



# Investment Direction

## Precious Metals Purchase/Exchange

Looking for an easier, faster way to submit paperwork? Try the **SERVICENOW** option at [www.StrataTrust.com/Forms](http://www.StrataTrust.com/Forms)  
◆ E-sign and transmit directly to STRATA ◆ Safely upload supporting documentation ◆ Securely transfer data with SFTP file protocol

Use this form to initiate a purchase or exchange of precious metals into your STRATA Trust Company ("STRATA") account.

Please include a copy of any dealer-provided documentation related to the transaction when submitting this form.

### Section 1 | Accountholder Information

Accountholder Name	Account Number
SSN / EIN (Last 4 digits only)	Email

### Section 2 | Purchase Instructions

**I acknowledge that STRATA will process the purchases and/or exchanges in my account based on the dealer-provided documentation which I have reviewed, and the delivery or shipment of metals will be handled according to the instructions in that documentation.**

Is this investment direction for a purchase or an exchange? ☐ Purchase ☐ Exchange

#### Purchase:

Purchase Amount	
Dealer Name	
Dealer Rep Name	Dealer Rep Email

#### Exchange:

Value of Metals Outgoing	Value of Metals Incoming
Additional Funds to Be Sent/Received (if applicable)	

### Section 3 | Depository Facility Options

**In compliance with IRS rules, you may not physically hold precious metals yourself while owned in an IRA. Select a third-party depository location (Delaware Depository® or Texas Precious Metals Depository®) for the physical storage of precious metals held in your STRATA retirement account below:**

- ☐ Delaware Depository – Delaware (Depository Trust Company of Delaware, LLC)  
3601 North Market Street  
Wilmington, DE 19802
- ☐ Delaware Depository – Nevada (Depository Trust Company of Delaware, LLC)  
1009 Industrial Rd.  
Boulder City, NV 89005
- ☐ Texas Precious Metals Depository  
50 CR 356  
Shiner, TX 77984

**Account Registration: STRATA Trust Company FBO (accountholder name) STRATA account #**

**Client Services** 866.928.9394 | [PreciousMetals@StrataTrust.com](mailto:PreciousMetals@StrataTrust.com) | Online: [www.StrataTrust.com/Service-Request](http://www.StrataTrust.com/Service-Request)



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### Section 4 | Storage Method Options

For purchases and exchanges involving an inbound precious metals delivery, please select a storage method below.

**Delaware Depository** – Select the storage method for gold, platinum, and palladium. *All silver will be held in commingled storage as segregated storage is not available.*

**Texas Precious Metals Depository** – All metals including silver are held in segregated storage.

- ☐ **Commingled Storage:** I authorize STRATA to open a commingled storage account with my chosen depository. I understand that STRATA maintains a segregated storage area with the respective depositories, separate and apart from other customers, and my precious metals will be commingled with other STRATA customers within that storage area. The initial storage fee is due and payable now, and annually in the anniversary month of the account establishment. I have reviewed all applicable fees on STRATA's [Fee Schedule](#).
- ☐ **Segregated Storage (Not Available for Silver):** I authorize STRATA to open a segregated storage account with the chosen depository. I understand that STRATA maintains a segregated storage area with my chosen depository, separate and apart from other customers, and my precious metals will be segregated, stored, and marked with my name and STRATA account number. The initial storage fee is due and payable now and annually in the anniversary month of the account establishment. I have reviewed all fees on STRATA's [Fee Schedule](#).

### Section 5 | Wire Instructions

#### Wire Instructions

Bank Name	Bank Phone	
Bank City	Bank State	
ABA Routing # (Must be 9 digits)		
Name on Account	Account #	
Address		
City	State	Zip

### Section 6 | Processing Fees

Indicate below how you would like these fees to be paid so that there are no processing delays regarding your request. Refer to STRATA's [Fee Schedule](#) for fee details.

- ☐ Deduct processing fees from the cash in the account. I understand this could result in a lesser amount being remitted if there is not sufficient cash in the account
- ☐ Charge fees to the credit card on file ([Fee Payment Authorization](#) form must have been previously submitted for this to be a valid option).

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### Section 7 Disclosures

**Important: Please read the following disclosures before signing this document.**

#### **STRATA Has No Affiliation with Any Precious Metals Broker/Dealer or Any Sales Representative**

As a directed alternative asset custodian, STRATA is not in any way affiliated with any precious metals dealer, and does not sell any investments, sponsor, or otherwise endorse any dealer or investment or offer investment, tax, or legal advice of any kind. As a directed custodian, STRATA provides only the required administration, custody, and reporting required for retirement accounts. STRATA does not conduct a due diligence review of any dealers. Other than to ensure compliance with applicable IRA laws and regulations, STRATA will not – in any way – review, analyze, or approve the specific financial details of your precious metals transaction (including but not limited to, any fees or commissions charged by any dealer or the price or value of the precious metals you direct for purchase).

#### **Your Retirement Account is Self-Directed – You Are Wholly Responsible for All Decisions Regarding Your Transactions**

As the accountholder, you determine and select the dealer to be used for your precious metals' transactions. You are wholly responsible for this decision. You are responsible for all necessary due diligence regarding your dealer. You are responsible for all the details of your precious metals transaction, including the negotiation of any precious metals you direct for purchase, sale, or exchange, as well as the price negotiated directly with the dealer and any commissions or fees the dealer will charge. You may obtain quotes from several dealers. All transactions within your STRATA account are directed and authorized solely by you and/or your designated representative (if you have appointed one). As a result, you agree to hold STRATA harmless, in all respects, from any loss, cost, court costs, expenses, or other damages (collectively, "Damages") resulting from your investment instructions and your precious metals purchase.

#### **Price Spreads and Proof American Eagle Coins**

The value of precious metals at the bid price will be less than the amount paid if precious metals prices have not changed. The difference between the price at which precious metals can be bought and the price at which they can be sold at a particular time is called "price spread". Price spread has been greater for proof coins than the price spread of bullion coins. For this reason, you may wish to obtain quotes from several dealers. You should also obtain all necessary information from your dealer before investing.

#### **The Value of Your Investment – Valuation and Pricing of Your Precious Metals**

In your quarterly statement, STRATA reflects spot value as the value for precious metals. Spot value is the current spot price multiplied by the ounces of fine metal contained in the coin or bar. Values reported in the quarterly statement do not include any mark-ups, mark-downs, premiums, or commissions received or charged by the broker or dealer. *Spot values should be used as an indication of value only and should not be construed as a firm bid price to buy by any broker or dealer.* The actual precious metals type and quantity of a transaction may affect the price received for any given bullion product. As a directed alternative asset custodian, STRATA holds the precious metals in your account, but STRATA makes no independent determination of the value and pricing of your precious metals. Proof coins must be encapsulated in complete, original mint packaging, including a certificate of authenticity, and in excellent condition. Non-proof coins must be in Brilliant Uncirculated condition and free from damage. Price indications for specific bullion products may be obtained from various sources, including your dealer or on internet sites such as [www.BullionValues.org](http://www.BullionValues.org).

#### **Fees**

All fees must be paid prior to any transaction. Please refer to STRATA's Fee Schedule for more information.

#### **Cancellations**

If either you or the dealer decides to cancel a precious metals purchase, sale, or exchange after the terms have been settled and instructions are sent to STRATA, the cancellation must be signed by both parties in writing and submitted to STRATA within two business days. It is the accountholder's responsibility to notify STRATA. Transaction processing fees will **not be** refunded.

#### **Statements and Online Account Access**

Access to your account information is available 24/7 on STRATA's website, [www.StrataTrust.com](http://www.StrataTrust.com). You may also download and view your quarterly account statements, tax forms, invoices, and other important notices we issue. Go to our website, select the *Log In* button, and follow the prompts to self-enroll.

#### **Precious Metals Purity Requirements**

- **Gold** must be 99.5% pure, **Silver** must be 99.9% pure, and **Platinum** and **Palladium** must both be 99.95% pure.
- Bars, rounds, and coins must be produced by a refiner, assayer, or manufacturer that is accredited or certified by NYMEX, COMEX, NYSE/Liffe, LME, LBMA, LPPM, TOCOM, ISO 9000, or the national government mint and meets minimum fineness requirements.

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### Section 8 | Terms and Conditions

I direct STRATA to execute the above precious metals transaction with the dealer described above for the benefit of my Account. In doing so, I hereby make the following acknowledgements, agreements, and representations:

1. I have evaluated the risks involved with this transaction and have conducted the due diligence I felt appropriate for the dealer I have selected. I am solely responsible for the choice of precious metals dealer, and STRATA has made no representations or recommendations with regards to this Dealer
2. I understand that any missing information or incomplete forms may cause delays in processing this direction and in releasing the payment or asset, and I agree that STRATA shall not be responsible for any damages which may result from any information not provided by me when submitting this investment direction or by any action or inaction by the dealer.
3. I understand that, in order for STRATA to process an investment direction to purchase precious metals, my Account must have sufficient liquid funds to cover the purchase amount as well as any additional charges and fees involved with this transaction. I understand and agree to all the charges and fees due to the dealer and depository in connection with this transaction and storage of my precious metals directed herein, including but not limited to any safekeeping charges, shipping, handling, and insurance fees, and direct STRATA to pay all such fees and charges from my Account.
4. I certify that the precious metal investment(s) directed herein is/are not prohibited transactions as defined in the Internal Revenue Code; that the investments are in precious metals that are permitted to be held in an retirement account pursuant to IRC 408(m)(3)(A)(i)-(iv) and 408(m)(3)(B); and that I have consulted with a legal or tax professional to the extent necessary for me to make this certification. I certify that I have not received any legal or tax advice from STRATA or its employees
5. Regarding this Investment Direction, I take sole responsibility for the selection and performance, including the future value, of the precious metals purchased, exchanged, or sold. I have received no investment or other advice from STRATA or its employees, nor any recommendation as to any purchase, exchange, or sale, and I agree to hold STRATA harmless from any damages resulting from its execution of this Investment Direction.
6. STRATA is not responsible for the purity, weight, metal content, or authenticity of any coins or bullion purchased. Likewise, STRATA is not responsible for the conduct, action, failure, breach, or omission of the dealer or any resulting damages.
7. I have reviewed and agree to all fees outlined on STRATA's Fee Schedule and this Investment Direction form regarding the purchase, storage, packing, and shipping of physical precious metals in my STRATA Account.
8. Precious metals shall be stored at one of the depository options chosen by the accountholder. STRATA shall not take physical possession of any precious metals. The depository shall be solely responsible for the storage and safekeeping of all precious metals. STRATA's sole responsibility is to have made a prudent selection of the depository storage options available. I understand and direct STRATA to open the storage account in accordance with my elected storage method, commingled or segregated, with the depository I have selected. I understand and agree that if I do not indicate a depository, Delaware Depository will be the default depository. I also understand and agree that if I do not indicate a storage option, commingled storage will be the default storage option.
9. Values for precious metals shall reflect the spot value, which is the current spot price multiplied by the ounces of fine metal contained in the coin or bar. Spot values do not include any mark-ups, mark-downs, premiums, or commissions. Spot values should be used as an indication of value only and should not be construed as a firm bid price to buy by any dealer. The actual precious metals type and quantity of a transaction may affect the price received for any given bullion item. Proof coins must be encapsulated in complete, original mint packaging, including certificate of authenticity, and in excellent condition. Non-proof coins must be in Brilliant Uncirculated condition and free from damage. Price indications for specific bullion products may be obtained from various sources, including your dealer or on the internet at sites such as [www.BullionValues.org](http://www.BullionValues.org).
10. I understand that an investment in precious metals is dependent on global markets and other factors and there may be fluctuations in the price of the precious metals, and I direct STRATA to process this transaction on behalf of my Account by way of this Investment Direction despite such fluctuations. I agree to waive any claims that I may have, past, present, or future, known or unknown, anticipated or unanticipated, with respect to the fluctuation or change in the price or condition of any precious metals.
11. I understand that if I have elected segregated storage with Delaware Depository for my gold, platinum, and/or palladium only, and decide to sell, exchange, or take an in-kind distribution of my precious metals, I will receive the exact metals that I initially purchased. I also understand that if I elected commingled storage with Delaware Depository and later decide to sell, exchange, or take an in-kind distribution of my precious metals, I will receive "like" precious metals, meaning I will not receive the same precious metals purchased initially, but similar products.
12. I understand that if I have elected Texas Precious Metals Depository as my preferred depository, my precious metals will be held in segregated storage. If I decide to sell, exchange, or take an in-kind distribution of my precious metals, I will receive the exact metals that I initially purchased.

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13. I hereby indemnify and hold harmless STRATA from any and all damages arising from or in connection with this Investment Direction.
14. By holding precious metals within your self-directed retirement account with STRATA, you acknowledge and agree to, in all respects, the important disclosures with regard to your STRATA account.



\_\_\_\_\_  
Accountholder Signature

\_\_\_\_\_  
Date

### Form Submission Options

- Fax: 512.495.9554
- Email: [PreciousMetals@StrataTrust.com](mailto:PreciousMetals@StrataTrust.com)
- US Mail: PO Box 849, Austin, TX 78767
- Overnight: 901 S. Mopac Expy, Barton Oaks Plaza II, Ste100 Austin, TX 78746

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