

Certification Regarding Beneficial Owners of Legal Entity Customers

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 crime. Requiring the disclosures of key individuals who ultimately 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 opening a new account on behalf of a legal entity with any of the following U.S. financial institutions: (i) a bank or credit unions; (ii) a broker or dealer in securities; (iii) a mutual fund; (iv) a future 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 or a foreign country.

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. beneficial owners):

- (i) 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), **and**
- (ii) 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)

Certification of Beneficial Owners

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 for each individual, if any, who directly or indirectly owns¹ 25 percent or more of the equity interest of the legal entity listed above:

Name	Date of Birth	Street Address (Residential or Business Address)	City	State	Zip	For US Persons: Social Security Number -or- For Foreign Persons: Passport Number and Country of Issuance

Individual with Control Information

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

Name	Date of Birth	Street Address	City	State	Zip	For US Persons: Social Security Number -or- For Foreign Persons: Passport Number and Country of Issuance

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

Signature: _____ Date: _____

¹ Ownership includes any contract, arrangement, understanding, relationship or otherwise that involves 25 percent or more equity interest in the legal entity.