



All stock and mutual fund trade directions must be received by 12 PM CST, or 1 hour prior to market closing on shortened trading days, in order to be executed before close of market. All investment directions received after the cut-off time will be executed the next business day.

This form contains important disclosures about your duties and responsibilities with regard to holding a publicly traded asset within your self-directed IRA. To make an investment through a self-directed IRA, you must first establish a valid IRA and have cash available in the IRA. GoldStar Trust Company ("GoldStar") does not offer investment advice and does not buy or sell investment products. GoldStar is disqualified by the Internal Revenue Code from trading with an IRA for which it is the custodian. GoldStar is compensated through administrative fees and cash management fees. Please refer to the Fee Schedule or call GoldStar for any applicable fees regarding this investment.

### PART 1. GOLDSTAR ACCOUNT OWNER

Name (First/MI/Last) \_\_\_\_\_ Phone Number \_\_\_\_\_  
Address 1 \_\_\_\_\_ Email Address \_\_\_\_\_  
Address 2 \_\_\_\_\_ Account Number \_\_\_\_\_  
City/State/Zip \_\_\_\_\_ ☐ New Account Pending

### PART 2. REQUIRED DIRECTIONS FOR MUTUAL FUNDS

I authorize and direct GoldStar to purchase, or liquidate (sell) mutual funds (as indicated below).

☐ Purchase ☐ Liquidate (sell)

Mutual Fund Name \_\_\_\_\_ Class \_\_\_\_\_ Symbol \_\_\_\_\_  
Amount \$ \_\_\_\_\_ OR Shares \_\_\_\_\_

- If this is your first mutual fund purchase through GoldStar, the process of establishing a fund account may take up to 10 business days.
- If you have previously invested in mutual funds, but are choosing a new fund to invest in, the process may take up to 5 business days.

### PART 3. REQUIRED DIRECTIONS FOR STOCK TRADES

I authorize and direct GoldStar to purchase, or liquidate (sell) stocks (as indicated below).

☐ Purchase ☐ Liquidate (sell)

Security Name \_\_\_\_\_ Symbol \_\_\_\_\_  
Number of Shares to Buy/Sell \_\_\_\_\_

- **All security orders are placed as Market Orders.** A Market Order is used to buy or sell a security promptly at the best available price. A Market Order typically increases the likelihood of a fill and the speed of execution, yet, the last traded price is not necessarily the price at which the order will be executed. In fast-moving or illiquid markets, the price at which an order is executed could be significantly lower or higher than the last traded price, especially during periods of high market volatility for securities with volatile trading prices. GoldStar will place your order up to the dollar amount listed on this form, rounded down to the nearest possible price.

\*\*GoldStar Trust Company does not accept Limit Orders, Stop Orders, etc.



#### PART 4. SIGNATURE

I direct GoldStar Trust Company ("GoldStar") to execute the purchase of the above-named Investment for the benefit of my self-directed IRA. Fax, mail or e-mail the signed original of this document to GoldStar and keep a copy for your records.

By signing I hereby acknowledge that I have read and agree with the information provided on the following page in the acknowledgment section.

X \_\_\_\_\_

Signature of Account Holder

\_\_\_\_\_ Date (mm/dd/yyyy)

**THIS FORM EXPIRES 60 DAYS AFTER THE SIGNATURE DATE AND IS VALID ONLY ONCE.**

#### PART 5. ACKNOWLEDGMENTS

I hereby make the following acknowledgments, agreements and representations:

- I understand that neither GoldStar nor any employee or agent of GoldStar has selected or recommended any investment for me. I acknowledge that GoldStar does not offer any investment advice, nor does it endorse any investment, investment product or investment strategy; and GoldStar does not endorse any financial advisor, representative, broker or other party involved with an investment selected by me. I acknowledge that I have sole responsibility for directing the investment of my account.
- I understand that, if my Representative or any other financial representative suggested that I retain the services of GoldStar as custodian for the Investment made through my IRA, that such person is not in any way an agent, employee, representative, or affiliate of GoldStar. I acknowledge that GoldStar is not responsible for and is not bound by any representations, warranties, statements or agreements made by my Representative or any financial representative beyond the terms and provisions contained in my GoldStar Custodial Account Agreement and other GoldStar forms.
- I understand that if this Investment Direction and any accompanying documentation are not received as required, or, if received, are unclear in the opinion of GoldStar, 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, GoldStar may not process this transaction until proper documentation and/or clarification is received, and GoldStar will have no liability for loss of income or appreciation.
- The undersigned consents to the fee schedule of GoldStar as in effect, as may be modified from time to time. I understand transactions with insufficient funds will not be processed until sufficient funds are received. If fees are being deducted from my account, the full amount of the transaction plus fees must be available before the transaction can be processed. I understand that GoldStar shall be under no obligation whatsoever to extend credit to my IRA or otherwise disburse payment beyond the cash balance of my IRA for any payment or assessment related to the Investment.
- I understand that GoldStar shall use reasonable efforts to acquire or sell investments in accordance with the directions of the undersigned within a reasonable period of time after GoldStar has received and Investment Direction and GoldStar shall make reasonable efforts to notify the undersigned if GoldStar is unable or unwilling to comply with an Investment Direction and GoldStar shall make reasonable efforts to notify the undersigned if GoldStar is unable or unwilling to comply with an Investment Direction. GoldStar shall, subject to the foregoing, remit funds as directed, but has no responsibility to verify or assure that such funds have been invested to purchase or acquire the asset selected by me.
- I understand that GoldStar is acting solely as a passive custodian to hold Retirement Account assets and in no other capacity, an affiliate may receive a commission in connection with the unsolicited purchase or sale of a publicly-traded security. GoldStar has no responsibility to question any investment directions given by me or any appointed financial representative.

The foregoing representations are true and accurate as of the date hereof and shall be true and accurate as of the date of delivery of the funds to the Investment and shall survive such delivery. If in any respect such representations and warranties shall not be true and accurate prior to delivery of the funds to the Investment, I shall give written notice of such fact to GoldStar specifying which representations are not true and accurate and the reasons therefore.

I acknowledge that GoldStar will not exercise any discretion, assume any fiduciary responsibility, perform a due diligence review, or undertake any investigation as to the prudence, viability, merits or suitability of the Investment. I acknowledge my understanding that GoldStar is not a "fiduciary", or a person entitled to exercise any discretionary authority with respect to the Investment, as those terms and concepts are defined in the Internal Revenue Code, ERISA, or other applicable federal, state, or local laws, and I agree to hold GoldStar harmless from any liability for any loss, damage, injury, or expense (including reasonable attorney's fees) which may occur as a result of the execution of this Investment Direction.