

Private Equity Investment

This information is being provided as a notice to the issuer, sponsor or manager of the Private Investment (“Issuer”) that was recently reviewed for administrative feasibility by Columbia Private Trust.

1. COLUMBIA PRIVATE TRUST ADMINISTRATIVE REQUIREMENT FOR INVESTMENTS

1. Columbia Private Trust clients’ interests in the asset should be registered to Columbia Private Trust for the benefit of the applicable client account(s). Written confirmation of purchase should be provided to Columbia Private Trust. If no confirmation is received, Columbia Private Trust may resign as custodian which may result in tax reportable distribution of the asset to investor. If a physical certificate is generated, the Issuer should forward to Columbia Private Trust for custody.
2. Issuer will need to provide Columbia Private Trust with an updated fair market value of the investment listed on this form at least annually. If no valuation is received, Columbia Private Trust may resign as custodian which may result in tax reportable distribution of the asset to investor.
3. All investment information and documentation including, but not limited to, offering materials, partnership agreements, subscription agreements, Schedule K-1s and UBTI information (if applicable) should be sent directly to investors’ home addresses and not to Columbia Private Trust.
4. Issuer should be familiar with the rules regarding accepting investments from retirement plan investors (e.g. prohibited transactions, Plan Assets rule, unrelated business taxable income, etc.).
5. Columbia Private Trust and its related entities do not perform any type of due diligence determination for any investment, and any review of offering materials is purely to determine the administrative characteristics of the asset. Its signature on any subscription documents should not be construed as a comment on investor suitability, investor accreditation or as a recommendation of the offering to the investor.
6. Columbia Private Trust and its related entities do not act as an independent fiduciary with investment discretion as defined by 29 CFR 2510.3-21(C)(1).
7. Columbia Private Trust and its related entities are not related to or affiliated with the management or selling agent(s) of the investment(s) purchased within Columbia Private Trust clients’ accounts, and it does not comment in the merits of any offering. Issuer may not make any representations to the contrary to investors, potential investors or their representatives.
8. The Issuer may not use Columbia Private Trust’s name in advertising, print or web-based material, or any other form of communication without the express written consent of Columbia Private Trust. With respect to educational materials developed by Columbia Private Trust, Issuer may not modify any such material without express written consent of Columbia Private Trust.
9. Where applicable, the Issuer should be familiar with SEC Rules 505 & 506 and understand requirements for compliance with those SEC Rules. Columbia Private Trust will not be responsible for monitoring compliance.

Additional Requirement Applicable to Offshore Funds

10. Columbia Private Trust Does not permit investment in a Foreign Sales Corporation (FSC) or a Certificate of Deposit/Time Deposit issued by a financial institution domiciled outside of the United States.

These are Administrative Requirements, if Issuer is not able to adhere or meet these items, Columbia Private Trust may not be able to act as custodian of the asset.

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NON-DEPOSIT INVESTMENT PRODUCTS ARE NOT INSURED BY THE FDIC; ARE NOT DEPOSITS OR OTHER OBLIGATIONS OF, OR GUARANTEED BY, THE BANK OR ANY OF ITS DIVISIONS; AND ARE SUBJECT TO INVESTMENT RISKS, INCLUDING POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

