



(Please proceed with the form below if you are a legal entity)

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 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 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 (i.e., the beneficial owners):

- (i) Each individual, if any, who owns, directly or indirectly, 10 percent or more of the equity interests of the legal entity member (e.g., each natural person that owns 10 percent or more of the shares of a corporation); and
- (ii) An individual with significant responsibility for managing the legal entity member (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. 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 (e.g., 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 six individuals (i.e., one individual under section (ii) and seven 10 percent 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 on this form.

II. Certification of Beneficial Owner(s)

a. Name and title of natural person opening account: _____

b. Name and address of legal entity opening account: _____

c. The following information for each individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns 10 percent or more of the equity interests of the legal entity listed above:

Name	% of Shares	Date of Birth	Address (Residential or Business Street Address)	U.S. Person: SSN/ITIN	Foreign Person: Passport No. & Country of Issuance or Similar Identification No.*
				<input type="checkbox"/> Check if ITIN	
				<input type="checkbox"/> Check if ITIN	

(Continued on next page)

Name	% of Shares	Date of Birth	Address (Residential or Business Street Address)	U.S. Person: SSN/ITIN	Foreign Person: Passport No. & Country of Issuance or Similar Identification No.*
				<input type="checkbox"/> Check if ITIN	
				<input type="checkbox"/> Check if ITIN	
				<input type="checkbox"/> Check if ITIN	
				<input type="checkbox"/> Check if ITIN	
				<input type="checkbox"/> Check if ITIN	
				<input type="checkbox"/> Check if ITIN	
				<input type="checkbox"/> Check if ITIN	
				<input type="checkbox"/> Check if ITIN	

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

Name	% of Shares	Date of Birth	Address (Residential or Business Street Address)	U.S. Person: SSN/ITIN	Foreign Person: Passport No. & Country of Issuance or Similar Identification No.*
				<input type="checkbox"/> Check if ITIN	
				<input type="checkbox"/> Check if ITIN	
				<input type="checkbox"/> Check if ITIN	

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: _____

Name Printed: _____

*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.

Legal Entity Identifier _____ (Optional)