

# Certification Regarding Beneficial Owners of Legal Entity Customers

Bank Name:		Branch Name:	
Banker Name:		Office/Portfolio Number:	Date:
Banker Phone:	Branch Number:	Banker AU:	Banker MAC:
Enterprise Customer Number (ECN) (For Bank Use Only):		Account Number:	

## 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 or maintaining business relationships 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, partnership, and any other similar business entity formed in the United States or a foreign country.

### 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 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:**

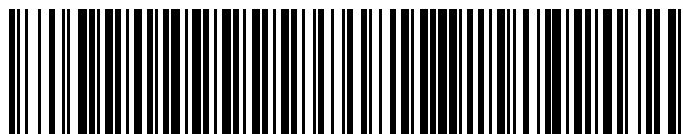
### Account open/maintenance Information

**A.** Full Legal Name and title of person representing the legal entity customer and opening account or maintaining the business relationship

Legal Name	Title
	<input type="checkbox"/> CEO <input type="checkbox"/> CFO <input type="checkbox"/> COO <input type="checkbox"/> President <input type="checkbox"/> Vice President <input type="checkbox"/> Treasurer <input type="checkbox"/> General Manager <input type="checkbox"/> General Partner <input type="checkbox"/> Managing Member <input type="checkbox"/> Managing Partner <input type="checkbox"/> Officer/Manager

**B.** Full Legal Entity Name and address for which the account is being opened/maintained. (P.O. Box is not permitted)

Name			
Street Address	City	State	ZIP/Postal Code



**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.

Note: When the entity is owned by a Trust, the individual trustee must be listed in the owner section.

**Beneficial Owner Not Applicable**

-For a person with a Social Security Number (SSN) or Individual Taxpayer Identification Number (ITIN), provide the (SSN/ITIN) and leave Primary ID Type, Description and ST/Ctry/Prov blank.

-For a non-U.S. person without a (SSN/ITIN), provide a Passport Number and Country of Issuance. In lieu of a passport, non-U.S. 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.

**Owner 1 Information: \_\_\_\_\_% of ownership**

Full Legal Name		Street Address		
Date of Birth		Address Line 2		
TIN type <input type="checkbox"/> SSN <input type="checkbox"/> ITIN		Address Line 3		
Number _____				
Primary ID Type	Primary ID Description	City	State	Country
Primary ID St/Ctry/Prov	ZIP/Postal Code			
Enterprise Customer Number (ECN) (For Bank Use Only):				

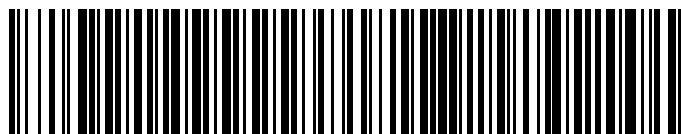
**Owner 2 Information: \_\_\_\_\_% of ownership**

Full Legal Name		Street Address		
Date of Birth		Address Line 2		
TIN type <input type="checkbox"/> SSN <input type="checkbox"/> ITIN		Address Line 3		
Number _____				
Primary ID Type	Primary ID Description	City	State	Country
Primary ID St/Ctry/Prov	ZIP/Postal Code			
Enterprise Customer Number (ECN) (For Bank Use Only):				

**Owner 3 Information: \_\_\_\_\_% of ownership**

Full Legal Name		Street Address		
Date of Birth		Address Line 2		
TIN type <input type="checkbox"/> SSN <input type="checkbox"/> ITIN		Address Line 3		
Number _____				
Primary ID Type	Primary ID Description	City	State	Country
Primary ID St/Ctry/Prov	ZIP/Postal Code			
Enterprise Customer Number (ECN) (For Bank Use Only):				

**Manual Submission Instructions:**  
Route signed and completed form to Deposit Product Support Services.  
Scanner Enabled Branches should scan.  
BBG6784-A (Rev 03 - 03/19)



F001-0000BBG6784A-02

**Owner 4 Information: \_\_\_\_\_% of ownership**

Full Legal Name		Street Address		
Date of Birth		Address Line 2		
TIN type <input type="checkbox"/> SSN <input type="checkbox"/> ITIN   Number _____		Address Line 3		
Primary ID Type	Primary ID Description	City	State	Country
Primary ID St/Ctry/Prov		ZIP/Postal Code		
Enterprise Customer Number (ECN) (For Bank Use Only):				

**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 Social Security Number (SSN) or Individual Taxpayer Identification Number (ITIN), provide the SSN/ITIN and leave Primary ID Type, Description and ST/Ctry/Prov blank.
- For a non-U.S. person without a SSN/ITIN, provide a Passport Number and Country of Issuance. In lieu of a passport, non-U.S. 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**

Full Legal Name		Title		
Street Address		<input type="checkbox"/> CEO	<input type="checkbox"/> CFO	<input type="checkbox"/> COO
Date of Birth		<input type="checkbox"/> President	<input type="checkbox"/> Vice President	<input type="checkbox"/> Treasurer
TIN type <input type="checkbox"/> SSN <input type="checkbox"/> ITIN   Number _____		<input type="checkbox"/> General Manager	<input type="checkbox"/> General Partner	<input type="checkbox"/> Managing Member
Primary ID Type		<input type="checkbox"/> Officer/Manager		
Primary ID Description				
Primary ID St/Ctry/Prov		City	State	Country
Enterprise Customer Number (ECN) (For Bank Use Only):		ZIP/Postal Code		

**Certified/Agreed To**

I, \_\_\_\_\_, hereby certify, to  
Full Legal Name of Person Opening Account

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

Signature	Date
_____	_____

