

Submit for all Organization/Entity customers

Important information about identifying our Organization/Entity customers

To help the government fight the funding of terrorism, money laundering activities and to comply with economic sanctions, Federal law requires us to “know your customer” (KYC) by obtaining and maintaining information for whom we open or hold an account.

What this means for you

In order to open an account, or maintain an existing account, we are asking you to provide: the legal organization/legal entity name, address, taxpayer identification number (TIN), and other information that will allow us to identify the organization/entity.

We may also ask for identifying documents, such as: Organization or Association Charter, Organization by-laws, Meeting Minutes indicating election of current officers and designation of persons authorized to establish an account or Certificate of Formation from the issuing state agency.

Definitions for the following Sections can be found on the last page of this form.

Section I: Organization/Entity structure (select one)

- | | | |
|---|---|--|
| <input type="checkbox"/> Corporation | <input type="checkbox"/> Limited Partnership | <input type="checkbox"/> Sole Proprietorship |
| <input type="checkbox"/> Government Agency/State Owned Entity | <input type="checkbox"/> Partnership | <input type="checkbox"/> Sovereign Nation/Indian Tribal Government |
| <input type="checkbox"/> Limited Liability Company | <input type="checkbox"/> Non-Profit; Endowment, Foundation, Charity or Unincorporated Association | |

Legal name

Doing Business As (DBA), if any

Address (No PO Box)

City State Zip code

Taxpayer identification number Country

State of registration or incorporation Country of registration or incorporation

What is the nature of the business? (A description of the entity’s business. For example, what products do they produce, or what service(s) do they offer?)

Section II: Further define Organization/Entity (select all that apply)

- | | | |
|---|---|---|
| <input type="checkbox"/> Casino/Gaming Industry | <input type="checkbox"/> Foreign Government | <input type="checkbox"/> Special Purpose Entity/Vehicle |
| <input type="checkbox"/> Domestic Bank | <input type="checkbox"/> Money Service Business | <input type="checkbox"/> Third Party Payment Processor |
| <input type="checkbox"/> Foreign Bank | <input type="checkbox"/> Marijuana Related Business | |

NAICS or SIC Code(s): include no more than three codes.

NAICS/SIC code NAICS/SIC code NAICS/SIC code
 Does the organization/entity do business outside the United States? Yes or No If yes, see below.

If yes, provide up to three countries from which entity derives the largest percentage of revenue.

Country Country Country
 Is the organization/entity publicly traded or owned 51% or more by a publicly traded entity? Yes or No
 If yes, please provide the information below.

Ticker symbol Exchange Country
 Is the organization/entity a financial institution? Yes or No If Yes, list:

Regulator

Section III: Other party information (check all roles that apply)

Beneficial Owner(s) Certification Form (MM9876) is required for all Organization/Entity. However, when there are no Beneficial Owners and **only** Control Person information is being collected on the separate Beneficial Owner Certification Form, we require the Legal Owner information to be included below.

Legal Owners are defined as the individual(s) or organization who own 25% or more of the legal title to above named Organization/Entity. List all 25% or more Legal Owners.

Non U.S. Persons or Non U.S. Entity listed on Form MM9876 and/or Non-Qualified Plan Authorization Form Yes or No
If Yes, Non U.S. Persons information to be included below.

PEP listed on Form MM9876 and/or Non-Qualified Plan Authorization Form Yes or No
If Yes, PEP information to be included below.

State Owned Entity (SOE) listed on Form MM9876 and/or Non-Qualified Plan Authorization Form Yes or No
If Yes, SOE information to be included below.

Owner Type:

Legal Owner

Other party #1

Legal name		Taxpayer Identification Number	
Address (No PO Box)			
City	State	Zip Code	Country
State/Country of Registration/Incorporation (organizations/entities only)		Date of Birth (mm/dd/yyyy) (individuals only)	Country of Citizenship (individuals only)
Title (individual only) Politically Exposed Person (PEP) <input type="checkbox"/> Yes or <input type="checkbox"/> No (individuals only)		State Owned Entity (SOE) <input type="checkbox"/> Yes or <input type="checkbox"/> No (organizations/entities only)	Percent of Ownership _____

Other party #2

Legal name		Taxpayer Identification Number	
Address (No PO Box)			
City	State	Zip Code	Country
State/Country of Registration/Incorporation (organizations/entities only)		Date of Birth (mm/dd/yyyy) (individuals only)	Country of Citizenship (individuals only)
Title (individual only) Politically Exposed Person (PEP) <input type="checkbox"/> Yes or <input type="checkbox"/> No (individuals only)		State Owned Entity (SOE) <input type="checkbox"/> Yes or <input type="checkbox"/> No (organizations/entities only)	Percent of Ownership _____

Other party #3

Legal name		Taxpayer Identification Number	
Address (No PO Box)			
City	State	Zip Code	Country
State/Country of Registration/Incorporation (organizations/entities only)		Date of Birth (mm/dd/yyyy) (individuals only)	Country of Citizenship (individuals only)
Title (individual only) Politically Exposed Person (PEP) <input type="checkbox"/> Yes or <input type="checkbox"/> No (individuals only)		State Owned Entity (SOE) <input type="checkbox"/> Yes or <input type="checkbox"/> No (organizations/entities only)	Percent of Ownership _____

Other party #4

Legal name

Taxpayer Identification Number

Address (No PO Box)

City

State

Zip Code

Country

State/Country of Registration/Incorporation
(organizations/entities only)

Date of Birth (mm/dd/yyyy)
(individuals only)

Country of Citizenship
(individuals only)

Title (individual only)

Politically Exposed Person (PEP) Yes or No
(individuals only)

State Owned Entity (SOE) Yes or No
(organizations/entities only)

Percent of Ownership _____

Other party #5

Legal name

Taxpayer Identification Number

Address (No PO Box)

City

State

Zip Code

Country

State/Country of Registration/Incorporation
(organizations/entities only)

Date of Birth (mm/dd/yyyy)
(individuals only)

Country of Citizenship
(individuals only)

Title (individual only)

Politically Exposed Person (PEP) Yes or No
(individuals only)

State Owned Entity (SOE) Yes or No
(organizations/entities only)

Percent of Ownership _____

Other party #6

Legal name

Taxpayer Identification Number

Address (No PO Box)

City

State

Zip Code

Country

State/Country of Registration/Incorporation
(organizations/entities only)

Date of Birth (mm/dd/yyyy)
(individuals only)

Country of Citizenship
(individuals only)

Title (individual only)

Politically Exposed Person (PEP) Yes or No
(individuals only)

State Owned Entity (SOE) Yes or No
(organizations/entities only)

Percent of Ownership _____

Section IV: Name(s) and date completed

Printed name(s) of individual who completed form

Date (mm/dd/yyyy)

Printed name(s) of individual who completed form

Date (mm/dd/yyyy)

Definitions

Section I: Organization/Entity structure

Corporation – C or S Corporation
Limited Liability Company - (LLC)
Limited Partnership - LP
Partnership – General Partnership or Limited Liability Partnership
Non-Profit – Charity, Endowment, Foundation or Unincorporated Association
Sole Proprietorship
Sovereign Nation/Indian Tribal Government

Legal name:

Please provide the full legal name of Organization/Entity.

Under the USA PATRIOT Act, customer is defined as a “person” (an individual, corporation, partnership, trust, estate, or any other entity recognized as a legal person) who opens a new account, who is added to an account or maintains an existing account. An entity is a corporation, limited liability, partnership, or other organization.

DBA, if any:

“Doing Business As” is a term meaning the name under which the business is conducted and presented to the public which is not the legal name of the person or corporation of the business. U.S. jurisdictions may require businesses not operating under their legal names to file a DBA statement for consumer protection purposes. Please provide this document, if applicable.

What is the nature of the business?

Please provide a description of the Organization//Entity’s business. For example, what products do they produce, or what service(s) do they offer?

Example: We are an American supermarket chain operating in the midwestern United States.

We are a retailer of home improvement and construction products and services

Section II: Further define Organization/Entity

NAICS and SIC Code:

The North American Industry Classification System (NAICS) code is used to classify businesses and used by Federal statistical agencies. This code appears on IRS Form 5500 in field 2D. List no more than three NAICS codes.

Source: [2017 U.S. NAICS Search](#)

The Standard Industrial Classification (SIC) code are **four**-digit codes that categorize the industries that companies belong to based on their business activities.

Source: <https://www.osha.gov/data/sic-search>

Does organization/entity do business outside of the United States?

List the three countries from which the organization/entity derives the largest percentage of its’ revenue. (include U.S. if appropriate)

Is the organization/entity publicly traded or owned 51% or more by a publicly traded entity?

Provide the ticker symbol, the name of the exchange it is traded on, and the country of the stock exchange.

Section III: Other party information

Legal owners are defined as the individual(s) or organization who own 25% or more of the legal title to above named Organization/Entity.

Beneficial owners are those parties, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns a 25% or more equity interests of the above named Organization/Entity.

- Legal name
- Taxpayer Identification Number
- Address (Do not use a PO Box)
- City
- State
- PEP
- Percent of Ownership
- State Owned Entity (SOE)
- Zip code
- Country
- State/Country of registration or incorporation (entities only)
- Date of birth (Individuals only)
- Country of citizenship (individuals only)
- Title (individuals only)

Politically exposed person

A politically exposed person (PEP) is one who has been entrusted with a prominent public function. In addition to the PEP, any close business associate or family member of such a person, could also be identified as PEP.

State owned entity

A State owned entity (SOE) is a legal entity that is created by a government in order to partake in commercial activities on the government’s behalf. It can be either wholly or partially owned by a government and is typically earmarked to participate in specific commercial activities.