



BENEFICIAL OWNERS OF LEGAL ENTITIES

Please complete this form as it relates to opening of a new account on behalf of a legal entity (Applying Entity). This form must be received from any individual who: 1) can answer “yes” to the first question below and/or 2) at least one person who can answer “yes” to the second question below. R.J.O'Brien must receive at least one completed form for each Applying Entity.

If another legal entity owns 25% or more of the Applying Entity, it is considered the “Owner Entity”. The Owner Entity must submit at least one Beneficial Owners of Legal Entities form.

Form is in reference to: Applying Entity Owner Entity

Applying Entity

Name of Legal Entity

Legal Type for Legal Entity (e.g. LLC, etc.)

Address of Legal Entity

Owner Entity, if applicable

Name of Legal Entity

Owner Entity must also provide the name of the Applying Entity to properly link account opening documents.

Please answer both of the questions below.

Yes No Do you directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, own 25 percent or more of the equity interests of the legal entity listed above?

Yes No Do you have 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, Treasurer); or
- Are you an individual who regularly performs similar functions?

If you answered yes to either of the questions above, please provide the following information:

Name and Title	
Date of Birth	
Address (Residential or Business)	
Identification <ul style="list-style-type: none"> • US Person: Social Security Number • Non-US Person: Passport Number 	

R.J.O'Brien requires all beneficial owners to provide photo identification. US Persons can provide a copy of their driver's license, passport or Government ID. Non-US persons must provide a copy of their passport.

I, _____ hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

Signature: _____ Date: _____

This form can be returned directly to: newaccountdocs@rjobrien.com