



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 (example: 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 US 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 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 foreign persons) for the following individuals (example: the beneficial owners):

- Each individual, if any, who owns, directly or indirectly, 25% or more of the equity interests of the legal entity customer (example: each natural person that owns 25% or more of the shares of a corporation); **and**
- An individual with significant responsibility for managing the legal entity customer (example: a Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President or Treasurer).

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 (example: 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 five individuals (example: one individual under section (ii) and four 25% 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 in 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 the person opening the account:

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b) Name and Address of the business that is being opened:

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c) 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:

Name/Title	Date of Birth	Address (Residential or Business Street Address)	Social Security Number	Identification: Driver's License State and Number; Passport Number and Country of Issuance

If no individual meets this definition, please write "Not Applicable".

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 (example: 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 under section (c) above may also be listed in this section (d).

Name/Title	Date of Birth	Address (Residential or Business Street Address)	Social Security Number	Identification: Driver's License State and Number; Passport Number and Country of Issuance

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

Signature: _____ Date: _____