



Beneficial Owner(s) Addendum

To help the government fight financial crime, Federal regulation requires 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, fraud, corruption, and other financial crimes. Requiring the disclosure of key individuals who own or control a legal entity (ex. Beneficial Owners) helps law enforcement investigate and prosecute these crimes.

Section 1: Type of Business

Please select any that apply. If any are selected below, please proceed to Section 4 after completing this section.

- | | |
|--|---|
| <input type="checkbox"/> Business is a Publicly-Traded Company | <input type="checkbox"/> Business files reports with SEC |
| <input type="checkbox"/> Business is a Bank or Credit Union | <input type="checkbox"/> Business is a Security Broker |
| <input type="checkbox"/> Business is a tax-exempt entity | <input type="checkbox"/> Business is an Insurance Company |
| <input type="checkbox"/> Business is a Public Utility | <input type="checkbox"/> Business is an Accounting Firm |
| <input type="checkbox"/> Business is a Large Operating Company * | |

* Large Operating Company is defined as an entity that has (1) 20 or more full-time employees, (2) operating presence with a physical office in the United States, and (3) has filed a federal income tax or information return in the United States for the previous year demonstrating more than \$5 million in gross receipts or sales.

Section 2: List of Beneficial Owners Holding 25% or More Ownership of Legal Entity

(1) Each individual, if any, directly or indirectly owning, 25% or more of the legal entity customer (ex. each natural person owning 25% or more of the shares of the corporation); and (2) An individual with significant managing responsibility of the legal entity customer (ex. CEO, CFO, COO, Managing Member, President, etc.)

The number of individuals that satisfy this definition of Beneficial Owner may vary. Under Section 2, depending on the factual circumstances, up to four individuals may need to be identified below. Regardless of the number of individuals identified under Section 2, you must provide the identifying information of one individual under Section 3. It is possible that in some situations the same individual may be identified under both sections (ex. President of Joe's Shoes, who also holds a 50% equity interest.) The completed form will contain the identifying information of at least one individual under Section 3, and up to five individuals (ex. four 25% equity owners) under Section 2.

Beneficial Owner Name 1: _____	Beneficial Owner Name 3: _____
Beneficial Owner % of Ownership 1: _____	Beneficial Owner % of Ownership 3: _____
Beneficial Owner Date of Birth 1: _____	Beneficial Owner Date of Birth 3: _____
Beneficial Owner Residence Address 1: _____	Beneficial Owner Residence Address 3: _____

Beneficial Owner Name 2: _____	Beneficial Owner Name 4: _____
Beneficial Owner % of Ownership 2: _____	Beneficial Owner % of Ownership 4: _____
Beneficial Owner Date of Birth 2: _____	Beneficial Owner Date of Birth 4: _____
Beneficial Owner Residence Address 2: _____	Beneficial Owner Residence Address 4: _____

Section 3: Individual with Significant Managing Responsibility of Legal Entity

Name: _____ Title: _____ Date of Birth: _____
 % of Ownership: _____ Address: _____

Section 4: Signature

By signing this Addendum, I attest that I have accurately provided the name, address, and date of birth for the individuals listed above.

Signature: _____ Title: _____ Date: _____

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