

## 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 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 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 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.

## CERTIFICATION OF BENEFICIAL OWNER(S)

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

a. Name and Title of Natural Person Opening Account:

\_\_\_\_\_

b. Name Type, and Address of Legal Entity for Which the Account is Being Opened:

\_\_\_\_\_

c. The following information for each individual, if any who directly or indirectly, through any contact, 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) | For U.S. Persons <sup>1</sup> | For-Non U.S. Persons <sup>2</sup> |
|------|---------------|---|-------------------------------|-----------------------------------|
|      |               |   |                               |                                   |
|      |               |   |                               |                                   |
|      |               |   |                               |                                   |
|      |               |   |                               |                                   |

(If no individual meets this definition, please write "Not Applicable")

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))

| Name/Title | Date of birth | Address (Residential of Business Street Address) | For U.S. Persons <sup>1</sup> | For Non-U.S. Persons <sup>2</sup> |
|------------|---------------|--|-------------------------------|-----------------------------------|
|            |               |  |                               |                                   |

I, \_\_\_\_\_ (name of natural person opening account), hereby certify, to the best of my knowledge, that the information provided above is complete and correct, additionally I will notify North American Banking Company of any change to this information .

X \_\_\_\_\_  
**Natural person opening account**

\_\_\_\_\_  
**Date**

<sup>1</sup> U.S persons must provide a social security number.

<sup>2</sup> Non-U.S. persons must provide a social security number, passport number and country of issuance, or similar identification number. In lieu of a passport number, foreign persons may also provide an alien identification card number, or number and country of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

**Legal Entity Identifier** \_\_\_\_\_ **(Optional)**