

# Legal Entity Beneficial Ownership Certification Form



## Important Notice- The USA PATRIOT Act

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.

**What this means to you:** 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.

### Purpose

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.

### Important Notes

This form requires you to provide the name, address, date of birth and Social Security number for the following individuals:

- (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); 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)

### Section A- Account Information

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

a. Name and Title of Natural Person Opening Account:	d. TIN of Legal Entity:
b. Name of Legal Entity for Which the Account is Being Opened:	e. Type of Legal Entity:
c. Address of Legal Entity:	

### Section B- Beneficial Owner(s)

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: **Initial here** \_\_\_\_\_ if NO individuals meet the definition of beneficial owner

**Note:** Non-profits do not have to complete this section.

Name (First, MI, Last)/ Title	% of Ownership	Date of Birth (mm/dd/yyyy)	Address	Taxpayer ID Number*

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

\* For a foreign person without a SSN, provide a Passport Number and Country of Issuance. In lieu of a passport, foreign persons may also provide a government-issued Alien ID or other foreign government-issued documents evidencing nationality or residence and bearing a photograph or similar safeguard.

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### Section C- Managing Individual

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., 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 (b) above may also be listed in this section (c)).

Name (First, MI, Last)/ Title	Date of Birth (mm/dd/yyyy)	Address	Taxpayer ID Number*

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

\* For a foreign person without a SSN, provide a Passport Number and Country of Issuance. In lieu of a passport, foreign persons may also provide a government-issued Alien ID or other foreign government-issued documents evidencing nationality or residence and bearing a photograph or similar safeguard.

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### Section D- Certification

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 (mm/dd/yyyy): \_\_\_\_\_