

# General Buy Direction Letter

**NOTE:** All investment paperwork must be titled correctly: **NDTCO as custodian FBO Client's Name IRA**. If you have a 401(k) or beneficiary account, please call our office for correct vesting (titling).

## 1. ACCOUNT INFORMATION

Your Name: (as it appears on your account, not your title or vesting name)	Account Number:
Account Type: <input type="checkbox"/> Traditional IRA <input type="checkbox"/> Roth IRA <input type="checkbox"/> SEP IRA <input type="checkbox"/> SIMPLE IRA <input type="checkbox"/> Inherited IRA <input type="checkbox"/> Solo 401(k) <input type="checkbox"/> HSA	
Phone Number:	Email Address:

## 2. HOW WOULD YOU LIKE TO PAY FOR THE TRANSACTION? (All fees are due at time of transaction.)

Choose One:  Your Account Credit Card	Credit Card Type: (the following are accepted) <input type="checkbox"/> Visa <input type="checkbox"/> MasterCard <input type="checkbox"/> Discover Card Number: _____ 3 Digit Security Code: _____ Exp Date: _____ Exact Name on Card: _____ Signature: _____
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## 3. HOW WOULD YOU LIKE US TO PROCESS THE TRANSACTION?

Standard Processing (3 business days)  Express Processing (1 business day rush fee, \$500 for Real Estate and \$250 for Non-Real Estate)  
**Please contact your transaction specialist to see if a rush option is possible.**

## 4. HOW WOULD YOU LIKE US TO FUND THE TRANSACTION?

Fund the transaction via: <input type="checkbox"/> Check (\$5 fee) <input type="checkbox"/> Cashier's Check (\$25 fee) <input type="checkbox"/> ACH Transfer (\$5 fee) <input type="checkbox"/> Wire (\$30 fee)			
Would you like a call to confirm wire? (Please note that this is a courtesy call and will not hold up the funding process.) <input type="checkbox"/> Yes <input type="checkbox"/> No			
Make Check Payable to:	Payee Telephone Number: (needed for overnight deliveries)		
Send Check to:	City:	State:	Zip:

Deliver the transaction (funds and paperwork) via:  Standard Mail  Overnight Mail (\$30 fee applies)

## 5. TELL US ABOUT YOUR INVESTMENT

I hereby authorize and direct the Custodian to BUY the following asset for my account:

Quantity: (number of shares, units, etc.)	Price: (price per shares, units, etc.) \$	Total Purchase Price: (quantity times price) \$
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I have included company/investment documents with this Buy Direction Letter.

Special Instructions:

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## 6. AUTHORIZATION

I confirm that I am directing New Direction Trust Company, the Custodian, to complete this transaction as specified above. I understand that my account is self-directed, and I take complete responsibility for any investment I choose for my account, including the investment specified in this Buy Direction Letter. I understand that the Custodian does not sell or endorse any investment products, and that are not affiliated in any way with any investment provider. I understand that the role of the Custodian is limited, and its responsibilities do not include investment selection for my account. I acknowledge that the Custodian has not provided or assumed responsibility for any tax, legal or investment advice with respect to this investment, and I agree that they will not be liable for any loss which results from my decision to purchase the investment. I understand that the Custodian has not reviewed or will review the merits, legitimacy, appropriateness or suitability of this investment, and I certify that I have done my own due diligence investigation prior to instructing the Custodian to make this investment for my account. I understand that the Custodian does not determine whether this investment is acceptable under the Employee Retirement Income Securities Act (ERISA), the Internal Revenue Code (IRC), or any applicable federal, state, or local laws, including securities laws. I understand that it is my responsibility to review any investments to ensure compliance with these requirements.

I understand that in processing this transaction the Custodian is only acting as my agent, and nothing will be construed as conferring fiduciary status on the Custodian. I agree that the Custodian will not be liable for any investment losses sustained by me or my account as a result of this transaction. I agree to indemnify and hold harmless the Custodian from any and all claims, damages, liability, actions, costs, expenses (including reasonable attorneys' fees) and any loss to my account as a result of any action taken in connection with this investment transaction or resulting from serving as Custodian for this investment, including, without limitation, claims, damages, liability, actions and losses asserted by me.

I understand that if this Buy Direction Letter and any accompanying documentation are not received as required, or, if received, are unclear in the opinion of the Custodian, or if there are insufficient undirected funds in my account to fully comply with my instructions to purchase the investment and to pay all fees, the Custodian may not process this transaction until proper documentation and/or clarification is received, and the Custodian will have no liability for loss of income or appreciation. I understand that my account is subject to the provisions of Internal Revenue Code (IRC) §4975, which defines certain prohibited transactions. I acknowledge that the Custodian has not made or will make any determination as to whether this investment is prohibited under §4975 or under any other federal, state or local law. I certify that making this investment will not constitute a prohibited transaction and that it complies with all applicable federal, state, and local laws, regulations and requirements.

I understand that my account is subject to the provisions of IRC §§511-514 relating to Unrelated Business Taxable Income (UBTI) of tax-exempt organizations. If this investment generates UBTI, I understand that I will be responsible for preparing or having prepared the required IRS Form 990-T tax return and any other documents that may be required. I understand the Custodian makes no determination of whether or not investments in my account generate UBTI. I understand that the assets in my account are required by the IRS to be valued annually as of the end of each calendar year. I agree to provide the prior year end value of this investment by no later than January 31st of each year on a form provided by the Custodian, with substantiation attached to support the value provided.

I understand that with some types of accounts there are rules for Required Minimum Distributions (RMDs) from the account. If I am now subject to the RMD rules in my account, or if I will become subject to those rules during the term of this investment, I represent that I have verified either that the investment will provide income or distributions sufficient to cover each RMD, or that there are other assets in my account or in other accounts that are sufficiently liquid (including cash) from which I will be able to withdraw my RMDs. I understand that failure to take RMDs may result in a tax penalty of 50% of the amount I should have withdrawn. I understand that all communication regarding this transaction must be in writing and must be signed by me or by my authorized agent on my behalf, and that no oral modification of my instructions will be valid. I understand that the Custodian does not review or approve the subscription agreement, operating agreement, by-laws, limited or general partnership agreement, trust agreement or any other similar agreement regarding the purchase or operation of the entity I am instructing the Custodian to invest in for my account via this Buy Direction Letter (the "Entity").

I understand that I am solely responsible for making sure that the Entity was not formed and will not operate in a way that does or may lead to a prohibited transaction under IRC §4975. I understand that if the Entity becomes a "disqualified person" (as that term is defined in IRC §4975) upon funding. I agree to indemnify and hold harmless the Custodian and its respective officers, directors, shareholders and employees against any liability associated with investing in the Entity, including funding a capital call, and including any liability that arises because the investment is or may be a prohibited transaction under IRC §4975. I understand that I am responsible for confirming that no "disqualified person" with respect to my account will benefit from this investment in any way which is prohibited by IRC §4975.

I represent that I have done my own due diligence on the Entity. I understand that the Custodian has not made any attempt to evaluate the Entity or the individuals involved with the Entity. I understand that I am solely responsible for evaluating the Entity, its operations and its investment potential. I understand that my investment in the Entity may be subject to the Plan Asset Regulations (29 C.F.R. § 2510.3-101) and Interpretive Bulletin 75-2 (29 C.F.R. § 2509.75-2) issued by the U.S. Department of Labor. If these regulations apply to this investment, the Entity is disregarded for purposes of the prohibited transaction rules of IRC §4975, and officers, directors, managers and the like may become fiduciaries of my account. I represent that I understand the Plan Asset Regulations and Interpretive Bulletin 75-2 or I have consulted with competent legal counsel regarding these regulations and their potential application to the Entity prior to making my investment decision.

I understand that no person at the office the Custodian has the authority to modify any of the foregoing provisions. I certify that I have examined this Buy Direction Letter and any accompanying documents or information, and to the best of my knowledge and belief, it is all true, correct and complete.

**Transactions with insufficient funds will not be processed until sufficient funds are received. If fees are being deducted from your account, the full amount of the transaction plus fees must be available before your transaction can be processed.**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

*Please read the disclosure above the signature line before signing and dating.*

### FOR INTERNAL OFFICE USE ONLY:

Return To: _____	<input type="checkbox"/> Sig Check	Fee Option and Invoice Cycle: _____
Balance: _____	<input type="checkbox"/> RTN	Trans Fee: \$ _____
Cusip: _____	<input type="checkbox"/> Innovest	Annual Admin Fee: \$ _____
Trans Code: _____	<input type="checkbox"/> Scan for Funding	Wire Fee: \$ _____
Fund Date: _____		FedEx Fee: \$ _____
Amt Funded \$ _____		Total Fees: \$ _____