



# Business Services

## CERTIFICATION REGARDING BENEFICIAL OWNERS OF LEGAL ENTITY CUSTOMERS

### BUSINESS INFORMATION

#### 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 or maintaining business relationships 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 that is created by a filing of a public document with a Secretary of State or similar office in the United States or a foreign county. 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 non-U.S. persons) for the following 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
- (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. 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 five individuals (i.e., one individual under section (ii) and four 25 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.

### EXPRESS AUTHORIZATION FOR CASHING CHECKS

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

	<i>Title of Person Opening Account</i>
_____	Chief Executive Officer
<i>Name of Person Opening Account</i>	President
_____	General Manager
<i>Name of Legal Entity for Which the Account is Being Opened</i>	Managing Partner
_____	Chief Financial Officer
<i>Type of Legal Entity</i>	Vice President
_____	General Partner
<i>Address of Legal Entity (Street Address, City, State and Zip)</i>	Other Officer/Manager
	Chief Operating Officer
	Treasurer
	Managing Member

**OWNERSHIP INFORMATION**

Please provide 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. If no individual meets this definition, please check the box below:

Beneficial Owner Not Applicable

For a non-U.S. person without a Social Security Number (SSN) or Individual Taxpayer Identification Number (ITIN), provide a Passport Number and Country of Issuance in the State field. In lieu of a passport, non-U.S. persons may also provide a U.S. government-issued Alien ID or other foreign government-issued documents evidencing nationality or residence and bearing a photograph or similar safeguard.

**Beneficial Owner 1**

_____			_____			_____			
Name (First, MI, Last, Suffix)			Date of Birth			Social Security Number			
_____						_____			
Physical Address (no PO Box)						Title/Position			
U.S. Citizen?	Yes	No	_____	Control?	Yes	No	Beneficial Owner?	Yes	No
			Percentage of Ownership						
<b>Driver's License or Government Issued ID</b>									
_____			_____			_____		_____	
Type of ID			Number			State		Expiration Date	

**Beneficial Owner 2**

_____			_____			_____			
Name (First, MI, Last, Suffix)			Date of Birth			Social Security Number			
_____						_____			
Physical Address (no PO Box)						Title/Position			
U.S. Citizen?	Yes	No	_____	Control?	Yes	No	Beneficial Owner?	Yes	No
			Percentage of Ownership						
<b>Driver's License or Government Issued ID</b>									
_____			_____			_____		_____	
Type of ID			Number			State		Expiration Date	

**Beneficial Owner 3**

_____			_____			_____			
Name (First, MI, Last, Suffix)			Date of Birth			Social Security Number			
_____						_____			
Physical Address (no PO Box)						Title/Position			
U.S. Citizen?	Yes	No	_____	Control?	Yes	No	Beneficial Owner?	Yes	No
			Percentage of Ownership						
<b>Driver's License or Government Issued ID</b>									
_____			_____			_____		_____	
Type of ID			Number			State		Expiration Date	

**Beneficial Owner 4**

_____			_____			_____			
Name (First, MI, Last, Suffix)			Date of Birth			Social Security Number			
_____						_____			
Physical Address (no PO Box)						Title/Position			
U.S. Citizen?	Yes	No	_____	Control?	Yes	No	Beneficial Owner?	Yes	No
			Percentage of Ownership						
<b>Driver's License or Government Issued ID</b>									
_____			_____			_____		_____	
Type of ID			Number			State		Expiration Date	

**CONTROLLING PERSON INFORMATION**

All business must provide the following information for at least 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 Ownership Information section above may also be listed in this section.

For a non-U.S. person without a Social Security Number (SSN) or Individual Taxpayer Identification Number (ITIN), provide a Passport Number and Country of Issuance in the State field. In lieu of a passport, non-U.S. persons may also provide a U.S. government-issued Alien ID or other foreign government-issued documents evidencing nationality or residence and bearing a photograph or similar safeguard.

**Controlling Person**

_____			_____		
Name <i>(First, MI, Last, Suffix)</i>			Date of Birth		
_____					
Physical Address <i>(no PO Box)</i>					
_____					
Social Security Number		Percentage of Ownership			
U.S. Citizen?	Yes	No	Control?	Yes	No
Beneficial Owner?	Yes	No			

**Title of Controlling Person**

- Chief Executive Officer
- President
- General Manager
- Managing Partner
- Chief Financial Officer
- Vice President
- General Partner
- Other Officer/Manager
- Chief Operating Officer
- Treasurer
- Managing Member

**Driver's License or Government Issued ID**

_____		_____	
Type of ID		Number	
_____			
State	Date Issued	Expiration Date	

**CONFIRMATION OF INFORMATION**

I, \_\_\_\_\_ *(name of person opening the account)*, hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_