

# 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 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 any 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; and (v) an introducing broker in commodities.

For purposes of this form, a **legal entity** includes a corporation, limited liability company, or other entity that is created by a filing of a public document with a Secretary of State or similar office, a general partnership, and any similar business entity formed in the United States or a foreign country. **Legal entity** does not include sole proprietorships, unincorporated associations, or natural persons opening accounts on their own behalf.

### 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 Non-U.S. persons) for the following individuals (i.e., **the beneficial owners**):

- (i) Each individual, if any, who owns, directly or indirectly, 20% or more of the equity interests of the legal entity customer (e.g. each natural person that owns 20% or more of the shares of a corporation); and
- (ii) An individual with significant responsibility for managing the legal entity customer (e.g., Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Fire Chief, Managing Member, General Partner, President, Vice President or Treasurer).

The number of individuals who satisfy this definition of “beneficial owner” may vary. Under section (i), depending on the factual circumstances, up to five individuals (but as few as zero) may need to be identified. Regardless of the number of individuals identified under section (i), you must provide the identifying information of one individual under section (ii). It is possible that in some circumstances the same individual might be identified under both sections (e.g. the President of Acme, Inc. who also holds a 30% equity interest). Thus, a completed form will contain the identifying information of at least one individual (under section (ii)), and up to six individuals (i.e., one individual under section (ii) and five 20% equity holders under section (i)).

The financial institution may also ask to see a copy of a driver’s license or other identifying document for each beneficial owner listed on this form.

## II. CERTIFICATION OF BENEFICIAL OWNERS

Persons opening an account on behalf of a legal entity must provide the following information:

|   |   |      |       |                 |
|---|---|------|-------|-----------------|
| A | Name and Title of Natural Person Opening Account                    |      |       |                 |
|   | Name and Type of Legal Entity for Which the Account is Being Opened |      |       |                 |
|   | Legal Entity Physical Address (no PO Boxes)                         | City | State | Zip/Postal Code |

|   |  |  |  |
|---|--|--|--|
| B | <p>The following information for each individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship, or otherwise, owns 20% or more of the equity interests of the legal entity listed above.</p> <p><input type="checkbox"/> Check here if no individual meets this definition and complete Section C.</p> <p><a href="#">To add additional individuals, see page 3</a></p> |  |  |
|   |  |  |  |

|  |   |   |       |
|--|---|---|-------|
| Name   |   | Date of Birth (MM/DD/YYYY)  |       |
| Residential Address                                  |   | City  | State |
|  |   | Zip/Postal Code   |       |
| Country  | Social Security Number (For U.S. Persons) | For Non-U.S. Persons (SSN, Passport Number or other similar identification number)* |       |
| Driver's License or Government ID or State ID Number |   | ID Issue Date   | State |
|  |   | ID Expiration   |       |

\* In lieu of a passport number, Non-U.S. persons may also provide a Social Security Number, an alien identification card number, or number and country of issuance of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

|   |  |  |  |
|---|--|--|--|
| C | <p><b>The following information for <u>ONE</u> individual with significant responsibility for managing the legal entity listed above, such as:</b> an executive officer or senior manager (e.g. Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Fire Chief, Managing Member, General Partner, President, Vice President or Treasurer); or any other individual who regularly performs similar functions. If appropriate, an individual listed under section (B) above may also be listed in this section (C).</p> |  |  |
|   |  |  |  |

|  |   |   |       |
|--|---|---|-------|
| Name   |   | Date of Birth (MM/DD/YYYY)  |       |
| Residential Address                                  |   | City  | State |
|  |   | Zip/Postal Code   |       |
| Country  | Social Security Number (For U.S. Persons) | For Non-U.S. Persons (SSN, Passport Number or other similar identification number)* |       |
| Driver's License or Government ID or State ID Number |   | ID Issue Date   | State |
|  |   | ID Expiration   |       |

\* In lieu of a passport number, Non-U.S. persons may also provide a Social Security Number, an alien identification card number, or number and country of issuance of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

I, \_\_\_\_\_ (name of natural person opening account), hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

|           |                   |
|-----------|-------------------|
| Signature | Date (MM/DD/YYYY) |
|-----------|-------------------|

Legal Entity Identifier (optional)

**Additional Section B - Second Beneficial Owner** (If required)

|  |   |   |                          |
|--|---|---|--------------------------|
| Name   |   | Date of Birth (MM/DD/YYYY)  |                          |
| Residential Address                                  |   | City  | State<br>Zip/Postal Code |
| Country  | Social Security Number (For U.S. Persons) | For Non-U.S. Persons (SSN, Passport Number or other similar identification number)* |                          |
| Driver's License or Government ID or State ID Number |   | ID Issue Date   | State<br>ID Expiration   |

\* In lieu of a passport number, Non-U.S. persons may also provide a Social Security Number, an alien identification card number, or number and country of issuance of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

**Additional Section B - Third Beneficial Owner** (If required)

|  |   |   |                          |
|--|---|---|--------------------------|
| Name   |   | Date of Birth (MM/DD/YYYY)  |                          |
| Residential Address                                  |   | City  | State<br>Zip/Postal Code |
| Country  | Social Security Number (For U.S. Persons) | For Non-U.S. Persons (SSN, Passport Number or other similar identification number)* |                          |
| Driver's License or Government ID or State ID Number |   | ID Issue Date   | State<br>ID Expiration   |

\* In lieu of a passport number, Non-U.S. persons may also provide a Social Security Number, an alien identification card number, or number and country of issuance of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

**Additional Section B - Fourth Beneficial Owner** (If required)

|  |   |   |                          |
|--|---|---|--------------------------|
| Name   |   | Date of Birth (MM/DD/YYYY)  |                          |
| Residential Address                                  |   | City  | State<br>Zip/Postal Code |
| Country  | Social Security Number (For U.S. Persons) | For Non-U.S. Persons (SSN, Passport Number or other similar identification number)* |                          |
| Driver's License or Government ID or State ID Number |   | ID Issue Date   | State<br>ID Expiration   |

\* In lieu of a passport number, Non-U.S. persons may also provide a Social Security Number, an alien identification card number, or number and country of issuance of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

**Additional Section B - Fifth Beneficial Owner** (If required)

|  |   |   |                          |
|--|---|---|--------------------------|
| Name   |   | Date of Birth (MM/DD/YYYY)  |                          |
| Residential Address                                  |   | City  | State<br>Zip/Postal Code |
| Country  | Social Security Number (For U.S. Persons) | For Non-U.S. Persons (SSN, Passport Number or other similar identification number)* |                          |
| Driver's License or Government ID or State ID Number |   | ID Issue Date   | State<br>ID Expiration   |

\* In lieu of a passport number, Non-U.S. persons may also provide a Social Security Number, an alien identification card number, or number and country of issuance of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.