First Interstate Bank
Member FDIC.

Certification of Beneficial Owners of Legal Entities

I. Entity Account Information

** Indicates Required Field*

Legal Entity TIN: * | Name of Legal Entity Opening Account(s): * | Date Account(s) Opened/Triggering Event: *

Physical Address of Legal Entity *(no PO Boxes)*: * | City: * | State: * | Zip Code: *

Please list account(s) opened

	Account Type: *	Account #:		Account Type:	Account #:
1.			4.		
2.			5.		
3.			6.		

II. General Information

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 US 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 I 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-US 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 the 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% equity interest). Thus, a completed form will contain the identifying information of at least one individual (under section (ii)), and 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 drivers license or other identifying document for each beneficial owner listed on this form.

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III. Certification of Beneficial Owner(s)

* *Indicates Required Field*

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

Name of Natural Person Opening/Changing Account(s): *

Title of Natural Person Opening/Changing Account(s): *

Important! If the Legal Entity for which the account is being opened falls into any of the categories below, check the appropriate option and sign the form (Section B or C do not need to be completed). If it does not fall into any of these categories, complete Sections B and C and sign the form.

- ☐ A Phase I Exempt Entity, specify:
  - ☐ A Government entity
  - ☐ A Publicly traded company
  - ☐ A subsidiary of a publicly traded company
- ☐ Informal entity/organization/partnership
- ☐ An issuer of a class of securities registered under section 12 of the Securities Exchange Act of 1934 or that is required to file report under section 15 (d) of that Act
- ☐ An investment company, as defined in section 3 of the Investment Company Act of 1940, that is registered with the Securities and Exchange Commission under that Act
- ☐ An investment adviser, as defined in section 202(a) (11) of the Investment Advisers Act of 1940, that is registered with the Securities and Exchange Commission under that Act
- ☐ An exchange or clearing agency, as defined in section 3 of the Securities Exchange Act of 1934, that is registered under section 6 or 17A of that Act
- ☐ A public accounting firm registered under section 102 of the Sarbanes-Oxley Act
- ☐ A registered entity, commodity pool operator, commodity trading advisor, retail foreign exchange dealer, swap dealer, or major swap participant, each as defined in section 1a of the Commodity Exchange Act, that is registered with the Commodity Futures Trading Commission
- ☐ A financial institution regulated by a Federal functional regulator or a bank regulated by a State bank regulator
- ☐ A bank holding company, as defined in section 2 of the Bank Holding Company Act of 1956 (12 U.S.C. 1841) or savings and loan holding company, as defined in section 10(n) of the Home Owner's Loan Act (12 U.S.C.1467a(n))
- ☐ A pooled investment vehicle that is operated or advised by a financial institution regulated by a Federal functional regulator or bank regulated by a State bank regulator
- ☐ A non-U.S. governmental department, agency, or political subdivision that engages only in governmental rather than commercial activities
- ☐ A financial market utility designated by the Financial Stability Oversight Council under Title VIII of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010
- ☐ A foreign financial institution established in a jurisdiction where the regulator of such institution maintains beneficial ownership information regarding such institution
- ☐ Any other entity registered with the Securities & Exchanges Commission under the Securities Exchange Act of 1934
- ☐ Any legal entity only to the extent that it opens:
  - ☐ A private banking account subject to 31 CFR §1010.620
  - ☐ An account opened for participating in an employee benefit plan established under ERISA
- ☐ A non-statutory Trust (trust created without filing with a Secretary of State or similar office)
- ☐ An insurance company that is regulated by a State
- ☐ A sole proprietorship

B. Provide 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 checked, no individual owns 25 percent or more of the equity interest of the legal entity, or entity is a non-profit.

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Beneficial Owner 1 Information

First Name: | Last Name: | Date of Birth: | US Persons (SSN #): | Non-US Persons (Passport # and country of issuance)

Physical Address *(no PO Boxes)*: | City: | State: | Zip Code:

Beneficial Owner 2 Information

First Name: | Last Name: | Date of Birth: | US Persons (SSN #): | Non-US Persons (Passport # and country of issuance)

Physical Address *(no PO Boxes)*: | City: | State: | Zip Code:

Beneficial Owner 3 Information

First Name: | Last Name: | Date of Birth: | US Persons (SSN #): | Non-US Persons (Passport # and country of issuance)

Physical Address *(no PO Boxes)*: | City: | State: | Zip Code:

Beneficial Owner 4 Information

First Name: | Last Name: | Date of Birth: | US Persons (SSN #): | Non-US Persons (Passport # and country of issuance)

Physical Address *(no PO Boxes)*: | City: | State: | Zip Code:

Control Person Information

Is Control Person also a Beneficial Owner? Please select one: * ☐ *N/A* ☐ *BO 1* ☐ *BO 2* ☐ *BO 3* ☐ *BO 4*

C. Provide the following information for one individual with significant responsibility for managing the legal entity listed above, such as: an executive officer or senior manager (i.e. 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 ownership section above may also be listed in the section below.

First Name: | Last Name: | Title of Control Person

Date of Birth: | US Persons (SSN #): | Non-US Persons (Passport # and country of issuance)

Physical Address *(no PO Boxes)*: | City: | State: | Zip Code:

I, _____ (name of natural person opening account), hereby certify, to the best of my knowledge, that the information is complete and correct, and I agree to notify First Interstate Bank immediately upon any change in beneficial ownership or control of the business.

Signature: _____ Date: _____