

Employees are required to submit this form in order to complete the account opening process for opening their SIMPLE IRA (for SIMPLE IRA plans opened using Form 5304-SIMPLE).

Instructions

1. Complete this form in order to open a SIMPLE IRA with us under your employer's SIMPLE IRA plan.
2. Sign and send us this completed form:

Scan & Email

service@geowealth.com

Important Note

You will be unable to open a SIMPLE IRA with us under your employer's plan until we receive a fully completed and executed copy of this form and the SIMPLE IRA Employer Certification Form from your employer.

Certifications

I, _____, ("Employee"), hereby certify, represent and warrant to Goldman Sachs Custody Solutions ("GSCS") as follows:

- 1. I am an employee of _____ ("Employer") and am eligible to participate in the Savings Incentive Match Plan for Employees ("SIMPLE" or "Plan") adopted by Employer.
- 2. I understand that Employer is solely and exclusively responsible for the operation and monitoring of the Plan and for ensuring that Employees participating in the Plan, including myself, comply with the terms and conditions of the Plan, including, but not limited to, applicable restrictions and limitations on the nature and amount of contributions that can be made to my SIMPLE IRA. To assist Employer with fulfilling these responsibilities, GSCS, upon Employer's request, will provide Employer with electronic access to my SIMPLE IRA maintained by GSCS. By opening a SIMPLE IRA with GSCS and signing this SIMPLE IRA Employee Certification Form, I hereby consent to GSCS providing Employer with such access to my SIMPLE IRA.
- 3. I agree to indemnify and hold GSCS harmless, including GSCS's directors, officers, employees and agents from and against any and all losses, costs, damages and expenses (including reasonable attorney's fees) arising out of or related to my failure to comply with the certifications contained in this SIMPLE IRA Employee Certification Form.
- 4. I understand that only my Employer may make contributions to my SIMPLE IRA in the form of Employee Salary Reduction Contributions, Employer Matching Contributions, or Non-Elective Contributions, as outlined in the terms and conditions of the Plan, and that I am not permitted to make direct contributions to my SIMPLE IRA. I represent and warrant to GSCS that I will not make or attempt to make any direct contributions to my SIMPLE IRA.

CERTIFIED TO GOLDMAN SACHS CUSTODY SOLUTIONS

Print Employee Name	First Name	Middle Initial	Last Name
Employee Signature	X		Date (mm/dd/yyyy)
			/ /

Employers are required to submit this form in order to complete the account opening process for establishing their SIMPLE IRA plan (for SIMPLE IRA plans opened using Form 5304-SIMPLE).

Instructions

1. Complete this form in order for your employees to open a SIMPLE IRA with us under your company's SIMPLE IRA plan.
2. Sign and send us this completed form:

Scan & Email

service@geowealth.com

Important Note

Your employees will be unable to open a SIMPLE IRA with us under your company's plan until we receive a fully completed and executed copy of this form.

Employee Name	First Name	Middle Name (Required if exists)	Last Name
Employer Entity Name	Full Legal Name of the Employer Entity		
Employer Representative Name	First Name	Middle Name (Required if exists)	Last Name
Employer Rep. Title			
Employer Representative Signature	X		Date (mm/dd/yyyy) / /

Employer Certifications

With the signature of the Employer Representative, the Employer listed here, hereby certifies, represents and warrants to Goldman Sachs Custody Solutions ("GSCS", we, us, our) as follows:

1. Employer is eligible, under the Internal Revenue Code ("IRC") and regulations adopted thereunder, to adopt a Savings Incentive Match Plan for Employees ("SIMPLE" or "Plan") and will immediately notify us if Employer ceases to be eligible.
2. Employer has adopted a type 5304 SIMPLE and, under the terms of the Plan, Employees eligible to participate may select the financial institution at which they will open and maintain a SIMPLE IRA (i.e., Employer has not named a designated financial institution (DFI) for the Plan).
3. The Employee, listed here, is an Employee of Employer and is eligible to participate in the Plan. Employer will notify us immediately in the event Employee ceases to be eligible to participate in the Plan for any reason whatsoever.
4. Employer understands and agrees that it is solely and exclusively responsible for providing, and will provide Employee with all information and disclosures required to be provided to Employee under applicable laws, rules and regulations, including, but not limited to, providing Employee with the information contained in Pages 1 and 2 of Form 5304-SIMPLE on an annual basis.
5. Employer understands and agrees that it is solely and exclusively responsible for the operation of the Plan and for ensuring that Employee complies with the terms and conditions of the Plan, including, but not limited to, applicable restrictions and limitations on the nature and amount of contributions that can be made to Employee's SIMPLE IRA. To assist Employer with fulfilling these responsibilities, we, upon Employer's request and with Employee's consent, will provide Employer with electronic access to Employee's SIMPLE IRA that we custody.
6. Employer will comply with all of its obligations under the Plan and under applicable laws, rules, and regulations.
7. Employer agrees to indemnify and hold us harmless, including our directors, officers, employees and agents, from and against any and all losses, costs, damages and expenses (including reasonable attorney's fees) arising out of or related to Employer's failure to comply with the certifications contained in this SIMPLE IRA Employer Certification Form or its operation of the Plan.