



Business Name: \_\_\_\_\_

Account #: \_\_\_\_\_

## CERTIFICATION OF BENEFICIAL OWNER INSTRUCTIONS

### 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.

### Who has to complete this form?

This form must be completed by the person opening a new account on behalf of a legal entity.

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 foreign persons) for the following individuals (i.e., the beneficial owners), and the FinCEN Identifier (if obtained):

- 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
- 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).
- When the business registers their Beneficial Ownership Information (BOI) with Financial Crimes Enforcement Network (FinCEN), the business may request a FinCEN Identifier. Businesses are required to register their BOI information with FinCEN if the business is created after January 1, 2024.

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.



Business Name: \_\_\_\_\_ Account #: \_\_\_\_\_

### Certification of Beneficial Owner(s)

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| Persons opening an account on behalf of a legal entity must provide the following information:   |
| a. Name and Title of Natural Person Opening Account  |
| b. Type of business/legal entity and address:  |
| c. FinCEN Identifier:<br>(This is issued by FinCEN.)   |
| d. 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.   |
| <b>NOTE:</b> 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. |

### OWNERSHIP INFORMATION

|   |                      |                  |
|---|----------------------|------------------|
| Name #1:  | Title:               | Date of Birth:   |
| SSN/TIN:  | ID Type:             | ID Number :      |
| Issued By:                                      | Issuance Date:       | Expiration Date: |
| <input type="checkbox"/> <b>Non-U.S. Person</b> | Country of Issuance: |                  |
| Physical Address:                               |                      |                  |

|   |                      |                  |
|---|----------------------|------------------|
| Name #2:  | Title:               | Date of Birth:   |
| SSN/TIN:  | ID Type:             | ID Number :      |
| Issued By:                                      | Issuance Date:       | Expiration Date: |
| <input type="checkbox"/> <b>Non-U.S. Person</b> | Country of Issuance: |                  |
| Physical Address:                               |                      |                  |

|   |                      |                  |
|---|----------------------|------------------|
| Name #3:  | Title:               | Date of Birth:   |
| SSN/TIN:  | ID Type:             | ID Number :      |
| Issued By:                                      | Issuance Date:       | Expiration Date: |
| <input type="checkbox"/> <b>Non-U.S. Person</b> | Country of Issuance: |                  |
| Physical Address:                               |                      |                  |



Business Name: \_\_\_\_\_ Account #: \_\_\_\_\_

|   |                      |                  |
|---|----------------------|------------------|
| Name #4:  | Title:               | Date of Birth:   |
| SSN/TIN:  | ID Type:             | ID Number :      |
| Issued By:                                      | Issuance Date:       | Expiration Date: |
| <input type="checkbox"/> <b>Non-U.S. Person</b> | Country of Issuance: |                  |
| Physical Address:                               |                      |                  |

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

**CONTROLLING PRONG INFORMATION**

|   |
|---|
| e. The following information for one individual with significant responsibility for managing the legal entity listed above, such as:  |
| <ul style="list-style-type: none"> <li>• 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</li> <li>• Any other individual who regularly performs similar functions. (If appropriate, an individual listed under section [d] may also be listed in this section [e].)</li> </ul> |

|   |                      |                  |
|---|----------------------|------------------|
| Name:   | Title:               | Date of Birth:   |
| SSN/TIN:  | ID Type:             | ID Number :      |
| Issued By:                                      | Issuance Date:       | Expiration Date: |
| <input type="checkbox"/> <b>Non-U.S. Person</b> | Country of Issuance: |                  |
| Physical Address:                               |                      |                  |

**Please read carefully, sign, and date. By signing this form: You understand (1) the Certification of Beneficial Ownership is a regulatory requirement, and (2) Financial institutions are required to have their legal entity members certify the beneficial owners for existing members during the course of a financial product renewal (e.g., a loan or certificate of deposit).**

I \_\_\_\_\_ hereby certify, to the best of my knowledge, that the information provided above is complete  
(Name of natural person opening account)  
and correct. I also agree to notify the credit union of any changes in beneficial ownership by completing and providing a new Certification of Beneficial Ownership Form before or during the course of a financial product renewal (e.g., a loan or certificate of deposit).

|            |       |
|------------|-------|
| Signature: | Date: |
|------------|-------|

I authorize CCCU to obtain and/or verify our Beneficial Ownership information disclosed by the Financial Crimes Enforcement Network.