

Beneficial Ownership Form

Date: _____ Account Number: _____ Tax Identification #: _____
 Business Name: _____ Legal Entity Identifier (Optional): _____
 Business Address: _____
 First and Last Name of Natural Person Opening Account: _____ Title: _____
 Describe the products/services provided by the business: _____

CERTIFICATION OF BENEFICIAL OWNERS OF LEGAL ENTITY CUSTOMERS

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.

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.

A legal entity is any entity created by the filing of a public document with the Secretary of State or similar office.

- Corporation Any kind of trust filed with state General Partnership filed with state
- Limited Liability Company Limited Partnership filed with state Formed under a foreign jurisdiction
- Other entity filed with state This account is exempt from the beneficial ownership requirements

Beneficial Owners

Please provide the following information for an individual(s), if any, who directly or indirectly, through any contract arrangement, understanding, relationship, or otherwise owns 25% of more of the equity interests of the legal entity listed above.

Same as person opening account

Name	DOB	Address	For U.S. Persons: Social Security	For Non-U.S. Persons: Social Security Number, Passport Number and Country of Issuance, or other similar identification number. (1)

Check here if no individual meets the definition of a beneficial owner (above) and explain below (i.e. All <25%; Charity/Non-Profit; etc.):

Complete 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 the Beneficial Owner section above may also be listed in this section).

Name	DOB	Title	Address	For U.S. Persons: Social Security	For Non-U.S. Persons: Social Security Number, Passport Number and Country of Issuance, or other similar identification number. (1)

1 In lieu of a passport number, Non-U.S. Persons may also provide a Social Security Number, 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.

Attestation:

I, _____ (name of natural person opening account), hereby certify, to the best of my knowledge, that the information provided above is complete and correct. I agree to notify the financial institution of any change in such information.

Signature: _____ Date: _____

Bank Use Only:

Collection: _____	Date: _____	NAICS/ Risk code: _____
Data Entry: _____	Date: _____	
Deposit Operations: _____	Date: _____	
Deposit Operations Supervisor: _____	Date: _____	
BSA Officer: _____	Date: _____	