



# Notice of Alternative Asset Investment Pursuant to Alternative Investments Agreement

PO Box 2207 ■ Omaha, NE 68103-2207  
Fax: 866-468-6268

## 1. ACCOUNT INFORMATION

Account Number: \_\_\_\_\_  
Full Legal Name: \_\_\_\_\_

## 2. INVESTMENT INFORMATION

Number of Shares/Units/Interests: _____	Price or Value Per Share/Unit/Interest: _____
Total Purchase Price/Total Value: _____	
Symbol/Asset Description: _____	

## 3. ISSUER OR TRANSFER AGENT INFORMATION

Name/Firm Name: \_\_\_\_\_  
Contact Name/General Partner: \_\_\_\_\_  
Firm Street Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP Code: \_\_\_\_\_  
Phone Number: \_\_\_\_\_ Email Address: \_\_\_\_\_

## 4. ROLE OF TD AMERITRADE

The transaction is:  a purchase,  a deposit, or  a transfer into my account. If this is a purchase, please issue payment payable to the name/firm named above.

### Non-IRA Accounts

If this is a purchase, TD Ameritrade is authorized to forward the payment to the seller/issuer or its designee, and in return receive the shares/units/interests. I or my Advisor will take such action and furnish such additional documentation as may be necessary to hold the security in my Account. TD Ameritrade will send me and/or my Advisor a confirmation of the payment and receipt either electronically or by mail.

### IRA Accounts

For purchases by IRA Accounts, TD Ameritrade will forward the payment to the seller/issuer and in turn receive the shares/units/interests. It will hold the Alternative Investment as the IRA custodian. TD Ameritrade will send me and/or my Advisor a confirmation of the payment and receipt either electronically or by mail.

### All Accounts

I understand and agree that the value of the Alternative Investment on my account statement will be in accordance with my Alternative Investment Agreement.

## 5. PAYMENT INSTRUCTIONS

Send Check To: \_\_\_\_\_  
Wire Instructions: \_\_\_\_\_



**6. NOTICE OF NON-MARKETABLE POSITIONS**

TD Ameritrade reserves the right to remove from a Client's account any security deemed to have been cancelled or otherwise invalidated ("Non-Marketable"). In determining that a security is Non-Marketable, a Client agrees that TD Ameritrade has derived information on such assets from the Client or from third parties and TD Ameritrade is not responsible for the accuracy or reliability of any information regarding these assets.

Non-Marketable securities may include, but are not limited to the following:

- a.) bankrupt securities;
- b.) securities that are not able to be priced in the past eighteen (18) months; or
- c.) securities that have had the registration revoked.

TD Ameritrade will notify the Client if it has removed a Non-Marketable security from the Client's account. Unless the Client provides TD Ameritrade with verifiable evidence of the validity of the security within sixty (60) days of the notice of removal, the Client agrees to indemnify and hold TD Ameritrade harmless from any and all liabilities, penalties, losses, damages, claims, costs, and expenses resulting from the removal of such securities and agrees to waive any claim to any future distribution from the securities. If the Client provides TD Ameritrade with verifiable evidence of the validity of the security from an independent third party within sixty (60) days of receiving the notice of removal, TD Ameritrade will reinstate the position.


**7. AGREEMENT**

If I am purchasing the above security, I understand, agree to, and acknowledge the following: (i) the purchase has not been solicited by TD Ameritrade, Inc. ("TD Ameritrade"), that TD Ameritrade is acting only in its capacity as custodian of my account for purposes of this transaction (unless otherwise agreed by TD Ameritrade in writing), (and if the Alternative Investment is registered under the Securities Act of 1933, as amended, TD Ameritrade may also act as agent for the purpose of forwarding funds and taking delivery of the securities); and I assume full responsibility for the purchase; (ii) if this security is being offered to me by means of a prospectus or offering documents, I have received such prospectus or offering documents from the issuer or seller of the security; and (iii) TD Ameritrade will, at my instruction, as an accommodation to me and in its capacity as custodian of my account, deliver funds from my account to the issuer/seller or its designee and receive the security into my account. I understand that if the security is being offered to me by means of a prospectus, pursuant to the distribution and investor servicing agreements described in the prospectus (if applicable), TD Ameritrade may have entered into a selling or servicing agreement with the distributor of the security, the advisor to a fund or the fund and accordingly may be entitled to receive investor servicing fees while the security is held in custody for me at TD Ameritrade. I agree that any and all issues as to investment in the security and the suitability of the security for investment by me are my responsibility and not that of TD Ameritrade. I also represent that the above purchase for, or transfer or deposit, of securities into my account does not constitute a non-exempt prohibited transaction within the meaning of the Employee Retirement Income Security Act of 1974, as amended ("ERISA") or Internal Revenue Code ("code") Section 4975. In particular, I represent that: (a) the issuer of the security (or any affiliate thereof) is neither a "disqualified person" as defined in Code Section 4975(e)(2), nor a "party in interest" as defined in ERISA Section 3(14); (b) none of the principals/shareholders of the issuer of the security referenced above is my Advisor or other paid consultant to me; and (c) I understand, if that were not the case, that the transaction may be considered a non-exempt prohibited transaction under ERISA and/ or the Code. I confirm as of the date hereof all of my understandings, representations, warranties, agreements, and acknowledgments in my Alternative Investment Agreement.

Annual Custody Fee for Alternative Investment..... \$250 or as set by TD Ameritrade.

Annual Custody Fee assessed in March for Alternative Investments held as of December 31.

Printed Name of Account Owner:

 Account Owner's Signature:	Date: ____-____-____
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Printed Name of Account Co-Owner (if applicable):

 Account Co-Owner's Signature:	Date: ____-____-____
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Investment Products: Not FDIC Insured \* No Bank Guarantee \* May Lose Value