



Beneficial Owners Certification

New Customer

Existing Customer

Name of Legal Entity

Name of Person Opening Account

Title

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.
 For Non Profit corporations, certification needed only on Individual with Control.

Beneficial Owner 1

Name

Copy of ID obtained

Address

Exp Date:

Social Security Number

Date of Birth

Beneficial Owner 2

Name

Copy of ID obtained

Address

Exp Date:

Social Security Number

Date of Birth

Beneficial Owner 3

Name

Copy of ID obtained

Address

Exp Date:

Social Security Number

Date of Birth

Beneficial Owner 4

Name

Copy of ID obtained

Address

Exp Date:

Social Security Number

Date of Birth

Individual with Control

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

- An executive officer or a 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.

Name

Copy of ID obtained

Address

Exp Date:

Social Security Number

Date of Birth

I, _____, hereby certify, to the best of my knowledge, that the information provided above is complete and correct. I further certify if at anytime there are any changes in ownership, I will notify the bank within 30 days.

Sign

Date

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 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: a bank or credit union; a broker or dealer in securities; a mutual fund; a futures commission merchant; or 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. **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):

- ✓ 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
- ✓ 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 financial institution will ask to see a copy of a driver's license or other identifying document for each beneficial owner listed on this form.