

Direction of Investment – Publicly Traded Stock and ETFs

IMPORTANT INFORMATION

This form is to be completed by an Account Owner to purchase Publicly Traded Stock or ETFs (NYSE, NASDAQ) 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 may not be processed.

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. Stock Purchase (Buy)

I hereby instruct the purchase of the following. All purchases are made at market price by Directed Trust Company's broker based on the number of shares you have instructed to purchase but are limited to the cash available in your account. Your account must have the cash available to make the purchase of shares indicated and failure to have the cash available will result in a cancelled trade. When indicating the shares below, please keep in mind there may be fluctuations in share price and that you must maintain your minimum cash balance of \$500. Orders placed that are seeking to use all cash available, after the \$500 cash balance, can fail if there is an increase in price before execution. Be sure to take the number of shares and your cash available into account when indicating the number of shares to buy. Dividends are returned to your account in cash.

Name of Stock: _____ Ticker: _____

Number of Shares to Buy: _____

Optional: Limit Order to _____ price per share. Order will not be executed unless the limit order is met.

Name of Stock: _____ Ticker: _____

Number of Shares to Buy: _____

Optional: Limit Order to _____ price per share. Order will not be executed unless the limit order is met.

3. Stock Liquidation (Sell)

I hereby instruct the liquidation of the following. All liquidations will be done at market price by Directed trust Company's broker based on the number of shares you have instructed to liquidate.

Name of Stock: _____ Ticker: _____

Number of Shares to Liquidate: _____

Name of Stock: _____ Ticker: _____

Number of Shares to Liquidate: _____

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 it’s 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

INVESTMENTS: NOT FDIC INSURED ■ NO GUARANTEE ■ MAY LOSE VALUE

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

www.directedira.com/secureupload

Email Forms to:

Trades@directedira.com

Send Mail to:

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Phoenix, AZ 85012

Phone: (602) 899-9396

Fax: (602) 899-9641

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