PUBLIC INVESTMENT CHECKLIST

Document checklist and a step-by-step guide for public investments

DOCUMENT CHECKLIST

Below are the documents required to direct your STRATA Trust Company ("STRATA") IRA to invest in public investments. For STRATA required forms, look for our self-service resource SERVICENOW, which enables fast form submission by letting you complete, sign, *upload supporting documentation,* and securely electronically transmit your information to STRATA in just a few minutes. Click the icon anywhere you see the option available.

BROKERAGE/CLEARING FIRMS

» TRADESTATION ACCOUNT HOLDERS

- ☐ IRA-Owned TradeStation Account Application
- ☐ Investment Direction TradeStation

» OTHER BROKERAGE FIRMS

- ☐ Non-IRA Brokerage Account Application
- ☐ Investment Direction Public Investments

PUBLIC LP, LLC, OR REIT

- ☐ Investment Application
- ☐ Investment Direction Public Investments

OVERVIEW

A self-directed IRA (SDIRA) that holds public investments presents an exciting option to diversify your retirement savings. To ensure a smooth SDIRA purchase, it's important to have a solid understanding of the process.

PUBLIC INVESTMENT CUSTODY PROCESS

This timeline is approximate, based on if the required documents are received in good order. If transferring from another custodian or rolling over an IRA asset from another institution, STRATA is dependent on the existing service providers' transaction process times.

PUBLIC INVESTMENT ESSENTIALS

☑ **Investment Registration** — The investment registration must reflect the name of the IRA, *STRATA Trust Company FBO [Client Name] IRA*.

☑ **Before Account Opening** — For accountholders wanting to trade securities, please be aware that not all brokerage firms allow third-party registration. It is important to check with your broker *prior* to establishing a new account or providing investment direction instructions.

☑ **Fraud Prevention** — As a safeguard against potential fraud, STRATA does not disclose its verbal confirmation policies. A STRATA team member will reach out via the information of record if verbal confirmation is required.

STEP-BY-STEP GUIDE

☐ Step 1 — OPEN YOUR IRA

Getting started is easy. If you have not yet established your STRATA IRA, open your account in just a few minutes online. You will be prompted to select the type of IRA you will be self-directing, upload supporting documentation, and fund your account (Step 2). Per IRS regulations, if you are transferring or rolling over assets from another IRA service provider, you must choose the same IRA type (for example, Roth to Roth, Traditional to Traditional). Ready to get started? Open an Account.

☐ Step 2 — FUND YOUR IRA

Fund your IRA by direct transfer, rollover, or annual contribution. Depending on the method selected, STRATA may be dependent on other financial institutions' processing times, which can be 10-14 business days (up to 30 days for rollovers). If you are opening a new STRATA IRA and skipped the funding option in Step 1 or have already established an IRA with STRATA, click here to fund your IRA. *It is recommended to start the funding process as soon as possible to avoid processing delays.* Once STRATA receives the funds, it will take 2-3 business days to reflect the funds in your IRA.

- Make sure to include sufficient funds to cover any related processing fees. Click here to view STRATA's IRA Fee Schedule.

☐ Step 3 — DIRECT YOUR IRA

Once your STRATA IRA is open and funded, then you are ready to submit your documentation and provide direction instructions. Since the IRA will own the investment for the benefit of (FBO) the accountholder, the investment registration must be registered in the custodian's name.

BROKERAGE/CLEARING FIRMS

Your brokerage account must be open and funded by the firm of your choice prior to sending investment instructions to STRATA. Not all brokerage firms allow third-party registration; it is important to check with your broker prior to instructing STRATA to establish an account to trade securities.

BROKERAGE ACCOUNT REGISTRATION

STRATA Trust Company, Custodian
FBO (Accountholder Name) IRA (Account #)
P.O. Box 23149, Waco, TX 76702
*Tax ID: 26-2637994

*STRATA's Tax ID should be used in place of the investor's SSN to retain the tax-exempt status for the IRA investment.

» TRADESTATION ACCOUNT HOLDERS

TradeStation Securities Inc. offers STRATA IRA accountholders and their advisors the convenience of trading public stock, mutual funds, ETFs, and much more. You can learn more here.

☐ **IRA-Owned TradeStation Account:** If TradeStation is the brokerage of choice, then once you have established an account with them via TradeStation Account Application, you are ready to submit your completed application along with STRATA's Investment Direction TradeStation form.

» OTHER BROKERAGE FIRMS

☐ **IRA-Owned Brokerage Account Application:** Once you have established your brokerage account with the firm of your choice, then you are ready to submit your completed application along with STRATA's Investment Direction Public Investment form.

PUBLIC LP, LLC, OR REIT

☐ **Investment Application:** Each public investment will require you to submit their completed account agreement when investing within their platform. You will need to submit a copy of the agreement along with your investment direction instructions.

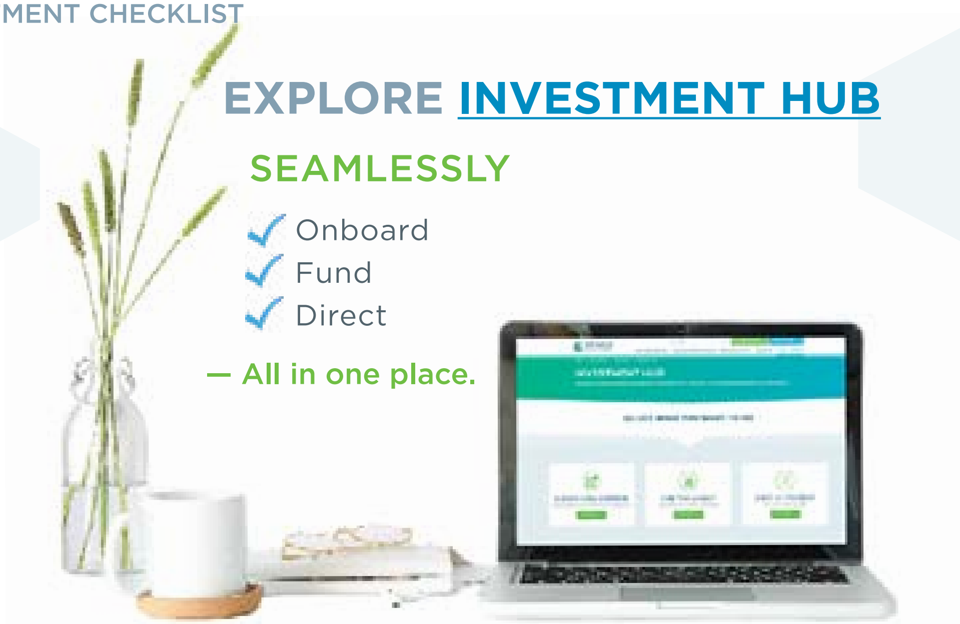
☐ **Investment Direction Public Investment:** Complete and sign STRATA's Investment Direction Public Investment form which authorizes STRATA to send funds from your IRA. You will be prompted to upload supporting documentation with this form, such as your investment application.

EXPLORE INVESTMENT HUB

SEAMLESSLY

- ✓ Onboard
- ✓ Fund
- ✓ Direct

— All in one place.



IMPORTANT REMINDERS MANAGING YOUR INVESTMENT

Annual Reporting

Custodians like STRATA are required to report the fair market value (FMV) of your IRA-held assets each year. STRATA typically relies on the investment sponsor/issuer to provide this. However, if the FMV is reported through a fund administrator, transfer agent, or other third party, STRATA will either need access to the portal or may require your assistance to obtain the FMV.

Navigate Your Account Access Portal with Ease

Visit STRATA's Self-Directed IRA Knowledge Center to learn how to set up your online account, find important documents within your account, reset your password, and much more.

Enroll in Hassle-Free Payments

Make the payment of your IRA fees easy by enrolling in AutoPay. Simply submit your credit or bank card information, and your routine fees, including transaction fees, are on cruise control. Fill out the Fee Payment Authorization form and select *Option 1* for AutoPay.

Explore Client Support

Your STRATA Client Services team provides online support through our website and offers a library of self-serve resources; visit us at www.StrataTrust.com/Client-Support.