

BENEFICIAL OWNER CERTIFICATION FORM

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.

Who has to complete this form?

This form must be completed by the person opening a new account on behalf of a legal entity. For the purposes of this form, a legal entity includes a corporation, limited liability company, or other entity that is created by 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 (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/or
- (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 number of individuals that satisfy this definition of “beneficial owner” may vary.

CERTIFICATION OF BENEFICIAL OWNER(S)

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

BUSINESS INFORMATION			
Name of Natural Person opening account		Title	
Business name		<input type="checkbox"/> Sole proprietorship	
Phone		<input type="checkbox"/> Partnership	
E-mail		<input type="checkbox"/> Corporation	
Registered company address		<input type="checkbox"/> Other	

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:

BENEFICIAL OWNER 1			
Name			
Date of Birth		US Citizens – Enter Social Security Number	
Address (Personal or Business)			
Foreign Persons – Passport Number and Country of Issuance			
BENEFICIAL OWNER 2			
Name			
Date of Birth		US Citizens – Enter Social Security Number	
Address (Personal or Business)			
Foreign Persons – Passport Number and Country of Issuance			
BENEFICIAL OWNER 3			
Name			
Date of Birth		US Citizens – Enter Social Security Number	
Address (Personal or Business)			
Foreign Persons – Passport Number and Country of Issuance			
BENEFICIAL OWNER 4			
Name			
Date of Birth		US Citizens – Enter Social Security Number	
Address (Personal or Business)			
Foreign Persons – Passport Number and Country of Issuance			

(If no individual meets this definition, please write “Not Applicable.”)

¹ In lieu of a passport number, foreign persons may also provide 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.

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

- An executive officer or senior manager; or
- Any other individual who regularly performs similar functions.

(If appropriate, an individual listed under beneficial owner above may also be listed in this section.)

RESPONSIBLE INDIVIDUAL	
Name	
Date of Birth	
Address (Personal or Business)	
US Citizens – Enter Social Security Number	
Foreign Persons – Passport Number and Country of Issuance	

By signing below I certify, to the best of my knowledge, that the information provided above is complete and correct.

SIGNATURES	
Signature	
Name and Title	
Date	

¹ In lieu of a passport number, foreign persons may also provide 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.