

CERTIFICATION REGARDING BENEFICIAL OWNERS OF LEGAL ENTITY CUSTOMERS FOR NEW ACCOUNTS OR FIRST RENEWAL OF LOAN OR CD

Purpose: The purpose of this form is to help the government fight financial crime, federal regulation requires certain financial institutions to obtain, verify and record information about beneficial owners of legal entities. Requiring the disclosure of key individuals who own or control legal entity helps law enforcement investigate and prosecute those crimes. For financial services or products established before May 11, 2018, covered financial institutions must obtain certified beneficial ownership information of the legal entity customers at the time of the first renewal of such services or products.

I. GENERAL INSTRUCTIONS:

Who has to complete this form?

This form must be completed by a natural person authorized by the legal entity to open accounts with any of the following U.S financial institutions:

- A bank or credit union
- Broker or dealer in securities
- A mutual fund
- A future commission merchant or
- And introducer broker in commodities

For the purpose 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-U.S. Persons) for the following individuals (i.e., the **beneficial owners**):

- i. Each individual, if any, who owns, directly, 25 percent or more of the equity interest of the legal entity customer (each natural person that owns 25 percent or more of the share 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% 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 driver’s license or other identifying document for each beneficial owner listed on this form.

II. CERTIFICATION OF BENEFICIAL OWNER(S)

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

a. *Name and Title of Natural Person Opening Account or Maintaining a Banking Relationship:*

b. *Name, Type, and Address of Legal Entity for Which the Account is Being Opened/Maintained:*



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:

NAME	DATE OF BIRTH	ADDRESS (Residential or Business Street Address)	For U.S. Persons: Social Security Number	For Non-U.S. Persons: Social Security Number, Passport Number and Country of Issuance, or other similar identification number ¹

(If no individual meets this definition, please write "Not Applicable")

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 or 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)).

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.



NAME/TITLE	DATE OF BIRTH	ADDRESS (Residential or Business Street Address)	For U.S. Persons: Social Security Number	For Non-U.S. Persons: Social Security Number, Passport Number and Country of Issuance, or other similar identification number ²

I, _____ (name of natural person opening account or maintaining a banking relationship on behalf of a legal entity), hereby certify, to the best of my knowledge, that the information provided above is complete and correct. I further certify that the legal entity customer will promptly provide written notification to Lone Star Bank of any changes in ownership of said entity.

Signature: _____ Date: _____

Legal Entity Identifier _____ (Optional)

² 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.

