



Private equity pre-investment checklist

✓ Note that IRAs may only invest in C Corps and Solo(k)s may invest in S or C Corps

✓ Gather the required documents (see below).

All documents should reflect the title or owner to be PENSCO Trust Company Custodian FBO (Your name), IRA ____% (indicating the % of ownership).

Required Documents

Documents required by PENSCO	Source of documents	
	PENSCO	3rd party
For all private equity investments:		
Private equity investment authorization form (requires sponsor countersign)	x	x
Private equity investment notification form (if not previously reviewed or accepted by PENSCO)	x	
Certificate of Good Standing (or Certification of Registration)		x
In addition:		
For corporate stock:		
Certification of incorporation		x
Articles of incorporation		x
Offering memorandum		x
Subscription agreement, stock purchase agreement		x
Bylaws		x
For a limited liability company (LLC):		
Certification of organization/articles of organization		x
Operating agreement		x
Subscription agreement (if applicable)		x
Offering memorandum		x

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For a limited partnership (LP):		
Certification of partnership		x
Articles of organization		x
Limited partnership agreement		x
Subscription agreement (if applicable)		x
Offering memorandum		x
For REITs and hedge funds		
Offering materials		x
Subscription/enrollment agreement		x
For offshore Investments		
Certificate of Good Standing		x
Standard company documents available (can be many variations of above)		x

x = source of document or form.

You can find PENSCO forms by going to www.pensco.com/forms or give us a call and we can point you in the right direction: 1-866-818-4472