



Standard Investment Authorization

IMPORTANT INFORMATION

This form authorizes Pacific Premier Trust to initiate transactions for annuities, brokerage or managed accounts, Pacific Premier Bank certificates of deposit, and mutual funds (only accepted by mail; please do not fax this form for a mutual fund trade; you may also trade mutual funds online or by calling Client Services). Please be advised that all Mutual Funds are transacted and held within an Omnibus trading platform. Publicly traded investments, such as stock and bond trades, can be transacted by calling the Equity Trading Line 855.453.4961. Please do not use this form to authorize investments in secondary market transactions or exchange traded assets. Special forms/procedures for these investments are available on our website at PacificPremierTrust.com. By signing this form, you hereby authorize Pacific Premier Trust to process the following transaction(s):

ACCOUNT OWNER/PLAN NAME: ACCOUNT NUMBER:

Table with 7 columns: PURCHASES (BUY), INVESTMENT NAME, NEW OR EXISTING, TYPE OF INVESTMENT\*, CLASS OR SERIES, TICKER OR CUSIP (REQUIRED), AMOUNT\*\*. Includes dollar signs in the amount column.

\*Type of Investment: (MF) Mutual Fund, (AN) Annuity (fixed or variable), (CD) Certificate of Deposit - PPBI Only, (BA) Brokerage Account, (MA) Managed Account, (PPBI BA) Pacific Premier Bank Business Account.

\*\*The dollar amount must meet the product sponsor's purchase minimum or \$25, whichever is greater.

Table with 7 columns: LIQUIDATIONS (SELL), INVESTMENT NAME, SYSTEMATIC WITHDRAWAL (ANNUITIES ONLY), GROSS OR NET, CLASS OR SERIES, TICKER OR CUSIP (REQUIRED), SHARES OR DOLLARS.

Table with 5 columns: EXCHANGES, INVESTMENT NAME, CLASS OR SERIES, TICKER OR CUSIP (REQUIRED), SHARES OR DOLLARS. Includes FROM: and TO: rows.

NOTE: Mutual fund exchanges must be within the same fund family and share class. Otherwise, the exchange will be processed as a liquidation and purchase.

ADDITIONAL TRADING INSTRUCTIONS AND SYSTEMATIC WITHDRAWAL INSTRUCTIONS

See page 2 of this form for information on additional trading instructions to Pacific Premier Trust for certain investment types and for instructions for systematic withdrawals. Wiring instructions must be provided for a brokerage account purchase. See instructions below.

Special Instructions:

Empty rectangular box for special instructions.

By signing below, I have reviewed, understand, and agree to the disclosures listed below.

Signature line with fields for AUTHORIZED SIGNATURE, DATE, and PHONE.

Note that mutual fund instructions cannot be accepted by fax. All other requests can be faxed to 303.614.7098 (unless original documents are required by the investment sponsor.)



## 1. ADDITIONAL TRADING INSTRUCTIONS

Please indicate any trading instructions such as the overnight or wire service for an additional fee, etc. Pacific Premier Trust has a minimum of \$25 for check amount or the investment sponsor's required minimum for subsequent purchases. Please designate for which transaction (if not all) the special instructions apply.

## 2. MUTUAL FUNDS

Pacific Premier Trust generally will obtain and complete the fund application (if applicable) for initial fund purchases. All Mutual Funds are transacted and held in an Omnibus Trading platform. Unless otherwise indicated, dividends will be reinvested. Faxes are not accepted for mutual fund trades. Systematic trades cannot be established or facilitated on mutual funds.

## 3. CERTIFICATES OF DEPOSIT

Unless Pacific Premier Trust receives written instructions from the Account Owner regarding the renewal or liquidation of the Certificate of Deposit upon maturity, the Certificate of Deposit will be renewed or liquidated according to the terms applicable to the investment provided by the bank or savings and loan. Pacific Premier Trust does not allow Certificates of Deposit issued by any financial institution domiciled outside of the United States.

## 4. ANNUITIES

Fixed, and variable annuities will be purchased by Pacific Premier Trust upon receipt of the Investment Instructions form and application completed by the Account Owner or Account Owner's designated agent. Pacific Premier Trust should be recorded as both the owner and beneficiary and the Account Owners should be named as the annuitant. Pacific Premier Trust requires the account owner to countersign any page requesting an owner signature.

For systematic withdrawals (liquidations), please indicate the amount of the withdrawal and frequency the withdrawal is to occur (monthly, quarterly, semi-annually, or annually). If a specific day of the month is indicated, Pacific Premier Trust will request the withdrawal be processed on that date by the Annuity Company. Please be aware that Annuity Companies may have a specific day during the month on which they process systematic withdrawals that may differ from the requested processing date.

## 5. CONFIRMATIONS DELIVERY POLICY

The Account Owner agrees to receive trade confirmations in the form of periodic statements which includes trading transactions. The Account Owner further understands that he/she may receive a broker/dealer confirmation or a written notification of a particular transaction at no additional cost.

## 6. ACKNOWLEDGEMENT AND SIGNATURE

1. I understand, acknowledge and agree that I am responsible, and Pacific Premier Trust and its related entities are not responsible, for selecting and reviewing the above investment and for determining the suitability, nature, value, risk, safety and merits of the investment that I authorize and direct Pacific Premier Trust to make for my Pacific Premier Trust Account ("Account").

2. I verify that I have received and read all pertinent information relating to the investment(s) named herein (i.e. prospectus, private placement memorandum, purchase agreement, subscription documents, etc.). I verify that (i) I am capable of evaluating the investment characteristics and risks of the investment independently, or have relied on an investment professional with knowledge and experience related to investments of the type described above; and (ii) I am not relying on the Custodian for any advice or recommendation in evaluating the investment. I also verify that I agree to be bound by the terms of the Custodial Account Agreement, which I agreed to together with Pacific Premier Bank, through its division, Pacific Premier Trust, as the Custodian of record. I acknowledge that the terms of the Custodial Agreement are incorporated herein by reference, except that where the terms of this Standard Investment Authorization conflict with the terms of the Custodial Agreement, the terms of this Investment Authorization for Held Away Accounts shall control.
3. I understand that if this form is not complete, it may be rejected.
4. I understand that Pacific Premier Trust and its related entities are not related to or affiliated with the management or selling agent(s) of the investment(s) purchased for my Account. I acknowledge that Pacific Premier Trust has not reviewed, recommended or commented on the investment merits, risks, suitability or management of the asset(s) I have selected and I authorize Pacific Premier Trust to process this transaction. I also understand and agree that Pacific Premier Trust and its related entities will not be responsible to take any action, or have any other obligation or liability, should the investment noted herein become subject to default, including fraud, insolvency, bankruptcy, or other court order or legal process.
5. I have consulted with my tax advisor concerning possible tax implications, and agree that such implications (or required tax filings) are my responsibility and any payments I calculate will be deducted from my retirement plan.
6. I acknowledge that I have received, understand, and agree to Pacific Premier Trust's Valuation Reporting Policy as outlined in the Custodial Agreement. I understand that Pacific Premier Trust must receive annual valuations from the investment sponsor or the investment may be distributed to me at the last reported value.
7. **Prohibited Transactions.** I represent that the above investment is not a prohibited transaction, as defined in the Internal Revenue Code Section 4975. If I, a family member or another disqualified person am/is an officer of, or has an ownership interest in the entity in which I am investing, I represent that I have consulted my tax advisor prior to submitting my investment instructions.
8. I acknowledge that non-deposit investment products are not insured by the FDIC, are not obligations of or guaranteed by Pacific Premier Trust and are subject to risk, including the possible loss of principal.
9. I understand, acknowledge and agree that any dispute regarding this investment shall be handled pursuant to the terms of the Custodial Agreement. I understand that the prevailing party shall be entitled to recover all legal fees, reasonable costs and expenses and that these shall be in addition to any award of damage or any other relief to which the prevailing party is entitled.
10. **I agree to release, indemnify, defend, and hold Pacific Premier Trust and its related entities harmless from any claims arising out of processing this investment authorization including any damages, fees (including legal fees), costs or expenses arising therefrom.**

Pacific Premier Trust performs the duties of an independent custodian of assets for self-directed individual and business retirement accounts and does not provide investment advice, sell investments or offer any tax or legal advice. Clients or potential clients are advised to perform their own due diligence in choosing any investment opportunity as well as selecting any professional to assist them with an investment opportunity.

**NON-DEPOSIT INVESTMENT PRODUCTS ARE NOT INSURED BY THE FDIC; ARE NOT DEPOSITS OR OTHER OBLIGATIONS OF, OR GUARANTEED BY, THE BANK OR ANY OF ITS DIVISIONS; AND ARE SUBJECT TO INVESTMENT RISKS, INCLUDING POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

Upload forms to:  
[PacificPremierTrust.com/upload](https://PacificPremierTrust.com/upload)

Fax to: 303.614.7098

Send mail to:  
Pacific Premier Trust  
Processing Center  
P.O. BOX 981012  
Boston, MA 02298

For express deliveries:  
FIS-Remittance Processing  
Loading Dock #2  
Attn: Pacific Premier Trust  
10 Dan Road  
Canton, MA 02021

Questions?  
Call: 800.962.4238

