



Certification of Beneficial Owners of Legal Entities

Certification of Beneficial Owner(s)

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

Name of Natural Person Opening Account:	Title of Natural Person Opening Account:
Name of Legal Entity for which the account is being opened:	
Physical Address of Legal Entity for which the account is being opened:	

Provide the following information for each individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns **20 percent or more** of the equity interests of the legal entity listed above:

	Name	Date of Birth	Physical 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	Percentage of Ownership Interest
Owner #1					Number: Country of Issuance:	%
Owner #2					Number: Country of Issuance:	%
Owner #3					Number: Country of Issuance:	%
Owner #4					Number: Country of Issuance:	%
Owner #5					Number: Country of Issuance:	%

If checked, Beneficial Ownership listing requirement is Not Applicable for this entity type

Provide the following information for one individual with significant responsibility for managing the legal entity listed above, such as:

- ❖ 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 ownership section above may also be listed in the management section below. **This section is mandatory for all applicable entities.**

Name (Required)	Date of Birth	Physical 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	Percentage of Ownership Interest
				Number: Country of Issuance:	%

If checked, management person is a beneficial owner as well. See ownership section for identification. Name only must be provided in section above.

I, _____ (printed 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 Landmark Bank of any changes to the information reported on this form in a timely manner and upon request.

Signature: _____ Date: _____

Recertification Signature: _____ Date: _____

For Institution Use Only (Record information from identity documents below)

	Last Name	Type of ID	ID Number	Place of Issuance	Date of Issuance	Expiration Date
Owner 1						
Owner 2						
Owner 3						
Owner 4						
Owner 5						
Control Person						

Bank staff must complete above information and sign below.

Completed by: _____ (Print name) Date Completed: _____



Corporate Office
307 N Marietta Parkway
Marietta, GA 30060
770-792-8870

General Instructions

Certification of Beneficial Owners of Legal Entities

What is the Certification of Beneficial Ownership 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?

The 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 I have to provide?

The 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 foreign persons) for the following individuals (i.e., the **beneficial owners**):

- (i) Each individual, if any, who owns, directly or indirectly, 20 percent or more of the equity interests of the legal entity customer (e.g., each natural person that owns 20 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 five 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 Present 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 six individuals (i.e., one individual under section (ii) and five 20 percent equity holders under section (i)). The bank may ask to see a copy of a driver’s license or other identifying document for each beneficial owner listed on this form.