

Please complete the information on this form to update your address of record and/or contact information. We will send a confirmation of the change to your previous and current address. The email address provided on this form will be used to provide you with communications from STRATA.

Form Submission Instructions:

STRATA offers two convenient options for transmitting your requests:

Option 1: **SERVICENOW**, e-sign and submit forms securely to STRATA. Use this option for faster form submission.

Go to <https://www.stratatrust.com/resource-center/forms/> for form access and instructions.

Option 2: You may print + email, fax, or mail the form as shown below:

Email: InvestmentUpdates@StrataTrust.com
Fax: 512.495.9554
US Mail: PO Box 23149, Waco, TX 76702
Overnight: 7901 Woodway Drive, Waco, TX 76712

Important Reminders

- The Investment Issuer should provide written purchase confirmation to STRATA as soon as possible after receiving funds from a STRATA investor. If the written purchase confirmation is not received within 60 days, STRATA will contact the Investment Issuer and/or the investor to provide STRATA with the purchase confirmation. This applies to the initial purchase as well as any additional purchase or capital calls.
- For private equity investments (LLC, LP, stock, hedge funds, etc.), acceptable purchase confirmation includes a periodic fund statement, a fully executed copy of a subscription document (or LLC/LP agreement) signed by the manager/general partner showing STRATA as custodian for the IRA, stock certificate, or STRATA's Alternative Investment Purchase Confirmation form.
- If there is a fund administrator, please be sure to send duplicate periodic fund statements to STRATA at: InvestmentUpdates@StrataTrust.com.
- For private debt investments (note/bond/debenture), acceptable purchase confirmation includes a fully executed note payable to STRATA as custodian for the IRA or other periodic statement if notes are held in book entry.
- Issuer agrees and represents that it will register ownership of the Investment, and issue and send any payments to the IRA custodian, in the following name:
STRATA Trust Company, Custodian
FBO (Accountholder Name) IRA (Account Number)
PO Box 23149
Waco, TX 76702
TAX ID: 26-2637994
- Issuer agrees to send written confirmation to acknowledge the purchase to STRATA, and such confirmation may include the original stock certificate, debt instrument, LP or LLC certificate, periodic investor statements, or any agreement signed by both parties in the event an original certificate or instrument is not issued.
- Issuer agrees to provide investors that invest through a STRATA account with all offering documents, including but not limited to any subscription documents, private placement memorandum, limited partnership agreement, operating agreement, or any other document it has available with regard to the Investment.
- Issuer agrees to send all income associated with the Investment directly to STRATA in a timely manner. Issuer agrees that under no circumstances will the Issuer distribute monies or assets directly to STRATA Accountholders.

- Issuer agrees that upon request from STRATA to re-register and change the vested ownership of record, that it will promptly make the change of ownership and issue confirmation to evidence the new ownership change to the successor custodian or to the Accountholder individually, in accordance with the instruction given by STRATA.
- Issuer agrees that STRATA has not endorsed or approved the Investment in any way, and Issuer agrees that it will make no representation to the contrary. Issuer understands that STRATA does not conduct any due diligence review of Issuer's Investment. Issuer fully acknowledges that acceptance by STRATA of said Investment solely indicates that the Investment meets the criteria to be deemed administratively feasible by STRATA. This means that the Investment fits within the current operating systems and procedures that STRATA have in place. Issuer acknowledges that it will not construe acceptance by STRATA as any endorsement or evaluation of merit, prudence, viability, or suitability of any kind; nor will it construe such acceptance as any indication of compliance with any sanction, legal authority, or regulatory statute.
- Issuer agrees to send correspondence such as tax forms (if applicable), K-1's (if applicable), financial statements, voting information, or other material, directly to the Accountholder's home address, and not to STRATA.
- Issuer agrees to notify STRATA and Accountholders in writing of any address change, name change, dissolution, bankruptcy, or other relevant condition of the Investment, including any significant change in its legal structure.
- Issuer agrees to not use STRATA's name in any form of advertising, including print, radio or web, or any other form of communication without the express written consent of STRATA. Issuer understands that upon receiving verbal acceptance of its Investment by STRATA, that it may direct potential investors to STRATA website for access to STRATA forms, including the new account applications and other materials.
- If Issuer's Investment has potential to generate Unrelated Business Taxable Income (UBTI), Issuer agrees to make the investor aware of the potential, and, if UBTI is generated, the Issuer represents that the UBTI information will be included on IRS Form 1065 (Schedule K-1) each year and issued directly to the IRA investor at the investor's home address.
- Issuer understands that, as an IRA custodian, STRATA must report the fair market value of each account to the Internal Revenue Service each year. Issuer hereby agrees and acknowledges that it will provide, upon request, an annual fair market value or good faith estimate of the named Investment to STRATA as of year-end. The fair market value or good-faith estimate should be compliant with Revenue Ruling 59-60 (as applicable), or if the Investment is a trading fund (private equity fund, hedge fund, etc.), Issuer agrees to provide the capital account balance on an annual or more frequent basis.

Need Assistance?

Client Services

866.928.9394 | Service@StrataTrust.com

Monday – Friday, 8:00 am – 5:30 pm CST



Investment Issuer Address Change Request

Form Submission Instructions: (Choose One)

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Option 2: You may print + email, fax, or mail the form as shown below:

Email: NewInvestments@StrataTrust.com
 Fax: 512.495.9554
 US Mail: PO Box 23149, Waco, TX 76702
 Overnight: 7901 Woodway Drive, Waco, TX 76712

Section 1 Investment Information

Name of Investment Offering	Investment Issuer/Sponsor
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Section 2 Previous Address and Phone Number

Issuer Address		
City	State	Zip
Daytime Phone	Email Address	

Section 3 New Address and Phone Number

Issuer Address		
City	State	Zip
Daytime Phone	Email Address	

Section 4 Additional Investment Contacts

Please list the contact information for the following departments if different from any information provided above. STRATA will use this information if we need to reach out for updated valuations, written purchase confirmations, or other company information.

Investor Relations Contact Name	Email	Phone
Purchase Confirmation Contact Name	Email	Phone
Valuation Contact Name	Email	Phone



Issuer Authorized Signature

Date

Printed Name

Title