

Certification Regarding Beneficial Owners of Legal Entity Customers

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 own or control a legal entity (i.e., the beneficial owners) helps law enforcement investigation and prosecution of these crimes.

Who has to complete these forms?

This form must be completed by any 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; and (v) an introducing broker in commodities. For the purpose of this form, a legal entity includes 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 foreign country. Legal entity does not include sole proprietorship, unincorporated associations, or natural persons opening account on their own behalf.

What information do I have to provide?

This form requires you to disclose the information about the legal entity's beneficial owner(s) including their name, address, date of birth and social security number (or passport number or other similar information, in the case of non-U.S. person). We will also request a copy of the beneficial owner(s)'s driver's license or other identifying document for each beneficial owner listed on this form. Beneficial Owners are:

- (1) Each individual, if any, who owns, directly or indirectly, 25 percent or more of the equity interest of the legal entity customer (e.g., each natural person that owns 25 percent or more of the share of the corporate; and
- (2) 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).
- (3) If the entity is a trust or owned by a trust, the individual trustee must be listed as beneficial owner.

A legal entity may have multiple "beneficial owners," this form requires you to list only those that own 25% or more (up to 5 individuals) under each of the two prongs of the definitions mentioned above. If appropriate, the same individuals may be listed under both prong. If no one individual has at least 25% interest, at least one individual must be identified from prong two (2).

A PERSON OPENING ACCOUNT ON BEHALF OF ENTITY

First & Last Name:	Title:
Name of Entity:	Type of Entity (e.g. trustee, corporation, LLC, etc.):
Legal Address:	City, State, Zip Code:

B BENEFICIAL OWNER(S)

First & Last Name:	Date of Birth:
Address:	City, State, Zip Code:
Social Security Number (or similar identification number for non-U.S. persons):	If non-U.S. person, country of issuance:

SECOND BENEFICIAL OWNER *(if required)*

First & Last Name:	Date of Birth:
Address:	City, State, Zip Code:
Social Security Number (or similar identification number for non-U.S. persons):	If non-U.S. person, country of issuance:

THIRD BENEFICIAL OWNER *(if required)*

First & Last Name:	Date of Birth:
Address:	City, State, Zip Code:
Social Security Number (or similar identification number for non-U.S. persons):	If non-U.S. person, country of issuance:

FOURTH BENEFICIAL OWNER *(if required)*

First & Last Name:	Date of Birth:
Address:	City, State, Zip Code:
Social Security Number (or similar identification number for non-U.S. persons):	If non-U.S. person, country of issuance:



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FIFTH BENEFICIAL OWNER <i>(if required)</i>	
First & Last Name:	Date of Birth:
Address:	City, State, Zip Code:
Social Security Number (or similar identification number for non-U.S. persons):	If non-U.S. person, country of issuance:

SIGNATURE

As the individual identified in section A. Person Opening Account on Behalf of Entity, hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

Signature: _____ Date: _____