



## Certification of Beneficial Owners of Legal Entities

<b>Financial Institution Location:</b>	<b>Financial Institution Contact Person:</b>	<b>Contact Phone Number:</b>
<b>Name of Legal Entity for Which the Account is Being Opened:</b>		<b>Physical Address of Legal Entity:</b>
<b>Account Number:</b>	<b>CIF Number:</b>	<b>TIN/EIN Number:</b>

### 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 used 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.

#### 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 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.

If checked, business customer is exempt from Beneficial Ownership requirement.

Reason: \_\_\_\_\_

#### 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 foreign 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% 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 will also ask to see a copy of a driver's license or other identifying document for each beneficial owner listed on this form.

## II. OWNERSHIP INFORMATION

Provide 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:

Name		Date of Birth	Address (Residential or Business Street Address)	<i>For U.S. Persons:</i> Social Security Number	<i>For Foreign Persons:</i> Passport Number and country of issuance, or other similar identification number	% Of Ownership
First			Street		Number	
Last			City		Country of Issuance	
Title			State & Zip			
First			Street		Number	
Last			City		Country of Issuance	
Title			State & Zip			
First			Street		Number	
Last			City		Country of Issuance	
Title			State & Zip			
First			Street		Number	
Last			City		Country of Issuance	
Title			State & Zip			

If checked, Beneficial Owner listing requirement is Not Applicable.

Note: Even if no individual owns 25% or more of the legal entity the next section must be completed.

**III. CONTROL PERSON INFORMATION**

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 the ownership section above may also be listed in the section below).

Name/Title	Date of Birth	Address (Residential or Business Street Address)	<i>For U.S. Persons:</i> Social Security Number	<i>For Foreign Persons:</i> Passport Number and country of issuance, or other similar identification number
First Last Title		Street City State & Zip		Number  Country of Issuance

**IV. NAME OF NATURAL PERSON OPENING ACCOUNT**

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

Name of Natural Person Opening Account:
Title of Natural Person Opening Account:

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

I also agree that, if there is a change in the information provided above about the ownership or control of the legal entity, that I will promptly notify Firsttrust Bank of such change.

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

	Type of Document	Document ID Number	Place of Issuance	Date of Issuance	Expiration Date
Owner 1	<input type="checkbox"/> Driver's License or <input type="checkbox"/> _____				
Owner 2	<input type="checkbox"/> Driver's License or <input type="checkbox"/> _____				
Owner 3	<input type="checkbox"/> Driver's License or <input type="checkbox"/> _____				
Owner 4	<input type="checkbox"/> Driver's License or <input type="checkbox"/> _____				
Control	<input type="checkbox"/> Driver's License or <input type="checkbox"/> _____				