Clear Form

Mainstar Trust

ASSET INFORMATION WORKSHEET
For Alternative Assets

Forward To: 214 West 9th Street
PO Box 420
Onaga, KS 66521-0420
P: 800.521.9897
F: 913.901.4190
assets@mainstartrust.com

Asset Name:		**Share Class:**	
Current Value Per Unit/Share: (NAV or Offering Price)		**Effective Date of Valuation:**	
CUSIP or SYMBOL: (if applicable)		**Organized In The State Of:**	

Type of Asset

☐ Limited Liability Company ☐ Limited Partnership ☐ Private Stock ☐ Real Estate Investment Trust ☐ "S" Corporation

☐ Other:_____

The role of Mainstar Trust as custodian of self-directed accounts is nondiscretionary and/or administrative in nature. The Accountholder or his/her authorized representative must direct all investment transactions and choose the investment(s) for the account. Mainstar Trust has no responsibility or involvement in selecting or evaluating any investment. It neither endorses nor recommends investment in any asset and does not provide any legal, tax, investment or any other advice with respect to any investment and Issuer agrees to make no representation to the contrary. Issuer further acknowledges that Mainstar Trust acceptance of an asset indicates only that the asset meets the requirements of Mainstar Trust's existing system and procedures and in no way can be construed to be either an endorsement or evaluation of merit or an acknowledgement that the asset has been approved by any regulatory or supervisory body. Mainstar Trust collects the information below solely for administrative review purposes.

Issuer Or Investment Company			
Address:		**Business Phone:**	
		Fax:	
Website:			
Email Address:			
Pricing Contact **The individual responsible for providing the annual fair market value and substantiation of value to Mainstar Trust**			
Contact Name:			
Address:		**Business Phone:**	
		Fax:	
Email Address:			
Transfer/Sell Contact **The individual responsible for making re-registration changes and/or liquidating the asset upon request from Mainstar Trust**			
Contact Name:			
Address:		**Business Phone:**	
		Fax:	
Email Address:			

Internal Use Only
CUSIP: Payee:

Documents Required to Review a Non-Public Asset		
Private Stock Articles of Incorporation By Laws Subscription Documents	**Real Estate Investment Trust (REIT)** Articles of Organization Prospectus or Memorandum Subscription Documents	**Limited Partnership or Limited Liability Company** Articles of Organization or Certificate of Formation Prospectus or Memorandum Partnership Agreement or Operating Agreement Subscription Documents

Mainstar review for Administrative Feasibility may take 48-72 hours.

The Issuer hereby acknowledges the following to Mainstar Trust:

- The Issuer will be responsible to file Beneficial Ownership Information (BOI) with FinCEN on an annual basis. Issuer agrees they will be subject to any fees or penalties for not timely filing.
- Upon purchase of the asset being funded or its re-registration, Issuer will provide Mainstar Trust with proof of ownership of said asset within 60 days of receipt of purchase funds or request for re-registration. Proof of ownership may be in the form of an original stock certificate, executed subscription documents or by other means acceptable to Mainstar Trust.
- The ownership interest and/or certificates will be correctly registered to Mainstar, per our delivery instructions provided at the time of purchase/transfer.
- Accountholders will be provided offering documentation including but not limited to private placement memoranda, prospectuses, operating agreements, and subscription agreements as appropriate for the investment in the asset.
- If applicable, Issuer will inform accountholders that the investment may generate unrelated business taxable income (UBTI). If UBTI is generated, Issuer represents that UBTI information will be included on IRS form 1065 (Schedule K-1) and be provided to accountholders each year.
- Issuer will not use Mainstar Trust's name in advertising, printed or web-based material or any other form of communication without its express written consent.
- To the extent attributable to the fraud, negligence, or misconduct of the Issuer, Issuer will indemnify and hold Mainstar Trust harmless from and against any and all damages, claims, losses, expenses or costs of any nature (including without limitation any court costs and attorney's fees) asserted against or incurred by Mainstar Trust as a result of legal actions involving the investment or the asset.
- All income related to the asset or associated with the investment will be sent directly to Mainstar Trust in a timely manner for credit to the appropriate Mainstar Trust account. Under no circumstances will the Issuer distribute any monies or assets directly to a Mainstar Trust accountholder prior to an in-kind distribution of the asset to the accountholder. Issuer is solely responsible for any tax, legal, or penalty damages and charges associated with the direct distribution of any monies or assets by the Issuer to the accountholder.
- Issuer understands that all or any part of the asset may require re-registration or re-titling for reasons including but not limited to: Require Minimum Distributions, Death of Accountholder, Divorce, or any other change of ownership.
- Issuer will not accept any subscription document, change or registration request, or change of registered owner address, including dividend payment address, for any asset that lists Mainstar Trust as custodian but does not bear an authorized signature of Mainstar Trust and agrees to notify Mainstar Trust immediately upon receipt of any such documents.
- Issuer understands that the investment company's inability to price the asset annually, provide substantiation of value, provide investment confirmations or send distributions directly to Mainstar Trust may make the asset no longer administratively feasible for Mainstar Trust to custody. In this event, Issuer understands that Mainstar Trust may resign, in its sole discretion, which will necessitate that the asset be re-registered to either the accountholder or to another custodian.

Signature Required

I, the General Partner, Managing Member, Corporate Officer or other authorized individual of the above named Issuer hereby acknowledge the above terms, conditions and representations on behalf of the Issuer and the investment company.

Authorized Signature of **Issuer or Investment Company** _____ Date _____

Printed Name _____ Title _____