

NEXT GENERATION TRUST COMPANY  
401 E. 8TH STREET, SUITE 200H  
SIOUX FALLS, SOUTH DAKOTA 57103  
TOLL FREE: 888-857-8058

# BROKERAGE ACCOUNT DIRECTION OF INVESTMENT



NEXT GENERATION  
TRUST COMPANY  
CONTROL YOUR FUTURE, TODAY

NEXT GENERATION SERVICES, LLC, 75 LIVINGSTON AVE. STE. 304, ROSELAND, NJ 07068 | P: (973) 533-1880 \* F: (973) 533-1088

## INSTRUCTIONS:

All investment paperwork must be titled in the name of your account: for example: **NGTC FBO [Account Holder's Name] IRA # [Account Number]**. If you have a 401(k) account, please call our office for correct vesting.

## A. PERSONAL INFORMATION:

Account Holder Name \_\_\_\_\_ Account Number \_\_\_\_\_

Account Type:  Traditional  Roth  SEP  Simple  
 HSA  ESA  Beneficiary  Individual 401(k)

## B. HOW WOULD YOU LIKE TO PAY YOUR FEES? (ALL FEES ARE DUE AT THE TIME OF FUNDING)

- Deduct from Account
- Check
- Credit Card (On file)
- Credit Card (Authorization form attached)
- Credit balance

Fees include:  
\$100 Annual Fee  
\$100 Brokerage Account Setup Fee  
\$50 Further Funding or Partial Sale  
\$100 Final Sale

## C. INVESTMENT DETAILS

Brokerage Company: \_\_\_\_\_

Account Number: \_\_\_\_\_  
(Leave blank if establishing a new account)

Broker's Name: \_\_\_\_\_

Amount to be deposited in the  
brokerage account: \$ \_\_\_\_\_

## SPECIAL INSTRUCTIONS:

I have included brokerage company paperwork with this Direction of Investment.

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**D. AUTHORIZATION AND SIGNATURE:** *Please read the entire disclosure before signing and dating.*

I confirm that I am directing Next Generation Trust Company, Custodian, to complete this transaction as specified above. I understand that my account is self-directed, and I take complete responsibility for any investment I choose for my account, including the investment specified in this Direction of Investment. I understand that neither the Custodian (Next Generation Trust Company) nor the Administrator (Next Generation Services) sells or endorses any investment products, and that they are not affiliated in any way with any investment provider. I understand that the roles or assumed responsibilities of the Custodian and the Administrator has provided do not include investment selection for my account. I acknowledge that neither the Custodian nor the Administrator has provided or assumed responsibility for any tax, legal or investment advice with respect to this investment, and I agree that they will not be liable for any loss which results from any decision to purchase the investment. I understand that neither the Custodian nor the Administrator has reviewed or will review the merits, legitimacy, appropriateness or suitability of this investment, and I certify that I have done my own due diligence investigation prior to instructing the Custodian/Administrator to make this investment for my account. I understand that neither the Custodian nor the Administrator determines whether this investment is acceptable under the Employee Retirement Income Securities Act (ERISA), the Internal Revenue Code (IRC), or any applicable federal, state, or local laws, including securities laws. I understand that it is my responsibility to review any investments to ensure compliance with these requirements.

I understand that in processing this transaction, the Custodian and the Administrator are only acting as my agent, and nothing will be construed as conferring fiduciary status on either the Custodian or the Administrator. I agree that the Custodian and the Administrator will not be liable for any investment losses sustained by me or my account as a result of this transaction. I agree to indemnify and hold harmless the Custodian and the Administrator from any and all claims, damages, liability, actions, costs, expenses (including reasonable attorney's fees) and any loss to my account as a result of any action taken in connection with this investment transaction or resulting from serving as the Custodian or the Administrator for this investment, including, without limitation, claims, damages, liability, actions and losses asserted by me.

I understand that if this Direction of Investment and any accompanying documentation are not received as required, or, if received, are unclear in the opinion of the Custodian/Administrator, or if there is insufficient undirected cash in my account to fully comply with my instructions to purchase the investment and to pay all fees, the Custodian/Administrator will not process this transaction until proper documentation and/or clarification is received, and the Custodian/Administrator will have no liability for loss of income or appreciation.

I understand that my account is subject to the provisions of Internal Revenue Code (IRC) 4975, which defines certain prohibited transactions. I acknowledge that neither the Custodian nor the Administrator has made or will make any determination as to whether this investment is prohibited under 4975 or under any other federal, state or local law. I certify that making this investment will not constitute a prohibited transaction and that it complies with all applicable federal, state and local laws, regulations and requirements.

I understand that with some types of accounts there are rules for Required Minimum Distributions (RMDs) from the account. If I am now subject to the RMD rules in my account, or if I will become subject to those rules during the term of this investment, I represent that I have verified either that the investment will provide income or distribution sufficient to cover each RMD, or that there are other assets in my account or in other accounts that are sufficiently liquid (including cash) from which I will be able to withdraw my RMDs. I understand that failure to take RMDs may result in a tax penalty of 50% of the amount I should have withdrawn.

I understand that all communication regarding this transaction must be in writing and must be signed by me or my authorized agent on my behalf, and that no verbal modifications of my instructions will be valid.

I understand that no person at the office of the Custodian nor the Administrator has the authority to modify any of the foregoing provisions. I certify that I have examined this Direction of Investment and the accompanying documents or information, and to the best of my knowledge and belief, it is all true, correct and complete.

Account Holder Signature: \_\_\_\_\_ Date: \_\_\_\_\_