NAME (FIRST, MI, LAST)*, PACIFIC PREMIER TRUST ACCOUNT NO.*, ADDRESS*, CITY*, STATE/PROVINCE*, COUNTRY*, POSTAL CODE*



2 BUYER/SELLER INFORMATION (CONTINUED)

BUYER'S NAME

Pacific Premier Trust Account Owner?* Yes No

ACCOUNT OWNER NAME (FIRST, MI, LAST)*		PACIFIC PREMIER TRUST ACCOUNT NO.*	
ADDRESS*			
CITY*	STATE/PROVINCE*	COUNTRY*	POSTAL CODE*

NOTE: It is the Account Owner's responsibility to ensure that there are sufficient liquid assets in their Pacific Premier Trust account to pay for the purchase.

SPECIAL COMMISSION INSTRUCTIONS*

NOTE: It is customary for the seller to pay any "re-registration fees" the investment sponsor may require, and the Custodian will deduct such charges from the seller's account (if applicable) unless notified otherwise. If the seller is a Pacific Premier Trust Account Owner, the sale proceeds will be deposited directly into the Pacific Premier Trust account. A distribution may be requested from the Custodian by calling 800-962-4238 to request the appropriate forms, or by completing the [Pacific Premier Trust IRA Distribution Request Form](#).

3 FUNDING INSTRUCTIONS

Check:

PAYEE NAME*			
MAILING ADDRESS*			
CITY*	STATE/PROVINCE*	COUNTRY*	POSTAL CODE*

Wire:

BANK NAME*	ABA NO.*
BANK ACCOUNT NAME*	BANK ACCOUNT NO.
REFERENCE*	

4 DOCUMENT FORWARDING INSTRUCTIONS

- Please provide document forwarding instructions if different from check funding instructions.

RECIPIENT NAME*			
MAILING ADDRESS*			
CITY*	STATE/PROVINCE*	COUNTRY*	POSTAL CODE*

NOTE: Documents will be emailed unless otherwise specified.

Regular Mail Overnight Delivery (charge my Pacific Premier Trust account) Overnight Delivery (use pre-addressed air bill, included)
Overnight Delivery (send via 3rd party billing): Account No. _____ FedEx UPS



5 ACKNOWLEDGMENT & SIGNATURES

- 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.
- I understand that Pacific Premier Trust must be provided with an updated fair market value of the investment listed on this form at least annually. If it does not receive an updated value, I understand that I may be required to obtain value via an appraisal from third party valuation service or be required to remove the asset from the IRA via distribution or transfer (distribution possibly being a reportable event).
- 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.).
- 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 conversion/exchange transaction and the new asset into my account. I agree to indemnify and hold Pacific Premier Trust and its related entities, affiliates and successors harmless from any and all claims, damages and losses that may result from such transaction.
- 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 not to be considered administratively feasible, I may be required to remove the asset from my Pacific Premier Trust account by transfer or distribution.
- I understand that Pacific Premier Trust and its related entities are 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.
- 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 the asset(s).
- 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.
- Prohibited Transactions.** I represent that the above investment is not a prohibited transaction, as defined in the Internal Revenue Code and Department of Labor regulations.
- 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.
- 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 its legal system. I am aware that I am responsible for all legal matters concerning my account, and that Pacific Premier Trust may resign as 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 determination.
- I agree that this Secondary Market Investment Authorization is further subject to all the terms and conditions of the Custodial Agreement.

ACCOUNT OWNER SIGNATURE*		DATE*
PRINT NAME*	PACIFIC PREMIER TRUST ACCOUNT NO.*	
NAME OF ASSET*	PURCHASE AMOUNT* \$	
3 RD PARTY BUYER/SELLER SIGNATURE (ONLY REQUIRED IF NOT ACCOMPANIED BY FULLY EXECUTED PURCHASE/SALE AGREEMENT)*		DATE*
PRINT NAME*	ACCOUNT NO.*	
NAME OF ASSET*	PURCHASE 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

Fax to: 303-614-7051

Send mail to:
Pacific Premier Trust
Processing Center
P.O. BOX 981012
Boston, MA 02298

For express deliveries:
FIS - Remittance Processing
Loading Dock #2
Attn: Pacific Premier Trust
10 Dan Road
Canton, MA 02021

Questions?
Call: 800-962-4238

Email: investmentoffice@pacificpremiertrust.com

