



# Invesco Solo 401(k)<sup>®</sup> Loan Request Form

Use this form to request a loan from an Invesco Solo 401(k) Plan. We recommend that you speak with a tax or financial advisor regarding the consequences of this transaction.

- Do not use this form to update loan repayments on an existing loan. Please use the Invesco Solo 401(k) Loan Repayment Change Form.
- The trustee is responsible for the preparation of the promissory note and security agreement. See the plan establishment kit for more information.
- The trustee/participant must sign in section 5. Any omissions will delay the processing of this request.

PLEASE USE BLUE OR BLACK INK

PLEASE PRINT CLEARLY IN BLOCK CAPITAL LETTERS

## 1 | Participant and Plan Information

Social Security Number (Required)

Invesco Account Number or Plan ID

Participant's Full Name (Please print name as it appears on account.)

Primary Phone Number

Email Address

Plan Name

## 2 | Loan Request Information (Complete all sections.)

### Important Note

- If you are initiating this loan immediately after paying off a previous loan by check, cashier's check or money order, or if your account was recently funded, a 10 calendar-day hold will apply. Please submit your request after the hold period.
- Review your Plan's Loan Policies and Procedures for information regarding interest rate, minimum loan requirements, and other information.
- A \$50 loan setup fee will be deducted from your account at the time the loan is funded. Additionally, a \$25 loan maintenance fee per loan will be deducted from your account annually.

### A. Type of Loan: (Required. Select one.)

**Note:** Only one outstanding loan per loan type is permitted.

- General Purpose       Mortgage Loan

### B. Amount of Loan: (Required. Select one.)

Fund loan in the amount of \$  ,  .  (minimum \$1,000)

Maximum amount available.

### C. Total Number of Repayments: (Required)

Please enter the total number of repayments below.

**Note:** The maximum number of repayments is 60 months for a general purpose loan, and 360 months for a mortgage loan. For example, the number of repayments for a two year general purpose loan is 24.

repayments



**D. Allocation of Loan Distribution** (Select one.)

If I do not provide an allocation of loan distribution, I am directing Invesco Investment Services, Inc. (IIS) to distribute using the proportionate method.

**Important:** Loan distributions are not permitted from Class B shares.

Proportionate across all investments within the participant's account.

OR

Fund the loan based on the following fund percentages:

Fund Number	Fund Name	Class of Shares	Percentage
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> %
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> %
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> %
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> %
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> %

Additional Instructions

**E. Allocation of Loan Distribution by Contribution Type** (Select one.)

If I do not provide an allocation of loan distribution by contribution type(s), I am directing IIS to distribute using the proportionate method across all contribution types.

Proportionate across all contribution types

OR

Allocate from the following contribution types only:

Salary Reduction

Rollover

Roth Elective Deferral

Employer Profit Sharing

Transfer

Roth Rollover

**3 | Delivery Instructions for Loan Proceeds**

**Note:** IIS will send a check payable to the participant and mail to the participant's address of record, unless specified below. Checks will not be forwarded.

Select only one payment option (A or B.)

**A. By Check:**

Make check payable to the participant and mail to the participant's address of record.

Mail check to a third party address. (A signature guarantee is required in section 5.)

Mailing Address

City

State

ZIP

**B. To Bank:** (If banking information is provided below and a single delivery option is not selected, proceeds will be sent via Automated Clearing House (ACH) to bank account provided in this section.)

Select one.

Wire or  ACH transfer (Allow 2-3 business days to receive your proceeds.)

Select one.

To bank of record on the account.

To repayment bank account provided in section 4. (A signature guarantee is required in section 5.)

To bank account listed on the next page. (A signature guarantee is required in section 5.)

PLEASE USE BLUE OR BLACK INK

PLEASE PRINT CLEARLY IN BLOCK CAPITAL LETTERS

Account Type:  Checking  Savings

Bank Routing Number

Bank Account Number

Bank Name

Name(s) on Bank Account

**4 | Loan Repayments Instructions**

**A. Bank Account Information**

- A temporary or starter check is not acceptable.
- A voided check taped below is required to establish bank account information.
- If a voided company or corporate check is provided, then a letter from that financial institution verifying the authorized signers must be included.

Your monthly loan repayment will be made via bank drafts from your bank account. The bank drafts are electronic transfers of funds from your bank to Invesco's bank through the Automated Clearing House (ACH) Network. As soon as your bank has accepted your authorization, the amount of each repayment will be electronically deducted from your bank account on, or about, the twenty-fifth (25th) of each month, starting the month following the issuance of the loan distribution. The bank will process the electronic funds transfer and a debit entry will appear on your bank account statement. Additionally, these bank instructions may also receive redemption proceeds as requested.

By signing this form, both the Trustee and participant agree that if this draft is discontinued and not replaced with another draft or a payment is missed prior to the draft being replaced the loan may be considered in default. The participant will have until the end of the calendar quarter following the quarter in which the loan repayment was due to make the missed repayment(s) (cure period) before IIS will treat the outstanding loan balance (principle plus interest) as a deemed distribution, which will be reported on Form 1099-R.

**Signature of Bank Account Owner(s)** (Required if different from Invesco Account Registration.)

By signing this form and providing bank instructions, I understand and acknowledge that:

- IIS may accept written instructions to remit redemption proceeds, and IIS may pay and charge my account for ACH drafts paid to the Invesco account.
- This authorization will remain in full force and effect, and IIS may continue to honor instructions to draft this bank account until written notice is provided revoking this authority.

Signature of Bank Account Owner

Date (mm/dd/yyyy)

Account Type:  Checking  Savings

Name(s) on Bank Account

\_\_\_\_\_

\_\_\_\_\_

Pay to the order of \_\_\_\_\_ \$

\_\_\_\_\_

**Please tape your voided check here.**

Routing Number  Account Number

**B. Allocation of Loan Repayments**

If I do not provide a repayment allocation instruction below, I am directing IIS to reinvest the repayments in accordance with my current investment allocation instructions on file. Furthermore, I understand that IIS will reinvest my repayments at net asset value (NAV), including loan proceeds originating from Invesco Government Money Market - Cash Reserve Shares.

Select one.

- My loan repayments are to be invested in accordance with my current investment allocations on file with IIS.
- My loan repayments are to be invested in accordance with the following investment allocation instructions:

Fund Number	Fund Name	Percentage
		<input type="text"/> <input type="text"/> <input type="text"/> %
		<input type="text"/> <input type="text"/> <input type="text"/> %
		<input type="text"/> <input type="text"/> <input type="text"/> %
		<input type="text"/> <input type="text"/> <input type="text"/> %

**5 | Authorization and Signature of Plan Trustee(s) and Participant (Required)**

**Plan Trustee Authorization:**

By signing below, I acknowledge that it is solely my responsibility, as trustee of the plan, to:

- ensure that the loan terms above comply with the plan's loan policy and applicable law, and
- administer any loan program in accordance with the terms of the applicable plan documents.

I further acknowledge that IIS undertakes no responsibility to advise the plan with regard to the administration of any such loan program.

I submit this request to IIS to issue a loan distribution and set up a loan in the participant's account based upon the information provided above and deduct the loan establishment and maintenance fees described in section 2.

If I am also the Participant, I understand and agree to the terms set forth below.

**Participant Authorization:**

I authorize IIS to initiate drafts via the ACH Network from the bank account identified in section 4, pursuant to instructions received from the plan's trustee. I understand that all purchases of fund shares pursuant to these instructions are subject to the terms of the prospectus(es) of the applicable Funds. I understand that the amount drafted will be set forth in the instructions so provided and the timing of any such draft will be dependent upon when the instructions are received by IIS. I agree that the rights of IIS with respect to each draft shall be the same as if it were drawn directly by the account owner, as applicable. I agree that, should any draft be dishonored, with or without cause, intentionally or inadvertently, IIS shall have no liability whatsoever with respect to any order for the purchase of Fund shares which were to have been settled via such draft. I further agree that IIS may delay the payment of redemption proceeds with respect to Fund shares purchased via such a draft for period of up to ten (10) days in order to enable IIS to confirm that the draft has cleared. This authorization shall remain in full force and effect and IIS may continue to honor instructions to draft the referenced account until notification revoking this authority is provided. Notice should be provided to Invesco's Client Services at 800 959 4246 or in writing to: IIS, PO Box 219078, Kansas City, MO 64121.

I assume responsibility for all tax consequences resulting from this transaction. IIS assumes no responsibility for tax consequences resulting from this transaction. I understand that if a loan when made satisfies the requirements of Section 72(p) of the Internal Revenue Code, but there is an expressed or tacit understanding that the loan will not be repaid or, for any reason, the transaction does not create a debtor-creditor relationship or is otherwise not a bona fide loan, then the loan is treated as an actual distribution from the outset.

I submit this request to the Trustee to issue a loan distribution and setup a loan in my account based upon the information provided above and deduct the loan establishment and maintenance fees described in section 2.

**REQUEST FOR TAXPAYER IDENTIFICATION NUMBER** (Substitute Form W-9)

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), **and**
2. I am not subject to backup withholding because: **(a)** I am exempt from backup withholding, or **(b)** I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or **(c)** the IRS has notified me that I am no longer subject to backup withholding, **and**
3. I am a U.S. person (including a U.S. resident alien), **and**
4. I am exempt from FATCA reporting.

**Certification instructions:** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN.

**In consideration of IIS acting on instructions and processing transactions as described above, I agree to indemnify and hold harmless IIS, its affiliates, each of their respective employees, officers, trustees, or directors, and each of the Invesco Funds from and against any and all claims, losses, liabilities, damages and expenses that may be incurred by reason of your actions taken in accordance with the instructions set forth herein.**

**Important Note:** If the Plan Trustee and Participant are one and the same, then only the Plan Trustee's signature is required below.

Plan Trustee's Signature (*Required*)

Name (*Please print*) and Date (mm/dd/yyyy)

**X**

Plan Trustee's Signature

Name (*Please print*) and Date (mm/dd/yyyy)

**X**

Participant's Signature (*Only required if not the trustee.*)

Name (*Please print*) and Date (mm/dd/yyyy)

**X**

A signature guarantee for the Plan Trustee or Successor Trustee is required under the following circumstances:

- Loan proceeds to be paid to someone other than the participant or plan.
- Loan proceeds to be sent somewhere other than the address of record or bank of record on the account.
- Loan proceeds will be sent to an address or bank of record that has been on your Invesco account for less than 15 days.

**Signature Guarantee:** (Please place signature guarantee stamp below.)

Each signature must be guaranteed by a bank, broker-dealer, savings and loan association, credit union, national securities exchange or any other "eligible guarantor institution" as defined in rules adopted by the Securities and Exchange Commission. Signatures may also be guaranteed with a medallion stamp of the STAMP program or the NYSE Medallion Signature Program, provided that the amount of the transaction does not exceed the relevant surety coverage of the medallion. **A signature guarantee may NOT be obtained through a notary public.**

**Note:** Endorsement guarantee is not acceptable.

**6 | Mailing Instructions**

Please send completed and signed form to:

**(Direct Mail)**

Invesco Investment Services, Inc.  
P.O. Box 219078  
Kansas City, MO 64121-9078

**(Overnight Mail)**

Invesco Investment Services, Inc.  
c/o DST Systems, Inc.  
430 W. 7th Street  
Kansas City, MO 64105-1407

**For additional assistance please contact an Invesco Client Services representative at 800 959 4246, weekdays, 7 a.m. to 6 p.m. Central Time.**