



BENEFICIAL OWNERSHIP CERTIFICATION

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

LEGAL ENTITY NAME	NAME & TITLE OF NATURAL PERSON PRESENT

LEGAL ENTITY PHYSICAL ADDRESS

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** in the equity interests of the legal entity listed above. If no individual meets this definition, please check: Not Applicable

ENTITY OWNER 1			CIF #
NAME & TITLE	DATE OF BIRTH (MM/DD/YYYY)	SSN (US PERSONS) *	
STREET ADDRESS	CITY, STATE	ZIP	OWNERSHIP %

ENTITY OWNER 2			CIF #
NAME & TITLE	DATE OF BIRTH (MM/DD/YYYY)	SSN (US PERSONS) *	
STREET ADDRESS	CITY, STATE	ZIP	OWNERSHIP %

ENTITY OWNER 3			CIF #
NAME & TITLE	DATE OF BIRTH (MM/DD/YYYY)	SSN (US PERSONS) *	
STREET ADDRESS	CITY, STATE	ZIP	OWNERSHIP %

ENTITY OWNER 4			CIF #
NAME & TITLE	DATE OF BIRTH (MM/DD/YYYY)	SSN (US PERSONS) *	
STREET ADDRESS	CITY, STATE	ZIP	OWNERSHIP %

CONTROLLING INDIVIDUAL			CIF #
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Please provide 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. CEO, CFO, COO, Managing Member, General Partner, President, Vice President or Treasurer); OR Any other individual who regularly performs similar functions. If appropriate, an individual listed above, may be listed again.

NAME & TITLE	DATE OF BIRTH (MM/DD/YYYY)	SSN (US PERSONS) *	
STREET ADDRESS	CITY, STATE	ZIP	OWNERSHIP %

CERTIFICATION OF ACCURACY**

I, _____, hereby certify, to the best of my knowledge, that the information provided above is complete and correct. I understand that it is my responsibility to notify the bank of any changes.

SIGNATURE	DATE	ACCOUNT #	LEGAL ENTITY IDENTIFIER
IF APPLICABLE - NOT EIN/SSN			

* ALL NON-US PERSONS MUST DOCUMENT A PASSPORT # WITH COUNTRY OF ISSUANCE OR SIMILAR GOVERNMENT-ISSUED IDENTIFYING DOCUMENTATION EVIDENCING NATIONALITY OR RESIDENCE AND BEARING A PHOTOGRAPH.

**THE CERTIFICATION OF ACCURACY SECTION MUST BE SIGNED BY THE PERSON WHO COMPLETED THIS FORM. THIS FORM MAY BE COMPLETED BY ANYONE THAT IS KNOWLEDGEABLE OF THE REQUIRED DETAILS.

REV 02/2020 HT

BENEFICIAL OWNERSHIP CERTIFICATION

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 an 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, 25% or more of the equity interests of the legal entity customer (e.g. each natural person who owns 25% or more of the shares of the corporation; and
- (ii) An individual with significant responsibility for managing the legal entity customer (e.g. Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President or Treasurer)

(iii) Notification to the bank every time this information changes.

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 in 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% 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.

HAVE YOU INCLUDED ALL REQUIRED DOCUMENTATION?

Completed Beneficial Owner Certification Form

Primary Identification for each owner

Acceptable Identification for persons: Unexpired US DL, State ID, Military ID, Passport for Non-US Persons, Alien ID

Secondary Identification for each owner

Acceptable Identification for persons: Postal Verification, Current Tenant Agreement, Bank Reference, CBC

Legal Entity Owner Addendum if applicable