

BENEFICIAL OWNERSHIP CERTIFICATION FORM

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 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 an account on behalf of a legal entity with any of the following U.S. financial institutions: a bank or credit union; a broker or dealer in securities; a mutual fund; a futures commission merchant; or an introducing broker in commodities.

For the purposes of this form a legal entity **INCLUDES**:

- corporation
- limited liability company
- partnership
- business trust
- any similar business entity formed in the United States or foreign country

Legal entity **does not include** sole proprietorships, civic clubs, organizations or natural persons opening accounts on their own behalf.

Legal entity businesses may be asked to sign a new form with every new account.

WHAT INFORMATION DO I HAVE TO PROVIDE?

This form requires you to provide the name, physical 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) **BENEFICIAL OWNER**
Each individual, if any, who owns, directly or indirectly, 25% or more of the equity interests of the legal entity customer (e.g. each natural person who owns 25% or more of the shares of the corporation)
- (ii) **RESPONSIBLE INDIVIDUAL**
An individual with significant responsibility for managing the legal entity customer (e.g. Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President or Treasurer)

Landmark Bank will ask for a copy of a valid driver's license or other identifying document for each beneficial owner and responsible individual listed on this form.

Legal entity businesses are responsible for notifying the bank when there are changes to the Beneficial Owners or Responsible Individual on an existing account.

Persons opening an account on behalf of a legal entity must provide the following information¹.

1. LEGAL ENTITY INFORMATION

Legal Entity Name: _____

Legal Entity Tax Identification Number (TIN): _____

2. BENEFICIAL OWNER INFORMATION

Please provide the following information² for **each** individual, if any, who directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, **owns 25% or more** in the equity interests of the legal entity listed above.

- The number of individuals that satisfy this definition of “beneficial owner” may vary.
- Up to four individuals (but as few as zero) may need to be identified.

If no Beneficial Owners exist, please check the box below stating there are no beneficial owners who own 25% or more.

There are **NO** beneficial owners who own 25% or more of the equity interest of the legal entity.

Name	Date of Birth	Physical Address	Social Security Number (For U.S. Persons)	Passport Number and Country of Issuance, or other similar identification number ³ (For Foreign Persons)	Percentage of Ownership

¹Modeled from FinCEN Appendix A, Certification Regarding Beneficial Owners of Legal Entity Customers.

²We may also ask to see a copy of a driver's license or other identifying document for each beneficial owner listed on this form.

³In lieu of a passport number, foreign persons may also provide an alien identification card number, or number and country of issuance of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

3. RESPONSIBLE INDIVIDUAL INFORMATION

Please provide the following information⁴ 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, Partner, President, Vice President, Treasurer, etc.)
- Any other individual who regularly performs similar functions (use **ONLY** for religious organizations, charities, non-profits)
 - Regardless of the number of individuals identified in the Beneficial Owner Section, identifying information of one individual in the Responsible Individual Section must be provided.
 - It is possible that in some circumstances the same individual may be identified in both sections.
 - Legal Entity businesses are responsible for notifying the bank when there are changes to the Beneficial Owners or Responsible Individual on an existing account.

Name	Date of Birth	Address	Social Security Number (For U.S. Persons)	Passport Number and Country of Issuance, or other similar identification number ⁵ (For Foreign Persons)

4. SIGNATURE

I, _____, hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

Signature

Date

Name of Customer Opening Account/Loan: _____

Title of Customer Opening Account/Loan: _____

Phone Number of Customer Opening Account/Loan: _____

⁵We may also ask to see a copy of a driver's license or other identifying document for each beneficial owner listed on this form.

⁴In lieu of a passport number, foreign persons may also provide an alien identification card number, or number and country of issuance of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.