



# TAX CERTIFICATE INVESTMENT AUTHORIZATION

All tax certificate investments are subject to an administrative review by PENSCO Trust Company (PENSCO). Please provide the application for purchase if applicable.

Account Owner Name: \_\_\_\_\_

Account Number: \_\_\_\_\_

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### FUNDING INSTRUCTIONS

I authorize and direct PENSCO Trust Company to: *(check one)*

**PURCHASE**

County: \_\_\_\_\_

Investment Amount \$: \_\_\_\_\_

Auction Date S/B: \_\_\_\_\_

Payee Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State/Province: \_\_\_\_\_

Country: \_\_\_\_\_ Postal Code: \_\_\_\_\_

**SELL**

Purchaser: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State/Province: \_\_\_\_\_

Country: \_\_\_\_\_ Postal Code: \_\_\_\_\_

**TRANSFER (Complete and submit the Transfer/Rollover Request from)**

Present Trustee/Custodian : \_\_\_\_\_

Phone Number: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State/Province: \_\_\_\_\_

Country: \_\_\_\_\_ Postal Code: \_\_\_\_\_

*(continued)*

**INVESTMENT PRODUCTS: NOT FDIC INSURED • NO BANK GUARANTEE • MAY LOSE VALUE**

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**FUNDING INSTRUCTIONS CONTINUED** (select one below) Check

Payee Name: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State/Province: \_\_\_\_\_

Country: \_\_\_\_\_ Postal Code: \_\_\_\_\_

Wire (Applicable fees will be assessed to your account.)

Please write or type wire instructions below. Submitting incomplete information or attaching instructions separately will delay funding, as additional verification will be needed.

Bank Name: \_\_\_\_\_

ABA Number: \_\_\_\_\_

Bank Account Name: \_\_\_\_\_

Bank Account Number: \_\_\_\_\_

RefNumber: \_\_\_\_\_

**Document Delivery Instructions (Select one below)** Regular Mail Overnight (charge my PENSICO Trust Company Account) Overnight (use pre-addressed air bill, included) Overnight (send via 3rd party billing) Account # \_\_\_\_\_ Fed Ex UPS

\*\*If no box is checked the default will be to overnight at the client's expense. Please refer to the fee schedule for details\*\*

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**ADMINISTRATIVE INFORMATION****The original tax certificate should be issued to "PENSICO Trust Company Custodian FBO**\_\_\_\_\_ **IRA"**

("Retirement Plan" may be substituted for IRA where applicable.)

**Original tax certificate should be forwarded to PENSICO Trust Company after the investment is funded. A special services fee may apply if tax certificate is not received.**

*The Account Owner is responsible for obtaining copies of the executed documents for their records and review from the closing agent. If the originals are to be held by a third party, copies should be provided to PENSICO Trust Company.*

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**ACKNOWLEDGEMENT AND SIGNATURE**

1. I understand that I am responsible, and PENSICO 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 PENSICO to make for my Account.
2. I understand that PENSICO and its related entities are not related to or affiliated with the management or selling agent(s) of the investment(s) that I have directed PENSICO to purchase for my account. I acknowledge that PENSICO has not reviewed, recommended or commented on the investment merits, risks, suitability or management of the asset(s) I have selected and I authorize PENSICO to process this transaction. I therefore agree to release, indemnify, defend, and hold PENSICO and its related entities harmless from any claims arising out of making such investment. I also understand and agree that PENSICO and its related entities will not be responsible to take any action should the investment noted herein become subject to default, including fraud, insolvency, bankruptcy, or other court order or legal process.
3. I agree that any dispute regarding this investment shall be submitted to binding arbitration pursuant to the Commercial Rules of the American Arbitration Association and 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.

4. I have consulted my own attorney and hereby represent that PENSCO may hold title to this tax lien certificate or its collateral, where applicable. I hereby represent to PENSCO that I understand the risks involved with this investment, specifically, that there may be liability above and beyond the amount of the investment in the collateral property (example: ad valorem property taxes on the property or liability arising under Environment Laws). The losses will include any losses caused by, or arising out of, the presence, on or about the Property, of any Hazardous Substances, or any person or entity complying or failing to comply with any Environment Law. The term "Environmental Law" means any law, rule, regulation, or ordinance relating to protection of the environment or human health. The term "Hazardous Substance" means any substance defined as hazardous or toxic, or otherwise regulated by any Environmental Law.
5. I represent that the above investment is not a prohibited transaction, as defined in the Internal Revenue Code and Department of Labor regulations.
6. I acknowledge that this investment is not insured by the FDIC, is not an obligation of or guaranteed by PENSCO and is subject to risk, including the possible loss of principal.
7. I agree that this Tax Lien Certificate Investment Authorization is further subject to all the terms and conditions of the Custodial Agreement.



\_\_\_\_\_

Account Owner Signature Date

Phone Number: \_\_\_\_\_ Email: \_\_\_\_\_

**INVESTMENT PRODUCTS: NOT FDIC INSURED • NO BANK GUARANTEE • MAY LOSE VALUE**

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| <b>Upload forms to:</b><br><a href="http://www.pensco.com/upload">www.pensco.com/upload</a> | <b>Send mail to:</b><br>PENSCO<br>P.O. Box 173859<br>Denver, CO 80217-3859 | <b>For express deliveries:</b><br>PENSCO<br>1560 Broadway, Suite 400<br>Denver, CO 80202-3331 | <b>Questions?</b><br>Call 1-800-962-4238 |
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