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 PO Box 420 F) 785.889.7169  
 Onaga, KS 66521 Purchases@mainstartrust.com

## ACCOUNT DETAILS

Account Name		Account Number	
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## PUBLICLY TRADED ASSET (Stock, Bond, Government Security)

Asset Name			
Ticker		Units/Shares to Buy	
CUSIP		Net Dollar Value to Buy	
<input type="checkbox"/> <b>Buy at Market Price</b> Mainstar Trust to facilitate with broker of its choice <input type="checkbox"/> <b>Limit Order Price Per Share: \$</b> _____ Order will not be executed unless the market price is met Mainstar Trust to facilitate with broker of its choice <input type="checkbox"/> <b>Buy Already Executed by Rep/Broker</b> (If this box is selected, Mainstar Trust will not facilitate the purchase) Note: By default, assets purchased will receive a cash dividend, if applicable. If you wish for the asset to reinvest, a Dividend Change Request form will need to be submitted.			

## MUTUAL FUND

Asset Name			
Ticker		Net Dollar Value to Buy	
CUSIP		Breakpoint (if applicable)	
Dividend Option	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest (default if no boxes are checked)		
<b>The following section must be completed in full if assigning a financial advisor to the mutual fund being purchased.</b>			
Name of Advisor		Advisor ID Number	
Address		Branch Number	
City, State Zip		Name of Broker Dealer	

## OTHER ASSET (Annuity, Private Stock, LLC, LP, REIT, Etc.)

Asset Name		Units/Shares to Buy	
CUSIP		Net Dollar Value to Buy	

**Required:** Check One

I represent that I am not an officer or director of the investment entity (or any entity receiving consideration for the investment) and/or borrower or any affiliate thereof, nor am I related to any officer or director of the investment entity and/or borrower or any affiliate thereof. I also represent that my ownership of this entity (combined with any family member or disqualified person) will be less than 50%.

or

I represent and disclose that I am an officer or director of the investment entity (or any entity receiving consideration for the investment) and/or borrower or its affiliate, or that I am related to an officer or director of the investment and /or borrower of its affiliate. The nature of the relationship and the combined percentage of the investment owned by my Account, any family member, or disqualified person is as follows:

Type of Relationship \_\_\_\_\_  
 Percentage Owned \_\_\_\_\_

## FUNDING INFORMATION

**Required:** Check One

- Check  
 Wire (instructions must be provided)

**Optional:** Check One

- Overnight Delivery (a fee will be assessed)  
 Use my overnight account (no fee will be assessed)  
 Company \_\_\_\_\_ Account Number \_\_\_\_\_  
 Zip Code \_\_\_\_\_

## SUITABILITY OF INVESTMENT

By signing this form, I acknowledge that this account is self-directed and that I am solely responsible for the investment outcomes within the account, and further acknowledge the following provisions with respect to my account.

**Suitability Requirements** - I have had the opportunity to review this transaction with tax, legal, financial and/or other advisors of my choice and am satisfied that I meet all suitability requirements imposed by the investment entity and the investment is suitable for this account. I understand that if the investment is not publicly traded, redemptions of said investment may be limited and I have considered these factors and IRA requirements such as required minimum distributions when determining the suitability of this investment for my account. I understand that Mainstar Trust does not make any determination with respect to whether the transaction meets any of the suitability requirements of the offering. Further, I understand that Mainstar Trust has no duty to conduct any suitability analysis on my behalf.

**Funding** - I understand that it is my responsibility to ensure that sufficient funds are available for the initial purchase. If the investment contains a provision for subsequent payments, I acknowledge that such payments are the responsibility of my account. Prior to any such subsequent payments, Mainstar Trust must receive written direction from me or my designated representative. I further agree to indemnify Mainstar Trust from all payments or assessments that may result from holding the investment within my account. I understand that Mainstar Trust is under no obligation to extend credit to my account or otherwise disburse payment beyond the cash balance of my account for any payment or assessment related to the investment.

**Administrative Review** - I acknowledge that any review conducted by Mainstar Trust was solely to determine that the investment is administratively feasible to hold by Mainstar Trust for my account. I further acknowledge that this was not a due diligence review and that Mainstar Trust has not rendered any investment advice, nor has Mainstar Trust expressed any opinion as to the prudence or suitability of the investment. I agree to hold Mainstar Trust harmless from any liability for any loss, damage, injury or expense which may occur as a result of the execution of this purchase authorization.

**Income** - All dividends, interest and all other forms of income and return of principal must be sent to Mainstar Trust. I certify that I will ensure that all payments are sent directly to Mainstar Trust and if a payment should happen to be sent to me directly, it will be immediately forwarded to Mainstar Trust. If I fail to do so, I understand that Mainstar Trust will treat those payments as a taxable distribution to me.

**Market Value** - I acknowledge that a market valuation must be provided to Mainstar Trust annually. I understand that if Mainstar Trust cannot obtain an annual market value, Mainstar Trust may use the last known value or report the asset value at cost. I further understand and acknowledge that if Mainstar Trust has not been provided with an annual market value, Mainstar Trust may distribute the investment in-kind to me. I understand that in-kind distributions I receive from my account may be subject to federal and state income tax and will be reported as such to the appropriate taxing authorities.

**Taxable Income** - I understand that this investment may generate unrelated business taxable income or "UBTI". I further understand that, if my account generates UBTI an IRS Form 990-T must be filed along with payment of the appropriate amount of tax, payable from the assets of my account. I understand that Mainstar Trust does not monitor the amount of UBTI in my account and does not prepare Form 990-T. If applicable, I agree to prepare or have prepared the proper 990-T tax form and forward it to Mainstar Trust along with authorization to pay the tax from my account. If I am required to file a 990-T form, I understand that I must utilize an employer identification number (EIN). I will not use Mainstar Trust's EIN or my own social security number. I understand that I must apply for my account's EIN prior to or in conjunction with requesting Mainstar Trust to pay any taxes I may owe with regard to any UBTI that might be incurred.

**Prohibited Transaction** - I understand that certain transactions are prohibited for tax-deferred retirement arrangements under Internal Revenue Code Section 4975. I agree that the determination of whether the transaction directed hereby is a prohibited transaction depends on the facts and circumstances surrounding this purchase and further understand that Mainstar Trust makes no determination as to whether a transaction is a prohibited transaction. I warrant and represent that I have consulted with such advisors as I deem necessary and appropriate and have determined that this investment does not constitute a prohibited transaction as defined in Internal Revenue Code Section 4975, and that the offering entity or any affiliate thereof, is not a "disqualified person" as defined in Section 4975 (e)(2) of the Internal Revenue Code. I understand that should my account engage in a prohibited transaction, a taxable distribution equal to the fair market value of my account will result and certain penalties may be incurred. I further understand that if such a deemed distribution takes place prior to my attaining age 59 1/2, an additional 10% premature distribution penalty may be imposed by the Internal Revenue Service. Further, I acknowledge that Mainstar Trust, in order to protect its interests and in its sole discretion, may require me to obtain an opinion of counsel satisfactory to Mainstar Trust that this transaction does not constitute a prohibited transaction.

## NON DEPOSIT INVESTMENT PRODUCT NOTICE

I recognize that the assets purchased and/or held in this account are:

- Not insured by the FDIC
- Not a deposit or other obligation of, or guaranteed by Mainstar Trust
- Subject to investment risks, including possible loss of principal amount invested

## DIRECTION OF INVESTMENT

I direct Mainstar Trust to execute the purchase of the above-named investment for the benefit of my self-directed account. I acknowledge that it is my sole responsibility, acting directly or through my authorized representative, to direct the investment of my account, and that Mainstar Trust, acting as custodian of my account, will not have responsibility, discretion, or involvement in evaluating or selecting any assets or investment, and shall have no liability for any loss, damage, tax (including a prohibited transaction tax) that may result from or be associated with the transaction requested herein. Furthermore, I agree to indemnify and hold Mainstar Trust harmless from and against any and all claims, liabilities, causes of action, losses and expenses (including, without limitation to, any court costs, attorney's fees and other expenses) asserted against or incurred by Mainstar Trust as a result of, or in any way relating, to action requested or directed by me or by my authorized representative whether in this Purchase Authorization or otherwise. Other than maintaining custody of the above asset, Mainstar Trust shall have no obligation to take any action with respect to the assets acquired for this account pursuant to this Purchase Authorization. Mainstar Trust may condition any action or any further action it may agree to undertake, upon its receipt from me, in form satisfactory to it, of written instruction to undertake such action, together with such further agreement or undertaking of indemnification as Mainstar Trust may reasonably request. The purchase of assets described above or any action requested or directed by the undersigned (whether in this Purchase Authorization or otherwise) is subject to all terms and conditions of the Account Agreement as amended from time to time.

## SIGNATURE

Signature of Accountholder  
or Authorized Account  
Representative

Date