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📍 Horizon Trust Correspondence, PO BOX 27068, Newark NJ 07101

## PART 1. ACCOUNT OWNER INFORMATION

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First Name:  M.I.:  Last Name:  Account #:

Last 4 SSN Digits:  Date of Birth: (MM/DD/YYYY)  Email Address:

## PART 2. ASSET INFORMATION

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Asset Name / Description:  Asset Reference #: (If applicable)

## PART 3. ACTION TO TAKE

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Please select and complete one of the options below.

**Option 1. Documents Requiring Signatures** *(Please see page 3 for document handling information)*

I have read and approved the documents I am requesting to be signed.

Document 1:  Document 2:

Document 3:  Document 4:

### Investment & Document Titling

Because your account is considered to be the legal owner of your investments, all assets and documents must reflect this ownership. Failure to title assets correctly may cause delays and/or tax consequences. The correct titling should be as follows:

“Horizon Trust FBO: (Your Name) (Account Type)”

*Example: Horizon Trust FBO: Jane Doe Roth IRA*

**Option 2. Amend/Replace Terms of an Investment** *(New/amended documentation required)*

Current Investment Information *(borrower name, company, security, terms, etc.):*

New Investment Information *(borrower name, company, security, terms, etc.):*

**Option 3. 401(k) Loan Modification Request**

*(Day of the month)*

Change Loan Repayment Day to:

Revise Bank Information *(Copy of voided check required)*

ABA (Routing) #:

Bank Account #:

Loan Deferral: *(Loan Deferrals are subject to review and approval. If approved, a new amortization schedule is suggested or the original payment schedule will resume and you will be responsible for the deferred payments)*

1 Month     2 Months     3 Months


**Option 4. Request a Letter**

Proof of Funds     Proof of Distribution/Recurring Distribution

Other

**Option 5. Tax Reporting Document Request**

DO NOT generate 5500 tax form for my Solo 401(k) plan *(Only applicable to plans with total value over \$250,000)*

 **Note: Horizon Trust uses a Third-Party Administrator to assist in filing 5500 tax forms, but it is always the responsibility of the account holder to make sure the form is filed when applicable.**

IRA & Savings Account - Mail all 1099R & 5498 forms to my address on file *(Traditional, Roth, SEP, SIMPLE, HSA, CESA)*

## Document Handling

A copy of the signed investment documents will be made available to you in accordance with our Information Security Policy. Please refer to the Investment Documentation section of your account's Custodial Agreement and Disclosure Statements for more information about how we store your records. Select any additional handling options that may apply:

**MAIL:** Please mail the above reference documents to the following individual: *(Complete the following information)*

Attention to:

Send signed documents via:

Regular Mail

Overnight Mail (\$50.00)

Address:

City:

State:

Zip:

**EMAIL:** Please email the above reference documents to the following individual: *(Complete the following information)*

Attention to:

Email:

**FAX:** Please fax the above reference documents to the following individual: *(Complete the following information)*

Attention to:

Fax #:

## Additional Processing Instructions/Notes

## PART 4. ACCOUNT OWNER AUTHORIZATION

**Important: Please read before signing.**

I understand this is a self-directed account meaning that I am solely responsible for the selection, due diligence, management, review, retention and liabilities of all investment(s) and for the accuracy of the instructions provided to the Custodian or Administrator to fulfill those investments. I understand the Custodian and Administrator are not fiduciaries and do not provide investment, tax or legal advice. I hereby direct the Custodian, in a passive capacity, to enact this transaction for my account, in accordance with my agreement. I have read and received all pertinent information relating to the investment named herein.

Signature of Account Owner:

Account Owner Name: *(Print or Type)*

Date: *(MM/DD/YYYY)*