



Certification Regarding Beneficial Owners of Legal Entity Customers

I. General Instructions

What is this form?

To assist the government in fighting 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, 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 the person(s) opening the 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; or (v) an introducing broker in commodities.

For the purposes of this form, a **legal entity** includes a corporation, limited liability company, partnership, and any other similar business entity formed in the United States.

What information do I have to provide?

This form requires you to provide the name, address, date of birth and social security number for the following individuals:

- (i) Each individual, if any, who owns, directly or indirectly, 25 percent or more of the legal entity customer (e.g., each natural person that owns 25 percent or more of the 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 or VP)

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 may be identified under both sections.

The financial institution may also ask to see a copy of a drivers 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 Person Opening Account:*

b. *Name and Address of Legal Entity for Which the Account is Being Opened*

c. *The following information (basic CIP) 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:*

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

Name	DOB	SSN	Physical Address	Ownership %

d. *The following information for one individual with significant responsibility for managing the legal entity*

Name	DOB	SSN	Physical Address

*** 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 _____