

Alternative Asset Transactions

Required Documentation

Overview: In order for Millennium Trust (“Millennium”) to process a transaction for an account, we require specific documentation. Outlined below are the documents required to complete a transaction which include Millennium and supporting investment sponsor, broker or FCM documents. Upon execution and the Account Owner’s signature, all documentation should be sent directly to Millennium for processing. Millennium does not evaluate or perform a due diligence on any investment, investment sponsor, broker or FCM.

SUPPORTED INVESTMENT TYPE	MILLENNIUM DOCUMENTS	INVESTMENT SPONSOR DOCUMENTS ¹
Limited Partnership (LP), Limited Liability Company (LLC), Private Stock (Equity), Debenture/Bonds² Includes Hedge Funds, Offshore Funds, Operating Companies, etc.	> Private Placement Purchase Direction	<ul style="list-style-type: none"> Subscription Documents as required by Sponsor - completed and signed by Millennium Account Owner
Promissory Note² (unsecured or secured — if secured by a Mortgage or Deed of Trust, see below)	> Private Placement Purchase Direction > Promissory Note Servicing Terms Agreement	<ul style="list-style-type: none"> Original signed Promissory Note or signed & executed Purchase/Subscription Agreement Borrower’s signed W9
Promissory Note Secured by Mortgage/Deed of Trust²	> Private Placement Purchase Direction > Mortgage/Deed of Trust Note Servicing Terms Agreement	<ul style="list-style-type: none"> Original signed Promissory Note Copy of Mortgage/Deed of Trust³ Borrower’s signed W9
Real Estate - Direct Holding (No Foreign Real Estate will be accepted)	> Real Estate Investment Direction indicating amount of “Final Closing Costs”	<ul style="list-style-type: none"> Settlement Statement³ Commitment for Title³ Any miscellaneous closing documents³ All exhibits and/or addendums Mortgaged Property - original note & all Lender documents³
Futures/Forex Trading	> Futures/Forex Authorization and Initial Funding Direction or Futures/Forex Subsequent Funding Direction	<ul style="list-style-type: none"> FCM Application executed and signed by Millennium Account Owner (not required for subsequent funding)

NON-SUPPORTED INVESTMENT TYPES

- General Partnerships
- Tax Liens
- Structured Settle
- Joint Ventures
- Direct Holdings of Foreign Real Estate
- Assets which are prohibited in IRAs: Collectables, Life Insurance, etc. according to IRC 4975
- Swiss Annuities
- S-Corporation Stock
- Foreign CDs
- Single Member LLCs

¹The documents listed provide a guideline for typical documents Millennium receives for a specific investment type. Please note that the list may not be all-inclusive.

²Signed check/wire instructions are required if funds are not being sent directly to bank account in the investment or borrowers name. For Promissory Notes, the Account Owner and Borrower must sign.

³Copies of all documents must be signed by account Owner as ‘Read & Agreed (your signature)’ on the last page with all other pages initialed.

For more information, visit us at mtrustcompany.com or call a client service specialist at 800.258.7878.

Millennium Trust Company performs the duties of a directed custodian, and as such does not provide due diligence to third parties on prospective investments, platforms, sponsors or service providers and does not sell investments or provide investment, legal, or tax advice.
 ©2019 Millennium Trust Company. All rights reserved.

CS 123
10/19