



Certification Regarding Beneficial Owners of Legal Entity Customers

GENERAL INSTRUCTIONS

Who has to complete this form?

This form must be completed by the person opening a new account at Truliant Federal Credit Union 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, unincorporated associations, or natural persons opening accounts on their own behalf.

What is the purpose of 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 own or control a legal entity (i.e., the beneficial owners) helps law enforcement investigate and prosecute these crimes.

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):

- (A) 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
- (B) 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 (A), 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 (A), you must provide the identifying information of one individual under section (B). 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 (B)), and up to five individuals (i.e., one individual under section (B) and four 25 percent equity holders under section (A)).

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

TRULIANT BUSINESS ACCOUNT: CERTIFICATION OF BENEFICIAL OWNER(S)

Business Name: _____ **Taxpayer ID:** _____

Street Address: _____

City: _____ **State:** _____ **Zip:** _____ **Phone:** _____

Name and Title of Natural Person Opening Account/Loan:

Name: _____ **Title:** _____

(A) Beneficial Owners

The following information for each individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationships or otherwise, owns 25 percent or more of the equity interests of the legal entity listed above:

OWNER 1

Name	Date of Birth	Social Security/Tax ID		% of Ownership
Address		ID Type	ID #	State/Country of Issuance

OWNER 2

Name	Date of Birth	Social Security/Tax ID		% of Ownership
Address		ID Type	ID #	State/Country of Issuance

OWNER 3

Name	Date of Birth	Social Security/Tax ID		% of Ownership
Address		ID Type	ID #	State/Country of Issuance

OWNER 4

Name	Date of Birth	Social Security/Tax ID		% of Ownership
Address		ID Type	ID #	State/Country of Issuance

(B) Controlling Person

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 (A) above may also be listed in this section (B)

Name	Date of Birth	Social Security/Tax ID		Title
Address		ID Type	ID #	State/Country of Issuance

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

X _____
Signature **Title** **Date**

Organization Number: _____