



YOUR NAME

Address | Telephone | Email

Date

Recipient

Title

Company

Street Address


City, ST ZIP Code

Dear Recipient:

I am interested in possibly transferring my 401K to a self-directed IRA with your company. Please answer the following questions to assist me in making a decision to invest with your company:

1. What are your educational, experiential, and professional background relating to financial and retirement planning?
2. Is your firm operating under any trade names, assumed names, DBAs, or other company business names that are different from your firm name?
3. Are you or any member of your firm a Certified Financial Planner (CFP)?
4. Are you a NAPFA-Registered Financial Advisor?
5. Are you a Registered Investment Advisor (RIA)?
6. Are you a Chartered Financial Analyst (CFA)?
7. Are you a Chartered Investment Counselor (CIC)?
8. Are you a Chartered Financial Consultant (ChFC)?
9. Are you a Personal Financial Specialist (PFS)?
10. Are you a registered representative of any broker or dealer?
11. Are you registered with any state Securities Commission?
12. Are you registered with the federal-level Securities and Exchange Commission (SEC)?
13. Are you registered with any governmental or state regulators or authorities?
14. Does your firm manage \$100 million or more in client assets?
15. Are you registered with the Investment Adviser Registration Depository (IARA)?
16. Have you passed the Series 65, 7, and 66 exams?
17. Are you registered with FINRA?
18. Are you registered with the Commodity Futures Trading Commission (CFTC)?
19. Are you registered with the National Association of Personal Financial Advisors (NAPFA)?
20. What states and countries are you registered to do business in?
21. Are you a fiduciary to act in my best interest and disclose to me any conflicts of interest?

22. Have you ever been the subject of any regulatory complaints, lawsuits, or criminal allegations?
23. What is the breakdown of the total costs that I will be charged (markups, commissions, custodial fees, investment/product fees, advisor fees, administrative fees, storage fees, taxes, insurance and storage fees, and any other hidden costs)?
24. What is your buy and sell price or your spread?
25. Are your commissions and fees included in the spread?
26. Will you purchase my precious metals or do I negotiate the purchase of the precious metals through the broker of my choice?
27. What price will I be charged over the prevailing spot for the precious metals?
28. What is your buy-back price I had to sell back the precious metals to you?
29. What is the company name and address of the **Administrator** that will manage my holdings and do you have any business affiliation and/or personal relationship with that company?
30. Is the **Administrator** a fiduciary?
31. What is the company name and address of the **IRA Trustee or Custodian** that will hold my metals and do you have any business affiliation and/or personal relationship and/or conflict of interest with that company?
32. Is the **IRA Trustee or Custodian** a fiduciary?
33. What is the company name and address of the **Depository** that will hold my metals and do you have any business affiliation and/or personal relationship and/or conflict of interest with that company?
34. Is the **Depository** a fiduciary?
35. Will the precious metals that you purchase on my behalf be compliant with IRS and federal rules?
36. Is there a maximum amount that the insurance company will insure my precious metals?
37. Will you provide me with the insurance policy and declarations page for the insurance coverage for my precious metals?
38. What is the insurance coverage offered by the storage facilities and can I purchase any additional policies for comprehensive coverage?
39. Do you offer a comprehensive insurance policy that covers all risks of loss or damage to my precious metals and what are the exclusions?
40. Does the comprehensive insurance policy include risks such as theft, fire, natural disasters and other acts of God?
41. What is the total dollar amount of precious metals the insurance company will provide full coverage?
42. Does the insurance coverage for my metals provide full replacement value at the prevailing market value based on the spot price?
43. What is the name and address of the authorized depository or vault that will store my precious metals?
44. Are my precious metals fully insured against all risks (including acts of God) at full replacement value at the prevailing rate?
45. Will I have the option to choose allocated or unallocated storage for my precious metals?
46. May I take possession of my precious metals held in my IRA investment account?

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47. Can I take physical possession of my metals or liquidate my assets and receive their value in cash instead with a 10% penalty if I am before the age of 59.5.
 48. Who do I need to contact to request a distribution and what forms do I complete to by my custodian.
 49. How many days will it take from the moment I place my request for distribution until the time my precious metals are delivered securely to my door?

Sincerely,

Your Name