



**QUEST TRUST**  
C O M P A N Y

# General Direction of Investment

**Quest Trust Company**  
17171 Park Row, Suite 100  
Houston, TX 77084  
P: 800.320.5950  
F: 281.646.9701  
Transactions@QuestTrust.com

**Processing Instructions:** The official processing of investment documents begins on the first business day in which all investment forms and correctly vested agreements are properly endorsed and submitted to Quest Trust Company. Once all forms and agreements have been correctly submitted, funding can be expected within 48 business hours of that time.

Use this form to direct Quest Trust Company to fund an investment for your account. All investment documents must be titled in the following format:

**Quest Trust Company FBO [Account Holder's Name] [IRA or HSA or CESA] #[Account Number]**

## A. ACCOUNT HOLDER INFORMATION

|       |                 |
|-------|-----------------|
| 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"/> HSA | <input type="checkbox"/> ESA |
|---------------|--|-----------------------------------|----------------------------------|-------------------------------------|------------------------------|------------------------------|

## B. HOW WOULD YOU LIKE TO PAY YOUR FEES? (ALL FEES ARE DUE PRIOR TO FUNDING)

Fees Due:

|   |  |
|---|--|
| \$125.00 Transaction Fee                    | \$35.00 Overnight Mail (If applicable)             |
| \$30.00 Wire Transfer (If applicable)       | \$5.00 ACH Transfer or Trust Check (If applicable) |
| \$295.00 Administrative Fee (If applicable) |  |

Choose A Payment Method:

Deduct From Account       Check Enclosed       Credit Card on File

To add, change, or update a credit card, please contact our office.

## C. FUNDING INSTRUCTIONS

| Process this investment via | <input type="checkbox"/> ACH (\$5 Fee) | <input type="checkbox"/> Wire (\$30 Fee) | <input type="checkbox"/> Check (\$5 Fee) | <input type="checkbox"/> Cashier's Check (\$10 Fee)           |
|-----------------------------|--|--|--|---|
| ACH/WIRE SECTION            |  | FOR CHECKS/CASHIER'S CHECKS              |  |   |
| Name of Bank:               | Account Name:                          | Make Check Payable To:                   |  |   |
| ABA/Routing Number:         | Account Number:                        | Mail Check To:                           |  |   |
| For Further Credit To:      | SWIFT CODE (International Wires Only): | Send Check VIA:<br>Hold for pickup       | Regular Mail<br>Houston Office           | Overnight Mail (\$30 Fee)<br>Austin Office      Dallas Office |

## D. INVESTMENT DETAILS

|                            |  |  |
|----------------------------|--|--|
| Description of Investment: |  |  |
|----------------------------|--|--|

|   |                                      |                             |
|---|--------------------------------------|-----------------------------|
| Quantity (Number of shares, units, etc.): | Price (Price per share, unit, etc.): | Dollar amount to be funded: |
|---|--------------------------------------|-----------------------------|

If purchasing cashier's checks for auction, please disclose location:

State: \_\_\_\_\_ County: \_\_\_\_\_

|                    |                |
|--------------------|----------------|
| Brokerage Company: | Broker's Name: |
|--------------------|----------------|

|                       |
|-----------------------|
| Special Instructions: |
|-----------------------|



QUEST TRUST  
C O M P A N Y

# General Direction of Investment

Quest Trust Company  
17171 Park Row, Suite 100  
Houston, TX 77084  
P: 800.320.5950  
F: 281.646.9701  
Transactions@QuestTrust.com

## E. FAIR MARKET VALUATIONS

**Updated Annual Valuation:** The Internal Revenue Service (IRS) requires that the value of all assets in my account must be updated annually at the end of each calendar year, including this asset I intend to purchase. To satisfy this requirement, please review the following options available to you:

I will obtain an independent qualified valuation and provide it to Quest Trust Company when requested.\*

I authorize Quest Trust Company to obtain a qualified valuation as outlined above. I understand and agree that the charge for this service will be the cost of the valuation plus \$50. \*\*

*\*By making this election, I agree to provide the prior year-end value of this investment by no later than May 1st of each year on a form provided by the Custodian, with substantiation attached to support the value provided.*

*\*\*Please note that QTC will, to the best of our abilities, attempt to obtain the annual valuation for this asset by utilizing the information you have provided on this form. However, if QTC is unable to collect the information, we will notify you and a fee will not be assessed. In addition, this authorization only covers annual fair market valuations. You are responsible for providing the valuation related to any taxable events (e.g. in-kind distribution or Roth conversion). **Please provide the contact information for the person who can best provide valuation information for this asset below.***

Contact Name for Investment (e.g. Managing Member, Trustee, or Operator)

Contact Role:

Mailing Address:

Phone Number:

Contact E-mail Address:

## F. DISQUALIFIED PERSONS (PARTIES IN INTEREST) STATEMENT

Please answer the following questions as it relates to these individuals: **you, your spouse, your children or other direct descendants or their spouses, or your parents or other direct ascendants.**

1. Are you purchasing this asset from any of the above mentioned individuals, either personally or through an entity?

Yes  No

2. Will any of the above mentioned individuals or any other disqualified person receive a personal gain or benefit as a result of the purchase of the asset related purchase?

Yes  No

If yes to any of the questions above, please explain: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## H. AUTHORIZATION

I confirm that I am directing Quest Trust Company (QTC), as Custodian of my account, 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 Direction of Investment. I understand that the Custodian does not sell or endorse any investment products, and that they are not affiliated in any way with any investment provider. I understand that the role of the Custodian is limited, and the Custodian's responsibilities do not include investment selection for my account. I acknowledge that the Custodian has not provided or assumed responsibility for any tax, legal, structuring or investment advice with respect to this investment, and I agree that the Custodian will not be liable for any loss that results from my decision to purchase this investment. I understand that the Custodian has not reviewed nor will review the merits, legitimacy, appropriateness or suitability of this investment for my account, 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 Security 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 as a result of serving as the Custodian for this investment, including, without limitation, claims, damages, liability, actions and losses asserted by me.

I understand that if this Direction of Investment and any accompanying documentation are insufficient, or if the Custodian deems it to be administratively infeasible to act as the Custodian for this investment, the Custodian may choose not to process this transaction. For instance, if the required information or documents are not received as required, or, if received, are unclear in the opinion of the Custodian; or, if there is insufficient Undirected Cash in my account to fully comply with my instructions to purchase the investment and to pay all fees. Again, the Custodian reserves the right to not process this transaction until proper documentation



**QUEST TRUST**  
C O M P A N Y

# General Direction of Investment

**Quest Trust Company**  
17171 Park Row, Suite 100  
Houston, TX 77084  
P: 800.320.5950  
F: 281.646.9701  
Transactions@QuestTrust.com

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 nor 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 that the Custodian does not make any determination of whether or not investments in my account generate UBTI.

I understand that with some types of accounts there are rules for Required Minimum Distributions (RMDs) from the account. If my account is now subject to the RMD rules, or will become subject to those RMD rules during the term of this investment, I represent the following: I have verified that this investment will provide income or distributions sufficient to cover each RMD; or as an alternative, I assure that there are other liquid assets in this account or in another account 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 agree to indemnify and hold harmless the Custodian and its respective officers, directors, shareholders and employees against any liability associated with making this investment, 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 that is prohibited by IRC §4975.

I represent that I have done my own due diligence on the investment. I understand that the Custodian does not make any attempt to evaluate the investment or the individuals involved with the investment. I understand that I am solely responsible for evaluating the investment and its potential for profitability.

If applicable, I hereby authorize the Custodian to execute the purchase of securities from time to time through the brokerage account at the Brokerage Company listed on page 1 of this Direction of Investment, upon my instruction or the instruction of my broker at the Brokerage Company, and I further authorize the Custodian to allow such broker to hold possession of such assets.

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

**AUTHORIZED BY:**

Account holder

Limited power of attorney

\_\_\_\_\_  
Signature (Required)

\_\_\_\_\_  
Date