



Solo(k) Rollover Request

Toll Free: 800-962-4238 www.pensco.com

IMPORTANT INFORMATION

This form is to be completed by the Plan Participant who wishes to make a rollover or direct rollover of all or a portion of his/her assets from an existing IRA plan or Qualified Retirement Plan to a Pacific Premier Trust Solo(k) Plan. Please refer to the "Instructions for Solo(k) Rollover Request" to complete this form.

1 PARTICIPANT INFORMATION

I am funding a new Solo(k) (Solo(k) Application attached)

I am funding my existing Pacific Premier Trust Solo(k): Account No. _____

Form with fields: NAME (FIRST, MI, LAST)*, SSN*, DATE OF BIRTH*, PRIMARY PHONE NO.*

2 CURRENT TRUSTEE/CUSTODIAN INFORMATION

Please provide a copy of the most recent Account Statement from your current Trustee/Custodian.

Form with fields: CURRENT TRUSTEE/CUSTODIAN ACCT. NO.*, CUSTODIAN NAME*, CONTACT DEPARTMENT*, FAX NO.*, PRIMARY PHONE NO.*, MAILING ADDRESS*, CITY*, STATE/PROVINCE*, COUNTRY*, POSTAL CODE*

DOCUMENT DELIVERY METHOD:

Overnight paperwork: Charge my account (please refer to your fee schedule)

Overnight paperwork: Charge this overnight number: _____ Overnight provider: _____

3 ROLLOVER TYPE

Choose one below. For your selection, please provide specific asset instructions in Section 4.

Traditional IRA Rollover to Solo(k) Plan

Eligible Business Retirement Plan to Solo(k) Plan (please contact your Plan Administrator to determine if you have to complete their form)

Indirect Rollover



4 LIST OF ALL STANDARD ASSETS TO BE TRANSFERRED OR LIQUIDATED

- Use additional paper, if needed. Please provide a copy of the most recent account statement from your current Trustee/Custodian.

| | | | | | |
|----------------------------|--------------------------------|----------------------------|----|---------------------|-----------------------|
| A. Cash/Money Market Funds | | Specify "All" or \$ Amount | | | |
| | | | | | |
| B. Mutual Funds | Specify "All" or No. of Shares | Sell | or | Transfer in Kind | Fund Account No. |
| | | | | | |
| | | | | | |
| C. Annuities | Value | Surrender | or | Change of Ownership | Contract (Policy No.) |
| | | | | | |
| | | | | | |
| D. Stocks or Bonds | Specify "All" or No. of Shares | Sell | or | Transfer in Kind | CUSIP/Ticker |
| | | | | | |
| | | | | | |

5 ALTERNATIVE ASSET TRANSFER / ROLLOVER / CONVERSION OR LIQUIDATION INSTRUCTIONS

- Only complete this section if you are transferring, rolling over, converting or liquidating alternative assets from the resigning account. It is the responsibility of the current Administrator/Custodian to handle the re-registration of any investment it is holding in your account (e.g., IRA, 401(k), profit-sharing plan, etc.) that you wish to move. **If you have more than one investment in this account, please photocopy this section and complete it for each investment.**
- All investments are subject to an administrative review by Pacific Premier Trust. Please provide the documents and/or Pacific Premier Trust forms, listed on page 6, specific to your asset type to facilitate our administrative review. Pacific Premier Trust will contact you if additional signatures or documents are required by the third party executing the transfer.¹

INVESTMENT TYPE (choose one):

Private Equity Promissory Note Secured Note Real Estate Other: _____

TRANSFER / ROLLOVER / CONVERSION:

Transfer in Kind Liquidate (Please follow up with your current Custodian to confirm their liquidation processes.)

| | | | |
|------------------|----------------------------------|---------------------------------------|--------------------------|
| INVESTMENT NAME* | NO. OF SHARES TO BE TRANSFERRED* | TOTAL CURRENT ESTIMATED DOLLAR VALUE* | PERCENTAGE OF OWNERSHIP* |
| | | | |

COMPANY INFORMATION (for Private Equity, LPs and REITs only):

| | | | |
|--------------------------|-----------------|--------------------|--------------|
| COMPANY NAME* | | CONTACT NAME* | |
| CONTACT DEPARTMENT* | EMAIL ADDRESS* | PRIMARY PHONE NO.* | |
| COMPANY MAILING ADDRESS* | | | |
| CITY* | STATE/PROVINCE* | COUNTRY* | POSTAL CODE* |

¹ To avoid delays in processing your request, at least one of these sections must be completed in its entirety. All assets that are to be transferred must be listed individually in its appropriate section. Please attach copies of account statements from the current Trustee/Custodian collecting the assets to be transferred. If you have physical certificates in your possession, you must send the actual certificates in negotiable form to Pacific Premier Trust with this document.

6 ACCOUNT OWNER ACKNOWLEDGMENTS WITH REGARD TO INVESTMENTS TO BE TRANSFERRED OR ROLLED OVER

- i. I understand that I am responsible, and Pacific Premier Trust and its related entities are not responsible, for selecting and reviewing the above investment(s) and for determining the suitability, nature, value, risk, safety and merits of the investment(s) that I authorize Pacific Premier Trust to hold in my Account.
- ii. 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 hold for my account. I acknowledge that Pacific Premier Trust has not reviewed, recommended or commented on the investment(s) merits, risks, suitability or management of the asset(s) I have selected and I authorize Pacific Premier Trust to process this transfer or rollover request. I therefore agree to release, indemnify, defend, and hold Pacific Premier Trust and its related entities harmless from any claims arising out of such investment(s) or otherwise. I also understand and agree that Pacific Premier Trust and its related entities will not be responsible for taking any action should the investment(s) noted herein become subject to default, including fraud, insolvency, bankruptcy, or other court order or legal process.
- iii. I agree that any dispute regarding my investment(s) 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.
- iv. I have consulted my own attorney and hereby represent that Pacific Premier Trust may hold title to any Note and/or its collateral, where applicable. I hereby represent to Pacific Premier Trust that I understand the risks involved with my deed of trust/mortgage/secured note investment(s), specifically that there may be liability above and beyond the amount of the investment(s) in the collateral property (e.g., ad valorem property taxes on the property or liability arising under Environment Laws). The losses will include any losses caused by, or arising out of, the presence, on or about the Property, of any Hazardous Substances, or any person or entity complying or failing to comply with any Environment Law. The term "Environmental Law" means any law, rule, regulation, or ordinance relating to protection of the environment or human health. The term "Hazardous Substance" means any substance defined as hazardous or toxic, or otherwise regulated by any Environmental Law.
- v. I represent that my purchase of any investment(s) I am transferring to Pacific Premier Trust was not a prohibited transaction as defined in the Internal Revenue Code and Department of Labor regulations.
- vi. I acknowledge that my investment(s) are not insured by the FDIC, are not an obligation of or guaranteed by Pacific Premier Trust, and are subject to risk, including the possible loss of principal.
- vii. I understand all the routine real estate expenses (e.g., tax bills, insurance premiums, homeowner's association payments and utility bills) received by Pacific Premier Trust may automatically be paid from my account. I understand that it is my responsibility to ensure all billing parties have the correct mailing address on file. I will be responsible with monitoring my account activity to confirm that all necessary expenses related to my real estate investment have been processed. I understand that sufficient funds must be held in my uninvested cash account to make the required payment at least 14 days prior to the payment's due date. If the funds are not available, I will be responsible for any interest or penalties incurred. Invoices for non-routine expenses (e.g., repairs and improvements) require specific Account Owner authorization prior to payment from the account.

- viii. For real estate, I have made arrangements with the property manager designated on the Property Management Agreement. Pacific Premier Trust will not be responsible for errors and omissions in the management agreement or for any actions taken by the property manager. For real estate, I understand that I must provide a real estate appraisal for any real estate transaction request I submit that will result in a taxable event (e.g., distribution.) I also acknowledge that on an annual basis, I will be asked to provide an updated valuation for each real estate investment within my account(s). Such annual valuation may be in the form of a comparative market analysis or other source deemed to be acceptable by the Custodian.

7 AGE 72 NOTICE

Effective January 1, 2020, the SECURE Act has changed the age requirement for Account Owners to take their first RMD ("Required Minimum Distribution") from 70 ½ to 72. This applies only to individuals reaching 72 after December 31, 2019. If you reached 70 ½ in 2019, you are still subject to RMD, and must take your first distribution no later than April 1, 2020.

I certify that I have read the applicable section for the transaction I have chosen, and I understand and agree to all terms.

8 PARTICIPANT'S SIGNATURE REQUIRED

In the case of a transfer or direct rollover, the current Trustee/Custodian is authorized to send cash and/or assets to Pacific Premier Trust as specified.

In the case of a rollover, I understand it is my sole responsibility to determine the validity of any rollover contribution and to initiate and make such rollover deposit; I irrevocably elect to roll over the asset(s) in this transaction.

I hereby agree to indemnify and hold harmless Pacific Premier Trust and its officers, directors, shareholders, agents, employees, and Pacific Premier Trust's related entities for any and all costs, obligations, losses, claims, damages and expenses (including reasonable attorneys' fees) related to or associated with this agreement.

I acknowledge that there may be a minimum cash requirement, applicable to accounts containing alternative assets, disclosed in the Fee Schedule. If this requirement is not met, I understand that additional fees may apply.



Participant Signature or Designated Representative

Date

Note: Your current Custodian may require that your signature be Medallion Signature Guaranteed. Please contact your current custodian for details of their requirements. A Medallion Signature Guarantee may generally be obtained from your brokerage firm, bank or other financial institution. Pacific Premier Trust's Medallion Signature Guarantee is only a guarantee of Pacific Premier Trust's acceptance signature, and is not guaranteeing the Account Owner's Signature.

9 ACCEPTANCE BY PACIFIC PREMIER TRUST

Pacific Premier Trust, a division of Pacific Premier Bank hereby accepts the appointment as Custodian of the assets listed. This acceptance is not to be construed as validation of any rollover or direct rollover contribution, if any. Pacific Premier Trust Trust Company is exempt from backup withholding described in the Internal Revenue Code Section 3406(a)(1)(C).



Pacific Premier Trust Acceptance Signature

Title

Date

[MEDALLION GUARANTEE STAMP HERE]

Note: This Medallion Guarantee Signature is only a guarantee of Pacific Premier Trust's acceptance signature. Pacific Premier Trust is not guaranteeing the client's signature.

10 DELIVERY INSTRUCTIONS

CHECK

Make checks payable to:

Pacific Premier Trust, Custodian
FBO (Client Name), Pacific Premier Trust Account Number
P.O. Box 173859
Denver, CO 80217-3859

ACATS

Automated Customer Account Transfer Service Information:

For ACATS Eligible Firms
2-3 Business days for partial requests
4-5 Business days for full requests
For cash transfers, please ensure you have cash positions available

WIRE

Wiring Instructions for Cash:

Citibank
ABA No.: 321171184
For Credit to: Pacific Premier Trust
A/C No.: 204869978
For Further Credit to: Client's Full Name
A/C No. (Client's Pacific Premier Trust Account Number)

Overnight Delivery Address

Pacific Premier Trust
Processing Center
FBO (Client Name)
1560 Broadway, Suite 400
Denver, CO 80202-3308

Register Physical Securities, Non-Networked Eligible Mutual Funds & Limited Partnerships:

Pacific Premier Trust Custodian FBO (Client Name), IRA
P.O. Box 173859
Denver, CO 80217-3859
Tax ID: 02-0526633

DTC Eligible Securities:

DTC No. 5998
Agent ID: 94099
Institutional ID: 94099
FBO: Client Name & Pacific Premier Trust Account Number

Book-Entry Government Securities (Including GNMA Pool Deliveries) Via Federal Wire:

Fifth Third Bank
ABA No.: 042000314/Fifth Cin/1050
FFC A/C No.: 010034438545
A/C Name: Pacific Premier Bank
FBO: Client Name & Pacific Premier Trust Account Number

Register Networked Eligible Mutual Funds To:

NTC & Co.
FBO (Client Name), Pacific Premier Trust Account Number
P.O. Box 173859
Denver, CO 80217-3859
Matrix Settlement & Clearance Services NSCC No.: 5954
Tax ID: 26-1356253

Note: Pacific Premier Trust will automatically default to ACATS (Automated Customer Account Transfer Service) if no contact information and contact fax number is provided. If the firm is not ACATS eligible, Pacific Premier Trust will attempt to fax documents. If this is not an option, your transfer will be mailed unless overnight mailing instructions are provided.