Trading Letter of Instruction (LOI)

GeoWealth

Requests submitted via this form will take up to 5 business days to complete. If your request is time sensitive, please enter a Service Request in GeoWealth here.

Do not use this form to provide instructions unrelated to trading.

The **EASIEST** and **FASTEST** way to implement investment instructions is to go to the account in GeoWealth here, click on Service and select the instruction type (e.g. "Inject Cash").

The **SECOND EASIEST** way to submit investment instructions is to call us. We will immediately record a Zoom meeting with you and ask you for verbal instructions and we will submit the instructions for you. We will upload a copy of the Zoom meeting to the Documents vault for your records. All service requests can be viewed in the Service Center.

If instead you prefer to submit a written instruction, use this form. **Do not** enter a service request in GeoWealth and submit this form for the same instruction.

TRANSFERRING FUNDS into or out of an account always requires a client signature(s).

Click the type of Instruction below, or continue to the following pages to review options.

New Investment (into a model not currently in the account)

Inject Cash (into an existing model)

- Lump Sum Investment
- Dollar Cost Averaging

Change Investment

- Move from one model to another
- Change the holdings/weights in an existing Advisor built model

Systematic Withdrawals

Trade Hold

Terminate Management

Trading Letter of Instruction (LOI)

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Using DocuSign is faster than emailing this form to service@geowealth.com.

Sign via DocuSign

Use this form to submit investment instructions for an account. Do not enter a service request in GeoWealth and submit this form for the same instruction.

Account Name ______ Account Number ______

New Investment

Use this to invest in a model not currently held in the account.

List model(s) in which to invest:

Model Name ______ Invest Amount ______

Model Name ______ Invest Amount ______

Model Name ______ Invest Amount ______

☐ Funding Amount from Unaffiliated Cash ______

☐ Funding from selling securities held in the account that are not in a managed model. List the tickers and shares below. If additional space is needed, use an additional form or call us to process live.

Ticker	Shares	Ticker	Shares	Ticker	Shares	Ticker	Shares

Inject Cash

Use this to invest cash into a model(s) currently held in the account.

List model(s) in which to invest:

Model Name ______ Invest Amount ______

Model Name ______ Invest Amount ______

Model Name ______ Invest Amount ______

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Change Managed Investment

Use this to move funds from an existing model(s) to another model(s).

Invest Into:

Model Name		Invest Amount	
Model Name		Invest Amount	
Model Name		Invest Amount	
	Move Remainder to Cash	Invest Amount	

Funding Source:

Model Name		Amount to Sell	
Model Name		Amount to Sell	
Model Name		Amount to Sell	
	Unaffiliated Cash	Amount to Sell	

Dollar Cost Averaging*

Use this to schedule periodic investing in an existing model.

**Cannot be used to establish a position in a model. Use "New Investment" to make the initial investment.*

This is the per Frequency amount

Model Name		Invest Amount	
Model Name		Invest Amount	
Model Name		Invest Amount	

Frequency Please Select Every*

If "Monthly" is selected, this means "Every X Month"

○ Specific Date (MM/DD/YYYY)

○ Specify Date by Rule Please Select Please Select

Start Date (MM/DD/YYYY)

End Date (MM/DD/YYYY) ☐ No End Date

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Systematic Withdrawal

Use this to automatically sell a specific dollar amount of a model on a recurring basis.

Sell Instructions:

Model Name ____ Amount to Sell ____

Model Name ____ Amount to Sell ____

Model Name ____ Amount to Sell ____

Frequency Please Select Every* ____ *If "Monthly" is selected, this means "Every X Month"*

○ Specific Date (MM/DD/YYYY) ____

○ Specify Date by Rule Please Select Please Select

Start Date (MM/DD/YYYY) ____

End Date (MM/DD/YYYY) ____ ☐ No End Date

Distribution Instructions:

Retirement accounts require the custodian's distribution form. Click **here** to access the relevant custodian's distribution form.

○ Check to Address of Record

○ ACH to Bank on File

○ Wire to Bank on File

If multiple bank accounts are on file, indicate which to use; otherwise leave Bank Name & Account # fields blank.

Bank Name ____

Account # ____

Date to Distribute Funds* (MM/DD/YYYY) ____ Distribution Amount ____

**Distribution Date must be a minimum of 5 days after date of Sell Instructions to allow for trade settlement and holidays.*

If you need to add new Bank information, click ***here*** *for the Bank Link and Money Movement Form.*

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Stay Fully Invested

Use this to automatically invest non-model cash ("Unaffiliated Cash") into an existing model(s).

- ◯ Other than maintaining a small cash reserve for fees, please keep this account fully invested. As cash builds up in the account, invest it in the model. If there are multiple models in the account, invest the cash pro-rata.
- ◯ In addition to maintaining a small cash reserve for fees, please retain $ ________ cash in the account. Otherwise, keep the account fully invested. As cash builds up in the account, invest it in the model. If there are multiple models in the account, invest the cash pro-rata.

Trade Hold

Use this to prevent all trades from occurring for an account, or specific portfolios, for up to 90 days. **Billing is not halted as part of this request.**

- ☐ Halt all trades for this account. I understand that billing is not halted as part of this request. I understand that a Trade Halt cannot be in place for more than 90 Days.

End Date (MM/DD/YYYY) ________

Terminate Model Management

Use this option to terminate model management in an account. This may be used to prepare for an outgoing transfer or because the client wishes to move to cash or you are considering a change to another model provider in GeoWealth.

- ◯ **Cease Management.** All positions are moved to the Discretionary portfolio and will no longer be actively managed.
- ◯ **Liquidate.** All positions are sold and proceeds are moved to Unaffiliated Cash.
- ◯ **Partial Liquidation.** Specify which tickers to retain, separated by a comma. All securities not listed will be fully liquidated.

Tickers ________

Special Instructions

____

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Instructions Submitted By

Print Name

Date (MM/DD/YYYY)

◯ Advisor has trading Limited Power Of Attorney (LPOA). Client signature(s) **is not** required.

◯ Advisor **does not** have trading Limited Power Of Attorney (LPOA). Client signature(s) **is** required.

By signing below, I/we ("Client") authorize GeoWealth Management LLC ("GeoWealth") to make changes to the referenced account ("Account") in relation to asset allocation weights and the selection of proprietary and third-party model portfolios, mutual funds, exchange traded funds and/or exchange traded products, as applicable, in accordance with these instructions. Client authorizes GeoWealth to effect changes with respect to Program type to the Account, including changing the Account to a Program that charges higher fees, as applicable. In no event will GeoWealth be obligated to effect any transaction that would not otherwise be permitted under the applicable Program or take any action which GeoWealth believes in its discretion, would violate any applicable state or federal law, rule or regulation, or the rules or regulations of any self- regulatory body. Client agrees to indemnify and hold GeoWealth, its officers, directors, employees and affiliates harmless from and against any and all losses, costs, damages, liabilities and expenses (including reasonable attorney's fees) arising from, or related to, GeoWealth and its affiliates executing the instructions provided.

Primary Account Owner/Trustee/Executor

Date (MM/DD/YYYY)

Co-Account Owner/Co-Trustee/Co-Executor

Date (MM/DD/YYYY)