

Certification of Beneficial Owners of Legal Entity Members

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 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 other 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 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); **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).

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:

Account open/maintenance Information

A. Name and Title of Natural Person Opening Account:

B. Name, Type 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 percent or more of the equity interests of the legal entity listed above. If no individual meets this definition, please check "Beneficial Owner Not Applicable" below and skip this section.

Beneficial Owner Not Applicable

-For a person with a Taxpayer Identification Number (TIN), provide the TIN and leave Primary ID Type, Description and ST/Ctry/Prov blank.

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

Beneficial Owner 1 Information: _____% of ownership

| | | |
|--------------------------------------|----------|----------------|
| Individual Name | | Street Address |
| Date of Birth | | Address Line 2 |
| Taxpayer Identification Number (TIN) | TIN Type | Address Line 3 |

| | | | | |
|-------------------------|------------------------|------|-------|---------|
| Primary ID Type | Primary ID Description | City | State | Country |
| Primary ID St/Ctry/Prov | ZIP/Postal Code | | | |

Beneficial Owner 2 Information: _____% of ownership

| | | | | |
|--------------------------------------|------------------------|----------------|-------|---------|
| Individual Name | | Street Address | | |
| Date of Birth | | Address Line 2 | | |
| Taxpayer Identification Number (TIN) | TIN Type | Address Line 3 | | |
| Primary ID Type | Primary ID Description | City | State | Country |
| Primary ID St/Ctry/Prov | ZIP/Postal Code | | | |

Beneficial Owner 3 Information: _____% of ownership

| | | | | |
|--------------------------------------|------------------------|----------------|-------|---------|
| Individual Name | | Street Address | | |
| Date of Birth | | Address Line 2 | | |
| Taxpayer Identification Number (TIN) | TIN Type | Address Line 3 | | |
| Primary ID Type | Primary ID Description | City | State | Country |
| Primary ID St/Ctry/Prov | ZIP/Postal Code | | | |

Beneficial Owner 4 Information: _____% of ownership

| | | | | |
|--------------------------------------|------------------------|----------------|-------|---------|
| Individual Name | | Street Address | | |
| Date of Birth | | Address Line 2 | | |
| Taxpayer Identification Number (TIN) | TIN Type | Address Line 3 | | |
| Primary ID Type | Primary ID Description | City | State | Country |
| Primary ID St/Ctry/Prov | ZIP/Postal Code | | | |

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)).

- For a person with a Taxpayer Identification Number (TIN), provide the TIN and leave Primary ID Type, Description and ST/Ctry/Prov blank.
- For a foreign person without a TIN, provide a Passport Number and Country of Issuance. In lieu of a passport, foreign persons may also provide a U.S. government-issued Alien ID or other foreign government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

Individual with Control Information

| | | | | |
|--------------------------------------|------------------------|-----------------|----------------|---------|
| Individual Name | | Street Address | | |
| Date of Birth | | Address Line 2 | | |
| Taxpayer Identification Number (TIN) | | TIN Type | Address Line 3 | |
| Primary ID Type | Primary ID Description | City | State | Country |
| Primary ID St/Ctry/Prov | | ZIP/Postal Code | | |

Certified/Agreed To

I, _____ (name of natural person opening account), hereby certify, to
Print Name

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

| | |
|-----------|-------|
| Signature | Date |
| _____ | _____ |