



# Private Placement Instruction Letter

Date Stamp  
(Office use only)

This is a fillable PDF form. To complete the form, click in an area and type.

**Account Owner Name:** \_\_\_\_\_  
First, Middle, Last

**Vantage Account Number:** \_\_\_\_\_

**Name of Entity for Investment:** \_\_\_\_\_

**Name of Administrator or Recordkeeper:** Vantage Retirement Plans, LLC

Vantage Retirement Plans, L.L.C. (“Administrator”) performs recordkeeping and administration duties in connection with Account Owner’s self-directed retirement account (the “Account”) on behalf of the custodian (“Custodian”) as set forth in Account Owner’s account application (the “Account Application”). The terms and conditions of this document are incorporated into the Account Application, and the terms and conditions of the Account Application are incorporated herein.

Administrator has received instructions from the above referenced Account Owner concerning an investment in the above named entity (the “Entity”) through his or her Account. The account to be invested is referred to in this document as the “Account”, regardless of whether it is a retirement account under Internal Revenue Code (the “IRC”) §401, §408 or §408A, a Coverdell Education Savings Account under IRC §530, or a Health Savings Account under IRC §223. The following instructions must be followed to ensure compliance with both IRS requirements and Administrator policy.

**1) All vestings to read: Vantage FBO:** \_\_\_\_\_ # \_\_\_\_\_  
First and Last Name Vantage Account Number

**2) Administrator requires the employer identification number (the E.I.N.) for the Entity. Please provide us this information for our records prior to our funding this investment.**

Do not use the Account Owner’s personal social security number with respect to this investment for any purpose.  
If the Account is an investor to which a K-1 or similar tax document will be issued, please use the following E.I.N.: **20-6350474**  
If the Account is a 100% owner of the Entity, the Entity must apply for its own E.I.N. It is not permitted under the Administrator policy to use the E.I.N. listed above for any purpose other than the issuance of a K-1 or similar tax document to the Account.

**3) Contact information and the correct mailing address for this investment should be listed as follows in your records:**

**Attn:** **Office Name:** Vantage Retirement Plans, LLC  
**Address:** 20860 N. Tatum Blvd., Ste 240  
**City, State, Zip:** Phoenix, AZ 85050  
**Phone:** 480.306.8404 **Fax:** 480.306.8408

All notices concerning the investment in the Entity should be sent to Administrator at the above address, with a copy to the Account Owner. Any questions pertaining to the Account should be referred to Administrator.

**4) Original stock certificates, membership certificates, or other proof of ownership showing the proper vesting must be sent to and held by Administrator listed in paragraph 3 on behalf of the Custodian and the Account.**

**5) Because of federal privacy laws, Administrator is not able to answer third party inquiries about the Account unless the Account Owner has filed with Administrator an original Interested Party Designation or Limited Power of Attorney, with the signature(s) either notarized or Medallion Guaranteed, giving the person making the inquiry authority to obtain information on the Account.**

**6) Administrator must be provided with a fair market value of the Account’s interest in the Entity by January 15th of each year, in a form acceptable to Administrator. Administrator, acting on behalf of the Custodian, is required to send the Account Owner a year end account statement by January 31 each year showing the value as of December 31 of the prior year. This valuation information is also reported to the IRS on Form 5498. The fair market value information is needed in order to complete that reporting.**

**7) All payments, income, distributions, or payoffs for this investment must be sent to Administrator for the benefit of the Account. Under the Internal Revenue Code, it is never acceptable to send funds directly to the Account Owner (or the Account Owner’s nominee or designee).**



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- 8)** As the owner of the investment on behalf of the Account, Administrator (who is acting on behalf of Custodian in this respect) must be notified promptly of any change in address, telephone number, or company status (such as bankruptcy filings, regulatory agency investigations or litigation).
- 9)** If the Account Owner dies, requests a distribution of the asset, converts the IRA to a Roth IRA, obtains a divorce in which the Account is awarded to the Account Owner's former spouse, or changes the custodian or administrator of the Account, it may be necessary to change the ownership and address listed as the investor in the Entity. In any of these events, Administrator, the Account Owner, or the successor to a deceased Account Owner in the case of death, will provide written notice of any such change. You will be required to change your records to reflect the new information at that time.
- 10)** In the event that future capital contributions to the Entity are required or desired (and provided the Account Owner determines that the capital call is not a prohibited transaction under Internal Revenue Code §4975 and there are sufficient funds in the Account), all funds must come from the Account. The Account Owner may not advance funds on behalf of the Account.
- 11)** The Account Owner may not personally guarantee on behalf of the Account any indebtedness of the Entity to a third party nor may the Account Owner guarantee any indebtedness of the Account to the Entity.
- 12)** If the Entity will operate a business or own debt financed property and is a pass through Entity for federal income tax purposes, the Account may owe unrelated business income tax (UBIT) on any profits from the investment. Neither Custodian nor Administrator will prepare or file IRS Form 990T or any similar state tax filing on behalf of the Account. The Account Owner is responsible for causing these forms to be prepared and filed. Any taxes due must come from funds belonging to the Account and not from the Account Owner.
- 13)** If this investment is for accredited investors only, the Account Owner, in his or her capacity as the beneficiary of the Account, must sign any required accredited investor certifications.
- 14)** You understand and agree that if the Plan Asset Regulations issued by the U.S. Department of Labor (29 C.F.R § 2510.3-101) apply, the Entity is disregarded for purposes of the Prohibited Transaction rules of IRC §4975. In that case, the underlying assets of the Entity are considered to be the assets in which your Account is investing, and each of the statements above regarding the Entity must be true with regard to each of the assets that the Entity invests in. You represent that you either understand the Plan Asset Regulations and Interpretive Bulletin 75-2 or that you have sought competent legal counsel regarding the Plan Asset Regulations and Interpretive Bulletin 75-2 (29 C.F.R § 209.75-2) and their potential application to the Entity, prior to making your investment decision.
- 15)** Neither Custodian nor Administrator, or any agent, will review or approve any subscription agreement, by-laws, operating agreement, partnership agreement, or trust agreement, as applicable. The Account Owner is responsible to confirm the Entity is not formed and will not operate in a way that violates the prohibited transaction rules of Internal Revenue Code §4975.

If you have any questions regarding these instructions, contact Administrator as noted in paragraph 3. Please be aware that neither Custodian, nor Administrator, or any agent, is able to provide tax, legal, or investment advice on this or any other issue.

I acknowledge receipt of the Private Placement Instruction Letter and agree to provide to Administrator or the required documents and information.  
**PLEASE SIGN AND MAIL THIS FORM TO THE ADMINISTRATOR'S OFFICE.**

**Account Owner's Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_