



Private Equity Worthless Asset Notification

IMPORTANT INFORMATION

Please use this form if an investment is believed to be worthless and should be reviewed for removal from a client's account. If the information does not match Pacific Premier Trust's records, or is left blank, the form will be returned to the initiator with an explanation regarding the discrepancy or for completion.

* Indicates required information.

1. ACCOUNT OWNER & ASSET INFORMATION

Form with fields: ACCOUNT OWNER NAME (FIRST, MI, LAST)*, DATE*, SECURITY NAME*, CUSIP*, ASSET SPONSOR NAME*, SPONSOR CONTACT (PHONE OR EMAIL)*, REASON ASSET IS WORTHLESS*

2. DOCUMENTATION

Please provide one or more of the following documents to be used to review the request to remove the asset from the account(s). NOTE: Pacific Premier Trust will not review the request without one of the below documents. If the asset was paid off, this is not considered a worthless asset.

Letter from General Partner, Managing Member, President or CEO stating the asset is worthless or no longer exists. This will include an explanation as to why the asset/shares are now worthless.

Secretary of State screenshot showing the asset is dissolved, dead, void or cancelled.

NOTE: Recent involuntary actions (those not initiated by the company) may not be enough to remove the asset. An unacceptable status would include, but is not limited to, active or inactive; suspended or forfeited; FTD suspended or FTF forfeited; or merged out.

Final K-1 Statement (Pacific Premier Trust will call to confirm)

Notice of Chapter 7 bankruptcy final court document

3. SIGNATURE

By signing below, I agree that a.) I have not or will not receive funds personally, and b.) I, to the best of my knowledge, know this asset is truly worthless and has no value. I agree to release, indemnify, defend, and hold Pacific Premier Trust and its related entities harmless from any claims arising out of this request including any damages, fees, costs or expenses arising therefrom.

Form with fields: ACCOUNT OWNER SIGNATURE*, DATE*

Please return this form, along with any supporting documentation, to Pacific Premier Trust's Private Equity Maintenance Department at www.PacificPremierTrust.com/upload or fax to 303.614.7036.

Pacific Premier Trust performs the duties of an independent custodian of assets for self-directed individual and business retirement accounts and does not provide investment advice, sell investments or offer any tax or legal advice. Clients or potential clients are advised to perform their own due diligence in choosing any investment opportunity as well as selecting any professional to assist them with an investment opportunity.

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.

