

Beneficial Ownership For Entities and Trusts

Helpful to Know

- What is this form?**

To help the government fight financial crimes, Federal regulation requires your Broker/Dealer to obtain your name, date of birth, address, and a government-issued ID number before opening your account, and to verify the information. In certain circumstances, the Clearing Firm or your Broker/Dealer may obtain and verify comparable information for any person authorized to make transactions in an account. Also, Federal regulation requires your Broker/Dealer to obtain and verify the beneficial owners and control persons of legal entity customers. Requiring the disclosure of key individuals who own or control a legal entity helps law enforcement investigate and prosecute crimes. Your account may be restricted or closed if the Clearing Firm or your Broker/Dealer cannot obtain and verify this information. The Broker/Dealer or the Clearing Firm will not be responsible for any losses or damages (including, but not limited to, lost opportunities) that may result if your account is restricted or closed.

- 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, 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 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 number of individuals that satisfy this definition of "beneficial owner" may vary. Under section (i), depending on the factual circumstances, up to four individuals (but as few as zero) may need to be identified. Regardless of the number of individuals identified under section (i), you must provide the identifying information of one individual under section (ii). It is possible that in some circumstances the same individual might be identified under both sections (e.g., the President of Acme, Inc. who also holds a 30 percent equity interest). Thus, a completed form will contain the identifying information of at least one individual (under section (ii)), and up to five individuals (i.e., one individual under section (ii) and four 25 percent equity holders under section (i)). 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.

- Do not use this form to update trustees or authorized individuals on an entity account. Instead, use a Trustee Certification of Investment Powers form or the appropriate business certification form (e.g., Corporate and Unincorporated Resolution).
- If there are additional individuals that should be named on this form, make copies of the appropriate sections.

1. Entity Account Information *Additional documentation may be required.*

Check one and provide applicable information.

Type of Entity

Corporation Partnership LLC Trust Other

Other

Enter full entity name as evidenced by the relevant formation document (e.g., trust document, partnership agreement, corporate resolution).

Entity/Trust Name			
State/Country of Organization	<input type="checkbox"/> SSN <input type="checkbox"/> TIN	Social Security/Taxpayer ID Number	Date of Trust MM/DD/YYYY

Cannot be a P.O. Box or Mail Drop.

Legal Address

Address Line 1		Address Line 2	
City	State/Province	Zip/Postal Code	Country

2. Control Person/Beneficial Owner *Additional documentation may be required.*

If the control person or beneficial owner is an en entity, provide the full entity name as evidenced by the relevant formation document (e.g., trust document, partnership agreement, corporate resolution), and provide the name and required information of the control person or beneficial owner of the entity on another Beneficial Ownership for Entities and Trusts form.

- If you check this box and do not provide any entity owners below, then you are acknowledging that there are no individuals or entities that meet the definition of "Entity Owner." You agree to notify your Broker/Dealer if or when beneficial ownership of the entity changes.

Beneficial Owner/Control Person

Required. Check all that apply.

Enter full name as evidenced by a government-issued, unexpired document (e.g., driver's license, passport, permanent resident card).

<input type="checkbox"/> Control Person	<input type="checkbox"/> Entity Owner		
<input type="checkbox"/> Grantor/Settlor	<input type="checkbox"/> Individual with Appoint/Remove Authority		
<input type="checkbox"/> DECEASED Grantor/Settlor	<input type="checkbox"/> Individual with Revoke/Amend Authority		
First Name	Middle Name	Last Name	
Title required for control person			
Entity Name as evidenced by the relevant formation document (e.g., trust document, corporate resolution)			
State/Country of Organization			
Country of Citizenship	Citizenship Status		
<input type="checkbox"/> SSN <input type="checkbox"/> TIN	Social Security/Taxpayer ID Number	Date of Birth MM DD YYYY	% of Ownership
Type of Government-Issued ID	ID Number	State of ID Issuance	
ID Issuance Date MM DD YYYY	ID Expiration Date MM DD YYYY		

Legal Address

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Address Line 1		Address Line 2	
City	State/Province	Zip/Postal Code	Country

Additional Beneficial Owner/Control Person *If you need space for more Entity Owners, make a copy of this page.*

Required. Check all that apply.

Enter full name as evidenced by a government-issued, unexpired document (e.g., driver's license, passport, permanent resident card).

<input type="checkbox"/> Control Person	<input type="checkbox"/> Entity Owner		
<input type="checkbox"/> Grantor/Settlor	<input type="checkbox"/> Individual with Appoint/Remove Authority		
<input type="checkbox"/> DECEASED Grantor/Settlor	<input type="checkbox"/> Individual with Revoke/Amend Authority		
First Name	Middle Name	Last Name	
Title required for control person			
Entity Name as evidenced by the relevant formation document (e.g., trust document, corporate resolution)			
State/Country of Organization			
Country of Citizenship	Citizenship Status		
<input type="checkbox"/> SSN <input type="checkbox"/> TIN	Social Security/Taxpayer ID Number	Date of Birth MM DD YYYY	% of Ownership
Type of Government-Issued ID	ID Number	State of ID Issuance	
ID Issuance Date MM DD YYYY	ID Expiration Date MM DD YYYY		

continued on next page

2. Control Person/Beneficial Owner *continued*

Cannot be a P.O. Box
or Mail Drop.

Legal Address

Address Line 1		Address Line 2	
City	State/Province	Zip/Postal Code	Country

3. Signatures and Dates *Form cannot be processed without signatures and dates.*

By signing below, you certify and acknowledge the following:

- All information or documentation provided by you is true, accurate, and complete.
- You are authorized to provide this information on behalf of the Entity and you affirm that you are authorized to make the representations made herein.
- The Social Security number(s) and/or the TIN(s) provided on this form is the correct taxpayer identification number (or you are waiting for a number to be issued).

An authorized person for the account must print name, sign, and date.

Print Authorized Individual Name <i>First, M.I., Last</i>		Title	
Authorized Individual Signature		Date <i>MM - DD - YYYY</i>	

SIGN ▶