



SOLO(K) 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: _____ Amount \$: _____

If held across multiple Solo(K) sub-accounts:

Account Number: _____ Amount \$: _____

Account Number: _____ Amount \$: _____

Account Number: _____ Amount \$: _____

FUNDING INSTRUCTIONS

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

PURCHASE

County: _____

Total 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

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

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: _____

Ref Number: _____

Document Delivery Instructions (Select one below) Regular Mail Overnight (charge my PENSICO 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

ADMINISTRATIVE INFORMATION

As Account Owner, the original tax certificate should be issued to "PENSICO Trust Company Custodian FBO

_____ (plan name) FBO _____ (client name), Solo(K)"

Original tax certificate should be forwarded to PENSICO 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.

ACKNOWLEDGMENT 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 PENSICO may hold title to this tax lien certificate or its collateral, where

applicable. I hereby represent to PENSICO 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 PENSICO 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: _____

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Upload forms to:
www.pensico.com/upload

Send mail to:
PENSICO
P.O. Box 173859
Denver, CO 80217-3859

For express deliveries:
PENSICO
1560 Broadway, Suite 400
Denver, CO 80202-3331

Questions?
Call 1-800-962-4238

Fax to: 303-614-7036