

## Direction of Investment –Mutual Fund

### IMPORTANT INFORMATION

This form is to be completed by an Account Owner to purchase Publicly Traded Mutual Funds with their self-directed account. The Brokerage Add-On feature must be added to your account before placing an instruction to trade on your account. If you have not yet added the Brokerage Account feature to your account, please also complete the Brokerage Account Add-On Agreement form.

### Processing Options

Select an option below. If no option is selected, Directed IRA will process your request within our normal mutual fund and public stock processing time of 1-2 business days. I understand that if my account does not have sufficient funds, my transaction will not be processed. Please ensure that your account has adequate cash available, including the \$500 minimum cash balance, when determining purchase amounts.

Same-Day Service (\$75) – Must be received by 10am MST

### 1. Account Owner Information

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last Name: \_\_\_\_\_

Last 4 of SSN: \_\_\_\_\_ Date of Birth: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Directed IRA Account Number: \_\_\_\_\_ Account Type (Trad IRA, Roth IRA, etc.): \_\_\_\_\_

### 2. Mutual Fund Purchase (Buy)

I hereby instruct the purchase of the following.

Name of Mutual Fund: \_\_\_\_\_ Mutual Fund Symbol: \_\_\_\_\_

Purchase Amount \$ \_\_\_\_\_ Class (if applicable): \_\_\_\_\_

Dividend Selection (select one):  Reinvest Dividends (or)  Cash

Name of Mutual Fund: \_\_\_\_\_ Mutual Fund Symbol: \_\_\_\_\_

Purchase Amount \$ \_\_\_\_\_ Class (if applicable): \_\_\_\_\_

Dividend Selection (select one):  Reinvest Dividends (or)  Cash

\*If no selection is made as to dividends, dividends will be returned in cash to your account and not automatically reinvested.

### 3. Mutual Fund Liquidation (Sell)

I hereby instruct the liquidation of the following.

Name of Mutual Fund: \_\_\_\_\_ Mutual Fund Symbol: \_\_\_\_\_

Amount to Liquidate \$ \_\_\_\_\_ OR, Shares to Liquidate \_\_\_\_\_

Name of Mutual Fund: \_\_\_\_\_ Mutual Fund Symbol: \_\_\_\_\_

Amount to Liquidate \$ \_\_\_\_\_ OR, Shares to Liquidate \_\_\_\_\_

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#### 4. Acknowledgment & Signature

My account is self-directed and I, alone, am responsible for the selection, due diligence, management, review, and retention of all investments in my account. I agree that Directed Trust Company (Tradename, Directed IRA), the Custodian is not a "fiduciary" for my account, as the term is defined in the Internal Revenue Code, ERISA or any other applicable federal, state or local laws. I understand and acknowledge that by instructing Directed Trust Company to execute any investment documents on behalf of my account, any obligations, declarations, duties, responsibilities, or liabilities contained in such investment documents strictly pertain to me, as the account owner, and shall not apply to Directed Trust Company in any capacity, as Directed Trust Company is solely the passive, directed custodian for my account and acts only pursuant to my written instruction. I acknowledge and confirm that I have received, read and understand each of the disclosures for my account(s) and direction(s) of investment, and consent and agree to the terms and conditions contained therein.

By signing below, I hereby direct Directed Trust Company, in its passive capacity, to enact this transaction for my account by signing on behalf of my account where indicated in the investment documents and hereby release, indemnify, and agree to hold harmless and defend Directed Trust Company and its related entities in the event that this transaction violates any federal or state law or regulation, results in litigation, or otherwise results in disqualification, penalty, fine, or tax imposed upon me, my account, or Directed Trust Company.

Please note electronic signatures on the Direction of Investment form must include the electronic signature Certification page or Certification Stamp. If one is not included, we will not be able to process the Direction of Investment Form.

I further represent, understand, and agree to the following:

- I am not an officer, director, or owner of the investment entity I have authorized an investment with herein.
- The investment is not FDIC insured.
- The investment is not a deposit or other obligation of, or guaranteed by Directed Trust Company.
- The investment is subject to risk, including possible loss of principal invested.
- I understand that Custodian does NOT insure the investments made by my retirement account.

Directed Trust Company and its agents have NOT selected nor recommended any investment for me; and neither Directed Trust Company nor any employee of it has acted as a broker dealer or salesperson in completing any purchase or sale of an investment or a security from me.

The undersigned acknowledges, understands and agrees that this Direction of Investment and any other Direction of Investment of the undersigned is subject to all of the terms, conditions, representations, warranties and agreements contained in this Direction of Investment, the undersigned's Custodial Agreement and Disclosure Information and any other documents or disclosures provided to you by Directed Trust Company.



\_\_\_\_\_  
Account Owner Signature

\_\_\_\_\_  
Date

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**INVESTMENTS: NOT FDIC INSURED ▪ NO GUARANTEE ▪ MAY LOSE VALUE**

**Secure File Upload**

[www.directedira.com/secureupload](http://www.directedira.com/secureupload)

**Email Forms to:**

[trades@directedira.com](mailto:trades@directedira.com)

**Send Mail to:**

3033 N. Central Ave. Ste. 415  
Phoenix, AZ 85012

**Phone:** (602) 899-9396

**Fax:** (602) 899-9641

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Directed IRA is a tradename of Directed Trust Company, an Arizona Corporation