

# Orientation



Welcome to your step-by-step guide to private entity investing in your Equity Trust self-directed account. Here's what you need to know to successfully complete your investment.

## 1. Establish your self-directed account and begin the funding process

It's important this step is completed well in advance, so get started now to ensure you meet your funding deadlines.

- [Open an account online](#)
- Need help? Call us: (855) 673-4721

## 2. Establish your myEQUITY account

Set up your account in [myEQUITY](#), our online account management system. This will allow you to initiate your investment request, upload all necessary documentation, and monitor your transactions.

### ADDITIONAL myEQUITY RESOURCES

- [Equity Trust Welcome Video](#)
- [myEQUITY Login Guide PDF](#)

## 3. Gather supporting documents/information for your investment

Required documents vary based on investment types:

### LLC INVESTMENT

- Copy of the LLC Private Placement Memorandum/Offering document (if applicable)
- Copy of LLC Operating Agreement
- Copy of LLC Filed Articles of Organization (state filed document)
- Copy of Investor/purchaser questionnaire (if applicable)
- Funding instructions
- Copy of completed subscription agreement, using proper account titling
  - **If Tax ID needed:** use the Equity Trust Tax ID:05-055274
  - **Why is this important?** The company you have invested in may issue a Schedule K-1 tax form reporting income or losses to your account. You want to ensure the income or losses are reported for your tax-exempt account, not you personally.

- For convertible note, debt instrument or SAFE agreement (Simple Agreement for Future Equity) only: Copy of the SAFE agreement, convertible note, or other supporting documentation

### CORPORATION (C-CORP) INVESTMENT

- Copy of Corporation By-Laws
- Copy of Corporation Filed Articles of Incorporation (state filed document)
- Copy of Private Placement Memorandum/Offering Circular (if applicable)
- Copy of subscription agreement or stock purchase agreement, using proper account titling (see titling section on page 3)
  - **If Tax ID needed:** use the Equity Trust Tax ID:05-055274
  - **Why is this important?** The company you have invested in may issue a Schedule K-1 tax form reporting income or losses to your account. You want to ensure the income or losses are reported for your tax-exempt account, not you personally.
- Funding instructions

### LIMITED PARTNERSHIP (LP)

- Copy of the Limited Partnership Agreement
- Copy of the Certificate of Formation (state filed document)
- Copy of the Private Placement Memorandum (if applicable)
- Copy of subscription agreement and investor or purchaser questionnaire, using proper account titling (see titling section on page 3)
  - **If Tax ID needed:** use the Equity Trust Tax ID:05-055274
  - **Why is this important?** The company you have invested in may issue a Schedule K-1 tax form reporting income or losses to your account. You want to ensure the income or losses are reported for your tax-exempt account, not you personally.
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## OFFSHORE FUND

- Certificate of Incorporation (state/country filed document)
- Articles of Association (equivalent of the operating agreement)
- Private Placement Memorandum or other offering document
- Copy of subscription agreement or purchase agreement, using proper account titling (see titling section on page 3)
  - **If Tax ID needed:** use the Equity Trust Tax ID:05-055274
  - **Why is this important?** The company you have invested in may issue a Schedule K-1 tax form reporting income or losses to your account. You want to ensure the income or losses are reported for your tax-exempt account, not you personally.
- Investor Questionnaire or Purchaser Questionnaire
- Funding instructions

## 4. Initiate investment request in myEQUITY

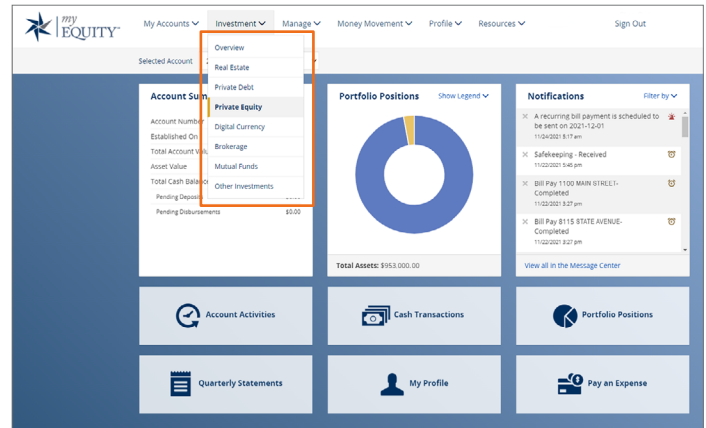
Find your investment type below and follow the instructions listed.

### a. PRIVATE ENTITY INVESTMENTS (SUCH AS LLC, LP, C-CORP)

- Navigate to **Investment > Private Equity** to launch the Private Equity Wizard
- Be prepared with all documentation to upload.

### b. CONVERTIBLE NOTE OR OTHER DEBT INSTRUMENT

- Navigate to **Investment > Private Debt**



## c. SAFE AGREEMENT (Simple Agreement for Future Equity)

- Navigate to **Investment > Other Investments** and choose **General Purchase**
- Complete the **General Purchase DOI** (Direction of Investment), which can be accessed on the right-hand side of the page.

### AN INVESTMENT LIAISON WILL BE ASSIGNED TO YOU.

An Equity Trust associate will contact you to help finalize your transaction and send funds to the designated bank/escrow account/title company.

## 5. Receive income from the investment

Dividends, distributions, and payoffs are to be directed back to your Equity Trust account.

## REAL ESTATE INVESTOR

# Video Training Center

### On-Demand Training



[Private Equity/Entity Investment Process — Tutorial and Demo](#)



[Private Entity Advanced Topics, UBIT, UDFI and Blocker Corporations](#)

### YouTube Video



[Entity Investing Rules — Disqualified Persons and Prohibited Transactions](#)

# Titling Guide



When you invest in an asset using your self-directed IRA or other account, the asset is owned by your account, not you personally. As such, the investment ownership documentation must be properly titled to the account.

Here are the instructions for the proper titling of investments made using an Equity Trust self-directed account. Instructions vary based on whether your account is the sole owner of the asset or if there are multiple owners.

## Titling When Using an IRA/CESA/HSA

### SOLE OWNERSHIP

Equity Trust Company Custodian FBO (For Benefit Of) [Account Owner's Name] [IRA/CESA/HSA]

### CO-OWNERSHIP

Equity Trust Company Custodian FBO [Account Owner's Name] [IRA/CESA/HSA]. XX% Undivided Interest  
*(All owners combined must total 100%)*

**Example:** Equity Trust Company Custodian FBO Jane Doe IRA, 25% Undivided Interest and Equity Trust Company Custodian FBO Bob Smith IRA, 75% Undivided Interest

## Titling When Using an Inherited IRA

Equity Trust Company Custodian FBO [Legal Name] BENE IRA [Deceased Person's Name] DCD

**Example:** Equity Trust Company Custodian FBO Jane Doe BENE IRA John Doe DCD

## Titling When Using a Qualified Plan/Solo 401(k)

Equity Trust Company Custodian FBO [Plan Name, Plan Type, Trustee's Name] TTEE, FBO [Legal Name]

**Example:** Equity Trust Company Custodian FBO XYZ, LLC Solo 401(k) plan, John Smith TTEE, FBO John Smith

### NOTE:

Instead of listing your name, you can use your Equity Trust account number on all titling.

### EQUITY TRUST TAX ID:

05-0552743

Equity Trust Company is a directed custodian and does not provide tax, legal or investment advice. Any information communicated by Equity Trust is for educational purposes only, and should not be construed as tax, legal or investment advice. Whenever making an investment decision, please consult with your tax attorney or financial professional.