

Required Documentation for Asset Settlement



For an asset to reflect as settled on the quarterly statement and no longer require action, documentation confirming your Equity Trust account's ownership of the asset is required. The below table provides the documentation necessary based on the type of asset.

ASSET TYPE	TO SETTLE	SAFEKEEPING
Entity/Private Equity		
Limited Liability Company (LLC)	Copy of Counter Signed Subscription Confirmation from Asset Sponsor	No requirements
Limited Partnership (LP)	Evidence of Ownership: <ul style="list-style-type: none"> • Copy of K-1 • Copy of Certificate of LP • Copy of Counter Signed Subscription • Confirmation from Asset Sponsor 	No requirements
Exempted LP or LLC/LTD Offshore	Evidence of Ownership: <ul style="list-style-type: none"> • Copy of K-1 • Copy of Certificate of LP • Copy of Counter Signed Subscription • Confirmation from Asset Sponsor 	No requirements
Hemp Related Investment	Evidence of Ownership: <ul style="list-style-type: none"> • Copy of K-1 • Copy of Certificate of LP • Copy of Counter Signed Subscription • Confirmation from Asset Sponsor 	No requirements
Other Investment Types		
Annuities	Copy of Statement from Annuity Carrier	No requirements
Land Trust	Copy of Executed Land Trust Agreement	No requirements
Joint Venture	Copy of Executed Agreement	No requirements
Equipment Leasing/Leasing	Copy of Executed Agreement	No requirements

ASSET TYPE	TO SETTLE	SAFEKEEPING
Other Investment Types		
Mobile Home	Original or copy of Recorded deed titled to Equity Trust Company	No Requirements
Oil and Gas	Copy of Executed Agreement	No Requirements
Structured Settlement	Copy of Executed Agreement	No Requirements
Promissory Note Secured w/ Other Collateral	Statement from Transfer Agent confirming the asset is registered to ETC	No Requirements
REIT (Public Non-Traded)	Statement from Transfer Agent confirming the asset is registered to ETC	No Requirements - Book Entry Requirement
Convertible Note	Copy of Promissory Note & Agreement	No Requirements
REIT (Private)	Copy of Stock Certificate, or Statement from Transfer Agent	Original Stock Certificate (if issued)
Private Debentures/Bonds	Copy of Executed Bond	No Requirements
Warrant/Options of Stock (Private)	Statement from Transfer Agent confirming asset is registered to ETC	Original Stock Certificate (if issued)
Warrant/Options of Stock (Public)	Statement from Transfer Agent confirming asset is registered to ETC	No Requirements - Book Entry Requirement
Commodities	Copy of Executed Agreement	No Requirements
Corporate Debt	Copy of Executed Bond Statement from Transfer Agent confirming the asset is registered to ETC	No Requirements
Tax Lien	Tax Lien Certificate (if applicable) Statement for tax lien provider	Tax Lien Certificate (if possible)

ASSET TYPE	TO SETTLE	SAFEKEEPING
Private Debt		
Promissory Note Secured w/ Mortgage	Copy of Executed Note, or Executed Assignment if Transfer, and Copy of Recorded Mortgage/Deed of Trust	No Requirements
Promissory Note - Unsecured	Copy of Executed Note, Executed Assignment	No Requirements
Hemp Related Investment	Copy of Promissory Note, Agreement, or Recorded Collateral documents	No Requirements
Real Estate		
Real Property	Copy of Executed Note, or Executed Assignment if Transfer, and Copy of Recorded Mortgage/Deed of Trust	No Requirements
Real Property Purchased with Debt Financing	Original or Copy of Recorded Deed titled to IRA	No Requirements
Real Estate Option	Copy of Executed Agreement	No Requirements
Land Contract/Contract for Deed	Copy of Executed Agreement	No Requirements
Restricted Stock (Transfer to ETCB or Outside Brokerage)		
Private	Copy of stock certificate, or statement from the Transfer Agent confirming the asset is registered to ETC	Original Stock Certificate (if issued)
Public	Statement from the Transfer Agent confirming the asset is registered to ETC	No Requirements - Book Entry Requirement

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