



Certification Regarding Beneficial Owners of Legal Entity Customers

I. 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 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 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. Legal entity does not include sole proprietorships, unincorporated associations, or natural persons opening accounts on their own behalf.

What information do you 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 Non-U.S. 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 number of individuals that satisfy this definition of "beneficial owner" may vary. Under section (i), depending on the factual circumstances, up to four individuals (but as few as zero) may need to be identified. Regardless of the number of individuals identified under section (i), you must provide the identifying information of one individual under section (ii). It is possible that in some circumstances the same individual might be identified under both sections (e.g., the President of Acme, Inc. who also holds a 30 percent equity interest). Thus, a completed form may contain the identifying information of at least one individual under section (ii), for a grand total of up to five individuals (i.e., one individual under section (ii) and four 25 percent equity holders under section (i)).

The financial institution may also ask to see a copy of a driver's license or other identifying documents for each beneficial owner listed on this form.

Tax Identification Number of the Legal Entity _____

(II) CERTIFICATION OF BENEFICIAL OWNER(S)

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

Name and title of a Natural Person opening this account: **(the person who will sign the certification below)**

_____ Title _____

Name and Address of the Legal Entity for Which the Account is Being Opened:

Kind of Business: _____

Type of Legal Entity (i.e.: Corp, LLC, Partnership, Charity, Non-Profit, etc.) _____

Is this a Non Profit or a Charity? Yes___ No___. If yes, Charities or Non Profits are exempt only from providing the Beneficial Ownership information below in section (i).

Write either "Charity" or "Non Profit" across the boxes in Section (i) Beneficial Ownership information.

Note: Charities or Non Profits are still required to designate a managing or controlling individual in section (ii) Controlling/ Managing Information.

The following information for each individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, **owns 25 percent or more** of the equity interests of the legal entity listed above:

If no individual meets this 25% ownership definition, write **"Not Applicable" across the boxes** in Section (i) Beneficial Ownership Information below:

(i) Beneficial Owner Information

Name	Date of Birth	% of Ownership	Address (Residential or Business Street Address)	For U.S. Persons: Social Security Number	For Non-US Persons: Social Security Number, Passport Number and Country of Issuance, or other similar identification*

*In lieu of a passport number, Non-U.S. Persons may also provide a Social Security Number, 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.

(ii) The following information below for one individual with significant responsibility for **managing or controlling 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 the Beneficial Ownership Section above may also be listed in this section below:

(ii) Controlling/ Managing Information
One individual must be identified below

Name/Title	Date of Birth	Address (Residential or Business Street Address)	For U.S. Persons: Social Security Number	For Non-US Persons: Social Security Number, Passport Number and Country of Issuance, or other similar identification number ¹

¹ In lieu of a passport number, Non-U.S. Persons may also provide a Social Security Number, 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.

I, _____ (*name of natural person opening account*) **I, hereby certify**, to the best of my knowledge, that the information provided above is complete and correct. . **I also agree to notify Centreville Bank of any change in the information provided within this Certification.**

Signature: _____ Title _____ Date: _____