



# CERTIFICATION OF BENEFICIAL OWNER(S)

(Required for each account opened)

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

a. Name and Title of Natural Person Opening Account:

\_\_\_\_\_

b. Name 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 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 definition, please write "Not Applicable.")

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

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)). Section D is **REQUIRED**.

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

I, \_\_\_\_\_ (name of natural person opening account), hereby certify, to the best of my knowledge, that the information provided above is complete and correct. I agree to notify First Bank of the Lake of any changes in the above information.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

\*In lieu of a passport number, foreign persons may also provide 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.

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**BANK USE ONLY**

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**Beneficial Owner Certification Exemptions:**

- Sole Proprietorships       Unincorporated Association       Publicly Traded Entity
- US Department or Agency of any State or of any political subdivision (Control Person Required)
- Issuer of Securities or registered with the SEC       Regulated Financial Institutions
- Not-For-Profit (Control Person Required)       Religious/Charitable Organization (Control Person Required)

**Documents used to verify Existence of Entity and authorized account users:**

- Sole Proprietorship – Assumed name certificate filed with Secretary of State
- General Partnership – Partnership Agreement, Assumed Name Certificate with Secretary of State
- Limited Partnership – Partnership Agreement filed with Secretary of State
- Corporation – Articles of Incorporation filed with Secretary of State
- LLC – Articles of Organization filed with Secretary of State
- Association Documents/Minutes
- Formal Trust – Trust Agreement
- Estate – Letters of Testamentary or Letters of Administration; Court Certified
- Tax Return
- Financial Statement

**Non-Documentary Verification**

- Welcome Letter     Documented Site Visit     Previous Bank Reference     Other \_\_\_\_\_

**Address Discrepancy acknowledged and verified** \_\_\_\_\_

**OFAC Verification:**  Yes  No If yes, method of verification?  Fiserv  Credit Report  Other \_\_\_\_\_

(Required for all Business Entities)

**Source of Initial Deposit, if New Account** \_\_\_\_\_

(Cash, Check, Transfer, Loan Proceeds etc.)

Customer did not wish to provide expected activity information. (Risk Rating should be higher as a consequence).

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**BSA Risk Rating**     1     2     3

**CIF Number Assigned** \_\_\_\_\_

**Account Number(s)** \_\_\_\_\_

\_\_\_\_\_  
First Bank of the Lake Staff

\_\_\_\_\_  
Date