

# Certification Regarding Beneficial Owners of Legal Entity Customers

## I. General Instructions

### What is this form?

To help the government fight financial crime, federal regulation requires certain financial institutions to obtain, verify, and record information about the beneficial owners of legal entity customers. Legal entities can be abused to disguise involvement in terrorist financing, money laundering, tax evasion, corruption, fraud, and other financial crimes. Requiring the disclosure of key individuals who ultimately own or control a legal entity (i.e., the beneficial owners) helps law enforcement investigate and prosecute these crimes.

### Who has to complete this form?

This form must be completed by the person opening a new account on behalf of a legal entity with any of the following U.S. financial institutions: (i) a bank or credit union; (ii) a broker or dealer in securities; (iii) a mutual fund; (iv) a futures commission merchant; or (v) an introducing broker in commodities.

For the purposes of this form, a legal entity includes a corporation, limited liability company, partnership, and any other similar business entity formed in the United States or a foreign country.

### What information do I have to provide?

This form requires you to provide the name, address, date of birth and social security number (or passport number or other similar information, in the case of foreign persons) for the following individuals (i.e., the **beneficial owners**):

(i) Each individual, if any, who owns, directly or indirectly, 25 percent or more of the equity interests of the legal entity customer (e.g., each natural person that owns 25 percent or more of the shares of a corporation); **and**

(ii) An individual with significant responsibility for managing the legal entity customer (e.g., a Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President or Treasurer).

The financial institution will ask for a copy of a driver's license or other identifying document for each beneficial owner listed on this form.

## II. Certification of Beneficial Owner(s)

**Persons opening an account on behalf of a Legal Entity must provide the following information:**

**A. Name and Title** of Natural Person opening account:

Account #:

**B. Name, Type, and Address** of Legal Entity for which the account is being opened:

**C. The following information for **one** individual with significant responsibility for managing the Legal Entity listed above:**

An executive officer or senior manager (e.g. Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, Treasurer); or, Any other individual who regularly performs similar functions.

### Individual with Control Information

|                              |                              |                   |                     |      |       |     |
|------------------------------|------------------------------|-------------------|---------------------|------|-------|-----|
| Individual Name              |                              | Street Address    |                     |      |       |     |
| Date of Birth                | TIN Type<br>SSN ITIN Number: |                   | Address Line 2      |      |       |     |
| Primary ID Type              |                              | Primary ID Number |                     | City | State | Zip |
| State (or Country) of Issue: | Issue Date:                  | Expiration Date:  | BANK USE ONLY: OFAC |      |       |     |

Certification Regarding Beneficial Owners of Legal Entities

D. The following information for **each** individual, if any, who directly or indirectly, through any contract, arrangement, understanding, relationship, or otherwise, **owns 25% or more** of the equity interests of the Legal Entity listed above. If no individual meets this definition, please check "Beneficial Owner Not Applicable" below.

-For a foreign person without a (SSN/ITIN), provide a Passport Number and Country of Issuance. In lieu of a passport, foreign persons may also provide a U.S. government-issued Alien ID or other foreign government-issued documents evidencing nationality or residence and bearing a photograph or similar safeguard.

**Beneficial Owner 1 Information: \_\_\_\_\_% of ownership**

|                              |                              |                  |                     |     |
|------------------------------|------------------------------|------------------|---------------------|-----|
| Individual Name              |                              | Street Address   |                     |     |
| Date of Birth                | TIN Type<br>SSN ITIN Number: | Address Line 2   |                     |     |
| Primary ID Type              | Primary ID Number            | City             | State               | Zip |
| State (or Country) of Issue: | Issue Date:                  | Expiration Date: | BANK USE ONLY: OFAC |     |

**Beneficial Owner 2 Information: \_\_\_\_\_% of ownership**

|                              |                              |                  |                     |     |
|------------------------------|------------------------------|------------------|---------------------|-----|
| Individual Name              |                              | Street Address   |                     |     |
| Date of Birth                | TIN Type<br>SSN ITIN Number: | Address Line 2   |                     |     |
| Primary ID Type              | Primary ID Number            | City             | State               | Zip |
| State (or Country) of Issue: | Issue Date:                  | Expiration Date: | BANK USE ONLY: OFAC |     |

**Beneficial Owner 3 Information: \_\_\_\_\_% of ownership**

|                              |                              |                  |                     |     |
|------------------------------|------------------------------|------------------|---------------------|-----|
| Individual Name              |                              | Street Address   |                     |     |
| Date of Birth                | TIN Type<br>SSN ITIN Number: | Address Line 2   |                     |     |
| Primary ID Type              | Primary ID Number            | City             | State               | Zip |
| State (or Country) of Issue: | Issue Date:                  | Expiration Date: | BANK USE ONLY: OFAC |     |

**Beneficial Owner 4 Information: \_\_\_\_\_% of ownership**

|                              |                              |                  |                     |     |
|------------------------------|------------------------------|------------------|---------------------|-----|
| Individual Name              |                              | Street Address   |                     |     |
| Date of Birth                | TIN Type<br>SSN ITIN Number: | Address Line 2   |                     |     |
| Primary ID Type              | Primary ID Number            | City             | State               | Zip |
| State (or Country) of Issue: | Issue Date:                  | Expiration Date: | BANK USE ONLY: OFAC |     |

**Beneficial Owner not applicable. Explain below (i.e. <25%, Charity/Non-Profit, etc.).**

I, \_\_\_\_\_ (name of natural person opening account) hereby certify, to the best of my knowledge, that the information is complete and correct. I agree to notify the bank if any changes to beneficial ownership are made.

**SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_**