

**Certification of Beneficial Owner(s)**

**Persons opening an account on behalf of a Legal Entity must provide the following information:**

a. Name and Title of Natural Person opening account: \_\_\_\_\_ Account #: \_\_\_\_\_

b. Name and Address of Legal Entity for which the account is being opened: \_\_\_\_\_

c. 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:

	Name	Date of Birth	Address (Residential or Business Street Address)	For U.S. Persons: Social Security #	For Foreign Persons: Passport # and Country of Issuance <sup>1</sup>	% of Ownership
1.						
2.						
3.						
4.						

\*If no individual meets this definition, please enter "Not Applicable" above and **explain below** (i.e. All <25%; Charity/Non-Profit, etc.):

\_\_\_\_\_

**\*Beneficial Owner Detail:** As applicable, please explain any layers of Beneficial Ownership, etc. (For example, ABC Co. is 50% owned by 123 Corp. 123 Corp. is 50% owned by John Doe; therefore, John is a 25% Beneficial Owner of ABC Co.)

\_\_\_\_\_

\_\_\_\_\_

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)).

Name	Date of Birth	Address (Residential or Business Street Address)	For U.S. Persons: Social Security #	For Foreign Persons: Passport # and Country of Issuance <sup>1</sup>

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

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

Legal Entity Identifier \_\_\_\_\_ (Optional)

**Beneficial Owner Verification**

<sup>1</sup> In lieu of a passport number, foreign persons may also provide 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.

**For internal use ONLY.**

**Beneficial Owner #1:**

Driver's License Number, or Other Identifying Document: \_\_\_\_\_

State (or Country) of Issue: \_\_\_\_\_ ; Issue Date: \_\_\_\_\_ ; Expire Date: \_\_\_\_\_

Secondary Form of Identification: \_\_\_\_\_

**OFAC Check** Comments (if applicable): \_\_\_\_\_

**Beneficial Owner #2:**

Driver's License Number, or Other Identifying Document: \_\_\_\_\_

State (or Country) of Issue: \_\_\_\_\_ ; Issue Date: \_\_\_\_\_ ; Expire Date: \_\_\_\_\_

Secondary Form of Identification: \_\_\_\_\_

**OFAC Check** Comments (if applicable): \_\_\_\_\_

**Beneficial Owner #3:**

Driver's License Number, or Other Identifying Document: \_\_\_\_\_

State (or Country) of Issue: \_\_\_\_\_ ; Issue Date: \_\_\_\_\_ ; Expire Date: \_\_\_\_\_

Secondary Form of Identification: \_\_\_\_\_

**OFAC Check** Comments (if applicable): \_\_\_\_\_

**Beneficial Owner #4:**

Driver's License Number, or Other Identifying Document: \_\_\_\_\_

State (or Country) of Issue: \_\_\_\_\_ ; Issue Date: \_\_\_\_\_ ; Expire Date: \_\_\_\_\_

Secondary Form of Identification: \_\_\_\_\_

**OFAC Check** Comments (if applicable): \_\_\_\_\_

**Individual with Control:**

Driver's License Number, or Other Identifying Document: \_\_\_\_\_

State (or Country) of Issue: \_\_\_\_\_ ; Issue Date: \_\_\_\_\_ ; Expire Date: \_\_\_\_\_

Secondary Form of Identification: \_\_\_\_\_

**OFAC Check** Comments (if applicable): \_\_\_\_\_

**Comments:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_