

CERTIFICATION OF BENEFICIAL OWNERS OF LEGAL ENTITY CUSTOMERS

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I. GENERAL INSTRUCTIONS

What is this form?

To help government fight financial crime, federal regulation requires certain financial institutions to obtain, verify, and record information about the beneficial owners of legal entity customers.

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 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, a limited liability company, or other entity that is created by a filing of a public document with the secretary of state or similar office, general partnership, and any similar business entity formed in the U.S. or a foreign country. **Legal entity** does not include sole proprietorships, unincorporated associations, or natural persons opening accounts on 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 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, 25 percent or more of the equity interest 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 Treasures)

The number of individuals that satisfy this definition of “beneficial owner” may vary. Under section (i), depending on the factual circumstances, up to four 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 5 individuals (i.e., one individual in section (ii) and four 25 percent 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 OWNER(S)

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

a. Name and Title of Natural Persons Opening Account:

b. Name, Type and address of Legal Entity for which the account is being opened:

c. The following information for each individual, if any, who directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns 25 percent or more of the equity interests of the legal entity listed above:

Name	Date of Birth	Address (Residential or Business Street Address)	For U.S Persons: Social Security Number	For Non-US Persons: SSN, Passport # and Country of Issuance, or other similar identification number*

d. The following information for one individual with significant responsibility for managing the legal entity listed above such as:

- An executive officer or senior manager (e.g. CEO, CFO, COO, Managing Member, General Partner, President, VP, Treasurer); or
- Any other individual who regularly performs similar functions

Name/ Title	Date of Birth	Address (Residential or Business Street Address)	For U.S Persons: Social Security Number	For Non-US Persons: SSN, Passport # and Country of Issuance, or other similar identification number

I _____, hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

Signature

Date