



# 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 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. 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 or a statutory trust.

### **What information do I have to provide?**

This form requires you to provide the name, physical 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 individuals (i.e., **the 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) (“Equity Owner”); **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) (“Individual with Managerial Control”).

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)

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

**A. Entity Legal Name:** \_\_\_\_\_

**B. Trade Name:** \_\_\_\_\_

Type of Organization:     Corporation    Partnership    Limited Liability Company    Incorporated Association    Statutory Trust

**C. 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. If no individual meets this definition, please check “Equity Owner Not Applicable” below and skip this section.**

**Equity Owner Not Applicable**

- U.S. Persons: Provide a Social Security Number (SSN) or Individual Taxpayer Identification Number (ITIN).
- Non-U.S. Persons: Provide a SSN (if available) and Passport Number and Country of Issuance. In lieu of a passport, a Non-U.S. Person may also provide an Alien ID card number, or number and country of issuance of any other government-issued documents evidencing nationality or residence and bearing a photograph or similar safeguard. A copy of the government-issued picture identification document must also be provided.
- If an Equity Owner also has managerial control, please check the applicable box indicating this.

**Equity Owner 1 Information:**                      \_\_\_\_\_ % of ownership                       Managerial Control

Individual Name		Street Address			
Date of Birth		Address Line 2			
ID Type <input type="checkbox"/> SSN <input type="checkbox"/> ITIN <input type="checkbox"/> Non-U.S. Passport <input type="checkbox"/> Non-U.S. Other ID	City	State	ZIP Code	Country	
Number: _____ Country of Issuance _____					



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**Equity Owner 2 Information:** \_\_\_\_\_% of ownership  Managerial Control

Individual Name	Street Address			
Date of Birth	Address Line 2			
ID Type <input type="checkbox"/> SSN <input type="checkbox"/> ITIN <input type="checkbox"/> Non-U.S. Passport <input type="checkbox"/> Non-U.S. Other ID	City	State	ZIP Code	Country
Number: _____ Country of Issuance _____				

**Equity Owner 3 Information:** \_\_\_\_\_% of ownership  Managerial Control

Individual Name	Street Address			
Date of Birth	Address Line 2			
ID Type <input type="checkbox"/> SSN <input type="checkbox"/> ITIN <input type="checkbox"/> Non-U.S. Passport <input type="checkbox"/> Non-U.S. Other ID	City	State	ZIP Code	Country
Number: _____ Country of Issuance _____				

**Equity Owner 4 Information:** \_\_\_\_\_% of ownership  Managerial Control

Individual Name	Street Address			
Date of Birth	Address Line 2			
ID Type <input type="checkbox"/> SSN <input type="checkbox"/> ITIN <input type="checkbox"/> Non-U.S. Passport <input type="checkbox"/> Non-U.S. Other ID	City	State	ZIP Code	Country
Number: _____ Country of Issuance _____				

**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)).

**Individual with Managerial Control**

Individual Name	Title			
Date of Birth	Street Address			
	Address Line 2			
ID Type <input type="checkbox"/> SSN <input type="checkbox"/> ITIN <input type="checkbox"/> Non-U.S. Passport <input type="checkbox"/> Non-U.S. Other ID	City	State	ZIP Code	Country
Number: _____ Country of Issuance _____				



**Certified/ Agreed To**

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I, \_\_\_\_\_ Title \_\_\_\_\_ hereby certify, to the best  
Print Name

of my knowledge, that the information provided above is complete and correct.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date