

# Certification Regarding Beneficial Owners of Legal Entity Customers

Sub Firm #	BR Code	FA Code	Account Number
(Office Use Only)			

## Section 1 General Instructions

### What is this form?

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 at each new account opening and update the collected information when a possible change in beneficial ownership is identified. This certification is based on the form located in Appendix A of the

[Customer Due Diligence Requirements for Financial Institutions](#).

This verification is required at the time of account opening or maintenance. **Failure to return this completed and signed Certification of Beneficial Owner(s) form will result in restrictions to your ability to transact on the account. For brokerage accounts: newly-opened accounts will remain restricted until the completed and signed form is on file, and existing accounts will be subject to a trading restriction if the completed and signed Certification of Beneficial Owner(s) is not on file within 30 days of the account modification date.**

### Who must complete this form?

This form must be completed by the individual opening a new account or maintaining an existing 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 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.

A legal entity that falls under a **full exclusion** from beneficial ownership requirement or the customer does not meet the definition of a legal entity (e.g., unincorporated organization, sole proprietorship) is not required to complete this form. However, we may ask for information to support why this form is not required.

### Who must be identified on this form?

When you open an account or maintain an existing account on behalf of a legal entity, we will ask for information about the legal entity's beneficial owner(s). Beneficial ownership consists of two categories defined below.

#### Beneficial Ownership Prongs

<b>Control Prong</b>	One individual with significant responsibility for managing the legal entity customer (for example, a chief executive officer, chief financial officer, chief operating officer, managing member, general partner, president, vice president, or treasurer).
<b>Ownership Prong</b>	Each individual, if any, who owns, directly or indirectly, 10% or more of the equity interests of the legal entity customer (for example, each natural person who owns 10% or more of the shares of a corporation). If a trust owns, directly or indirectly, 10% or more of the equity interests of the legal entity customer, one trustee (individual or non-individual) for each trust with ownership must be identified.

At a minimum, a completed form contains the identifying information of one individual (under the control prong). The identifying information of up to ten owners (under the ownership prong) may also be identified on a completed form depending on the ownership structure of the legal entity. The same individual might be identified under both prongs (for example, the president of ABC, Inc. who holds a 50% equity interest).

#### Investment and Insurance Products are:

- **Not Insured by the FDIC or Any Federal Government Agency**
- **Not a Deposit or Other Obligation of, or Guaranteed by, the Bank or Any Bank Affiliate**
- **Subject to Investment Risks, Including Possible Loss of the Principal Amount Invested**

Investment products and services offered through your introducing broker, which is not affiliated with Wells Fargo & Company. Account(s) carried by First Clearing. First Clearing is a trade name used by Wells Fargo Clearing Services, LLC, Member SIPC, a registered broker-dealer and nonbank affiliate of Wells Fargo & Company.

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## What information must I provide about each beneficial owner?

We collect information elements about each beneficial owner listed on this form. **Important: All information elements are mandatory unless otherwise noted.**

### Mandatory Information Elements for each Beneficial Owner

Element: Full Legal Name	Individual:	First, Middle, Last (e.g., Jane Marie Doe)	
	Non-Individual (trustees only):	Name listed on the filing or formation documents, (e.g., ABC LLC)	
Element: Date of Birth	Individual:	Formatted as MM/DD/YYYY	
	Non-Individual (trustees only):	Not applicable	
Element: Physical Address	Individual:	Residential or business street address associated with the individual <b>Must not be</b> post office boxes or the equivalent mail services (such as UPS Store® locations)	
	Non-Individual (trustees only):	Street address of the principal place of business, a local office, or another physical location with documentation connecting that address with the business <b>Must not be</b> post office boxes or the equivalent mail services (such as UPS Store® locations)	
Element: Identification Number	U.S. Person:	Individual:	Taxpayer Identification Number (TIN): Social Security Number (SSN)
		Non-Individual (trustees only):	Taxpayer Identification Number (TIN): Employer Identification Number (EIN)
	Non-U.S. Person:	Individual:	One of the following: <ul style="list-style-type: none"><li>• Passport number and issuing country</li><li>• U.S. Taxpayer identification number (i.e., ITIN)</li><li>• Number and country of issuance of any other unexpired government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard</li></ul>
		Non-Individual (trustees only):	Government issued identification number

### Definitions:

A **U.S. person** is either: an individual who is a United States citizen; or an entity that is created or organized in the U.S. or under the law of the U.S. or of any state.

A **non-U.S. person** is an individual or non-individual who does not meet the definition of U.S. person above.

We may also ask to see a copy of a driver's license, passport or another document evidencing identity or existence for each beneficial owner listed on this form.

To comply with legal requirements, we may collect personal data related to customer identification requirements. For the categories of personal data that Wells Fargo may collect and how we use it, see the Wells Fargo California Consumer Privacy Act Notice at Collection at <https://www.wellsfargo.com/privacy-security/notice-of-data-collection/>. Additional Wells Fargo privacy notices are available at <https://www.wellsfargo.com/privacy-security/>.

## How can I return this form securely?

To protect the personal information displayed on this form, We recommend you use one of the following secure methods to return the signed, completed form:

- In person with your financial professional;
- Electronically by digital methods, encrypted email; or
- Secure mail via USPS or other common carrier (domestic or international) with automated tracking and tamper-evident packaging.

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## Section 2 Individual and Legal Entity Identification

Completion of all applicable fields is required.

### Full legal name and title of individual opening or maintaining the account for the legal entity

First Name	Middle Name (if exists)
Last Name	Title at the Legal Entity

### Legal entity for which the account is being opened or maintained

All fields are required in this section.

Name of Legal Entity (should match filing or formation document)	Legal Entity Type (i.e., legal structure)
Street Address (No P.O. Box)	
City	
State\Province	Country
ZIP Code\Postal Code	

### Section 3 Beneficial Owner(s) Information: Control Prong Complete all applicable fields in this section.

Individuals opening an account on behalf of a legal entity must provide one individual with significant responsibility for managing the legal entity listed above, such as:

- An executive officer or senior manager (for example, 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.

### Control Individual Information (Reference instructions in the Mandatory Information for each Beneficial Owner section)

First Name	Middle Name (if exists)	Last Name
Title at the Legal Entity	Date of Birth (MM/DD/YYYY)	
<b>Physical Address</b> (Including country if outside of the U.S.)		
Street Address (No P.O. Box)		
City		
State\Province	Country	ZIP Code\Postal Code
<b>Identification Number</b>		
<b>U.S. Person</b>	Tax ID Number (SSN or EIN)	<b>Non-U.S. Person</b>
	Passport Number, ITIN, or Similar ID	Country of Issuance

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## Section 4 Beneficial Owner(s) Information: Ownership Prong

Individuals opening an account on behalf of a legal entity must provide information on all owners that meet the following criteria:

- Individual(s) directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, own 10% or more of the equity interests of the legal entity listed in Section 2.
- One trustee (individual or non-individual) for each trust that directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns 10% or more of the equity interests of the legal entity listed in Section 2.

If Ownership information is **not listed because of a qualifying exclusion**, select one of the following reasons:

Qualifying Exclusion Reason (Select one, a selection is required)

Select One

### Owner 1 Information (Reference definitions in the Mandatory Information for each Beneficial Owner section)

<input type="checkbox"/> Individual Owner	Trust Name		
<input type="checkbox"/> Trustee (Individual or Non-Individual)	Non-Individual Trustee Name		
First Name		Middle Name (if exists)	
Last Name		Date of Birth (MM/DD/YYYY)	
<b>Physical Address</b> (Including country if outside of the U.S.)			
Street Address (No P.O. Box)			
City			
State\Province		Country	ZIP Code\Postal Code
<b>Identification Number</b>			
<b>U.S. Person</b>	Tax ID Number (SSN or EIN)	<b>Non-U.S. Person</b>	Passport Number, ITIN, or Similar ID
		Country of Issuance	

### Owner 2 Information (Reference definitions in the Mandatory Information for each Beneficial Owner section)

<input type="checkbox"/> Individual Owner	Trust Name		
<input type="checkbox"/> Trustee (Individual or Non-Individual)	Non-Individual Trustee Name		
First Name		Middle Name (if exists)	
Last Name		Date of Birth (MM/DD/YYYY)	
<b>Physical Address</b> (Including country if outside of the U.S.)			
Street Address (No P.O. Box)			
City			
State\Province		Country	ZIP Code\Postal Code
<b>Identification Number</b>			
<b>U.S. Person</b>	Tax ID Number (SSN or EIN)	<b>Non-U.S. Person</b>	Passport Number, ITIN, or Similar ID
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**Owner 3 Information** (Reference definitions in the Mandatory Information for each Beneficial Owner section)

<input type="checkbox"/> Individual Owner		Trust Name	
<input type="checkbox"/> Trustee (Individual or Non-Individual)		Non-Individual Trustee Name	
First Name		Middle Name (if exists)	
Last Name		Date of Birth (MM/DD/YYYY)	
<b>Physical Address</b> (Including country if outside of the U.S.)			
Street Address (No P.O. Box)			
City			
State\Province		Country	ZIP Code\Postal Code
<b>Identification Number</b>			
<b>U.S. Person</b>	Tax ID Number (SSN or EIN)	<b>Non-U.S. Person</b>	Passport Number, ITIN, or Similar ID
		Country of Issuance	

**Owner 4 Information** (Reference definitions in the Mandatory Information for each Beneficial Owner section)

<input type="checkbox"/> Individual Owner		Trust Name	
<input type="checkbox"/> Trustee (Individual or Non-Individual)		Non-Individual Trustee Name	
First Name		Middle Name (if exists)	
Last Name		Date of Birth (MM/DD/YYYY)	
<b>Physical Address</b> (Including country if outside of the U.S.)			
Street Address (No P.O. Box)			
City			
State\Province		Country	ZIP Code\Postal Code
<b>Identification Number</b>			
<b>U.S. Person</b>	Tax ID Number (SSN or EIN)	<b>Non-U.S. Person</b>	Passport Number, ITIN, or Similar ID
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**Owner 5 Information** (Reference definitions in the Mandatory Information for each Beneficial Owner section)

<input type="checkbox"/> Individual Owner		Trust Name	
<input type="checkbox"/> Trustee (Individual or Non-Individual)		Non-Individual Trustee Name	
First Name		Middle Name (if exists)	
Last Name		Date of Birth (MM/DD/YYYY)	
<b>Physical Address</b> (Including country if outside of the U.S.)			
Street Address (No P.O. Box)			
City			
State\Province		Country	ZIP Code\Postal Code
<b>Identification Number</b>			
<b>U.S. Person</b>	Tax ID Number (SSN or EIN)	<b>Non-U.S. Person</b>	Passport Number, ITIN, or Similar ID
		Country of Issuance	

**Owner 6 Information** (Reference definitions in the Mandatory Information for each Beneficial Owner section)

<input type="checkbox"/> Individual Owner		Trust Name	
<input type="checkbox"/> Trustee (Individual or Non-Individual)		Non-Individual Trustee Name	
First Name		Middle Name (if exists)	
Last Name		Date of Birth (MM/DD/YYYY)	
<b>Physical Address</b> (Including country if outside of the U.S.)			
Street Address (No P.O. Box)			
City			
State\Province		Country	ZIP Code\Postal Code
<b>Identification Number</b>			
<b>U.S. Person</b>	Tax ID Number (SSN or EIN)	<b>Non-U.S. Person</b>	Passport Number, ITIN, or Similar ID
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**Owner 7 Information** (Reference definitions in the Mandatory Information for each Beneficial Owner section)

<input type="checkbox"/> Individual Owner		Trust Name	
<input type="checkbox"/> Trustee (Individual or Non-Individual)		Non-Individual Trustee Name	
First Name		Middle Name (if exists)	
Last Name		Date of Birth (MM/DD/YYYY)	
<b>Physical Address</b> (Including country if outside of the U.S.)			
Street Address (No P.O. Box)			
City			
State\Province		Country	ZIP Code\Postal Code
<b>Identification Number</b>			
<b>U.S. Person</b>	Tax ID Number (SSN or EIN)	<b>Non-U.S. Person</b>	Passport Number, ITIN, or Similar ID
		Country of Issuance	

**Owner 8 Information** (Reference definitions in the Mandatory Information for each Beneficial Owner section)

<input type="checkbox"/> Individual Owner		Trust Name	
<input type="checkbox"/> Trustee (Individual or Non-Individual)		Non-Individual Trustee Name	
First Name		Middle Name (if exists)	
Last Name		Date of Birth (MM/DD/YYYY)	
<b>Physical Address</b> (Including country if outside of the U.S.)			
Street Address (No P.O. Box)			
City			
State\Province		Country	ZIP Code\Postal Code
<b>Identification Number</b>			
<b>U.S. Person</b>	Tax ID Number (SSN or EIN)	<b>Non-U.S. Person</b>	Passport Number, ITIN, or Similar ID
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**Owner 9 Information** (Reference definitions in the Mandatory Information for each Beneficial Owner section)

<input type="checkbox"/> Individual Owner		Trust Name	
<input type="checkbox"/> Trustee (Individual or Non-Individual)		Non-Individual Trustee Name	
First Name		Middle Name (if exists)	
Last Name		Date of Birth (MM/DD/YYYY)	
<b>Physical Address</b> (Including country if outside of the U.S.)			
Street Address (No P.O. Box)			
City			
State\Province		Country	ZIP Code\Postal Code
<b>Identification Number</b>			
<b>U.S. Person</b>	Tax ID Number (SSN or EIN)	<b>Non-U.S. Person</b>	Passport Number, ITIN, or Similar ID
		Country of Issuance	

**Owner 10 Information** (Reference definitions in the Mandatory Information for each Beneficial Owner section)

<input type="checkbox"/> Individual Owner		Trust Name	
<input type="checkbox"/> Trustee (Individual or Non-Individual)		Non-Individual Trustee Name	
First Name		Middle Name (if exists)	
Last Name		Date of Birth (MM/DD/YYYY)	
<b>Physical Address</b> (Including country if outside of the U.S.)			
Street Address (No P.O. Box)			
City			
State\Province		Country	ZIP Code\Postal Code
<b>Identification Number</b>			
<b>U.S. Person</b>	Tax ID Number (SSN or EIN)	<b>Non-U.S. Person</b>	Passport Number, ITIN, or Similar ID
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Section 5 Certification

The name of the person opening or maintaining the account in Section II of this form must sign the certification section below:  
Full Legal Name of Person Opening or Maintaining the Account (First, Middle, Last)

I (named above as the natural person opening or maintaining the account), hereby:

(a) Certify, to the best of my knowledge, that the information provided above is complete and correct.

(b) Agree that the legal entity customer listed above will notify us of any change to the information provided herein that would result in a change to the list of beneficial owners identified above.

Signature of Person Opening or Maintaining the Account	Date Signed (MM/DD/YYYY)
X	