



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 the 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?

When you open a new account on behalf of a legal entity, please provide information about the legal entity's beneficial owner(s), including their name, address, date of birth and social security number (or passport number or other similar information, in the case of foreign persons) and a copy of a driver's license or other unexpired government-issued identifying document bearing a photograph for each beneficial owner listed on this form.

Beneficial owners are:

- (1) 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**
- (2) 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).

II. CERTIFICATION OF BENEFICIAL OWNER(S)

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

Last Name and Title of Natural Person Opening Account		First Name	Middle Initial
Name and Type of Legal Entity for Which the Account Is Being Opened			
Legal Entity Address	City	State	ZIP/Postal Code

Beneficial Owner Information Not Applicable

Please provide the following information for an individual(s), 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.

Beneficial Owner 1 Information: _____ % of Ownership

Last Name		First Name	M.I.	Date of Birth
Address		City	State	ZIP/Postal Code
Country	SSN (U.S. Persons)	SSN, Passport Number or Other Similar Identification Number (Foreign Persons)*		
		Country of Issuance		

Beneficial Owner 2 Information: _____ % of Ownership

Last Name		First Name	M.I.	Date of Birth
Address		City	State	ZIP/Postal Code
Country	SSN (U.S. Persons)	SSN, Passport Number or Other Similar Identification Number (Foreign Persons)*		
		Country of Issuance		

Beneficial Owner 3 Information: _____ % of Ownership

Last Name		First Name	M.I.	Date of Birth
Address		City	State	ZIP/Postal Code
Country	SSN (U.S. Persons)	SSN, Passport Number or Other Similar Identification Number (Foreign Persons)*		
		Country of Issuance		

Beneficial Owner 4 Information: _____ % of Ownership

Last Name		First Name	M.I.	Date of Birth
Address		City	State	ZIP/Postal Code
Country	SSN (U.S. Persons)	SSN, Passport Number or Other Similar Identification Number (Foreign Persons)*		
		Country of Issuance		

* In lieu of a social security or passport number, foreign persons may provide an alien identification card number or number and country of issuance of any other government-issued document evidencing nationality or residence bearing a photograph or similar safeguard.

Please provide the following information for an individual with significant responsibility for managing or directing the entity, including 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. If appropriate, an individual listed above may also be listed below.

Individual with Control Information

Last Name		First Name	M.I.	Date of Birth
Address		City	State	ZIP/Postal Code
Country	SSN (U.S. Persons)	SSN, Passport Number or Other Similar Identification Number (Foreign Persons)*		
		Country of Issuance		

* In lieu of a social security or passport number, foreign persons may provide an alien identification card number or number and country of issuance of any other government-issued document evidencing nationality or residence bearing a photograph or similar safeguard.

Certification

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

Signature: _____ Date: _____

Legal Entity Identifier (Optional): _____