

Certification of Beneficial Owners

General Instructions

What is the purpose of this form?

To protect investors and combat financial crime, Federal regulation requires 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 (*e.g., the beneficial owners*) helps law enforcement investigate and prosecute these crimes.

This verification is required at the time of account opening or maintenance.

Who must complete this form?

The form must be completed by an individual authorized by the legal entity to open or maintain the account on behalf of the legal entity customer (also referred to as the "authorized individual"). The authorized individual is required to sign the form.

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 unless the legal entity qualifies for an exemption.

How can I securely return this form?

To protect the personal information displayed on this form, we recommend you utilize one of the following secure methods to return the signed, completed form:

- In person with your financial professional
- Electronically via encrypted email to your financial professional
- Sending through secure mail via USPS or other common carrier (domestic or international) with automated tracking and tamper-evident packaging

What information do I have to provide?

You will need to provide the following information for each beneficial owner listed on the attached form prior to signing and returning to us. We are required by Federal regulations to obtain this information for each beneficial owner of the legal entity.

- Full legal name (first name, middle name or initial, and last name or surname)
- Address
- Date of Birth
- Social Security number (or passport number or other similar information, in the case of Non-U.S. Persons)

Beneficial owners are defined as:

- (i) Each individual, if any, who
 - (1) 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*) or
 - (2) serves as a trustee for a trust that owns, directly or indirectly, **25** percent or more of the equity interests of the legal entity customer; and

Account(s) carried by First Clearing. First Clearing is a trade name used by Wells Fargo Clearing Services, LLC, a registered broker-dealer and non-bank affiliate of Wells Fargo & Company.

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- (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, and the same individual might be identified under both sections. A completed form will contain all the identifying information of all beneficial owners identified on the account, with a minimum of at least one individual (under Step 3), and up to **4** additional individuals (under Step 2) if they meet the **25** percent requirement described above.

All information must be completed on the form; this page is for instruction only. Although you already provided this information, the date of birth and Social Security number fields have not been prepopulated on the attached form in order to protect this personal information.

The form will not be considered complete unless all the identifying information (name, address, date of birth, and Social Security number or for non-U.S. persons, passport number or other similar information) is displayed for each beneficial owner on the form. We may also ask to see a copy of an unexpired driver's license, passport, or other identifying document for each beneficial owner listed on this form.

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Step 1 - Tell Us About the Entity and Authorized Individual

Please provide the name and title of the authorized individual opening or maintaining the account on behalf of the legal entity.

Full Legal Name of Authorized Individual
Title
Legal Name of Entity for Which the Account is Being Opened or Maintained
Entity Type
Physical Address (Cannot be a P.O. Box)

Step 2 - Tell Us About the Entity's Owner(s)

Provide the following information for each individual, if any, who:

- Owns, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, **25** percent or more of the equity interests of the legal entity listed above.
- Serves as the trustee of a trust that owns, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, **25** percent or more of the equity interests of the legal entity listed above.

If no individual meets this definition, please enter "Not Applicable."

Owner 1

Full Legal Name	Date of Birth	
Physical Address (Cannot be a P.O. Box)		
Social Security No. (for U.S. Persons)*	Government ID Type*	ID/Place of Issuance*

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Owner 2

Full Legal Name		Date of Birth
Physical Address (Cannot be a P.O. Box)		
Social Security No. (for U.S. Persons)*	Government ID Type*	ID/Place of Issuance*

Owner 3

Full Legal Name		Date of Birth
Physical Address (Cannot be a P.O. Box)		
Social Security No. (for U.S. Persons)*	Government ID Type*	ID/Place of Issuance*

Owner 4

Full Legal Name		Date of Birth
Physical Address (Cannot be a P.O. Box)		
Social Security No. (for U.S. Persons)*	Government ID Type*	ID/Place of Issuance*

* For Non-U.S. Persons: Passport Number and Country of Issuance, or other similar identification number. *(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.)*

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Step 3 - Tell Us About the Entity's Control

The following information is required for a minimum of at least 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, Treasurer*)
- Any individual who regularly performs similar functions.

If appropriate, an individual listed as an Owner may also be listed in this section.

Individual 1

Full Legal Name	Date of Birth	Title
Physical Address (Cannot be a P.O. Box)		
Social Security No. (for U.S. Persons)*	Government ID Type*	ID/Place of Issuance*

Individual 2

Full Legal Name	Date of Birth	Title
Physical Address (Cannot be a P.O. Box)		
Social Security No. (for U.S. Persons)*	Government ID Type*	ID/Place of Issuance*

Individual 3

Full Legal Name	Date of Birth	Title
Physical Address (Cannot be a P.O. Box)		
Social Security No. (for U.S. Persons)*	Government ID Type*	ID/Place of Issuance*

Individual 4

Full Legal Name	Date of Birth	Title
Physical Address (Cannot be a P.O. Box)		
Social Security No. (for U.S. Persons)*	Government ID Type*	ID/Place of Issuance*

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Individual 5

Full Legal Name	Date of Birth	Title
Physical Address (Cannot be a P.O. Box)		
Social Security No. (for U.S. Persons)*	Government ID Type*	ID/Place of Issuance*

Individual 6

Full Legal Name	Date of Birth	Title
Physical Address (Cannot be a P.O. Box)		
Social Security No. (for U.S. Persons)*	Government ID Type*	ID/Place of Issuance*

Individual 7

Full Legal Name	Date of Birth	Title
Physical Address (Cannot be a P.O. Box)		
Social Security No. (for U.S. Persons)*	Government ID Type*	ID/Place of Issuance*

* For Non-U.S. Persons: Passport Number and Country of Issuance, or other similar identification number (*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.*)

Step 4 - Acknowledge and Sign this Agreement

Please provide the name of the individual authorized by the legal entity to open or maintain the account on behalf of the legal entity customer (also referred to as the "authorized individual").

I, _____,
Full legal name of individual opening or maintaining Account on behalf of legal entity (i.e., the individual providing the beneficial ownership information used to open the account)

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

Signature

Date

For the categories of personal data that Wells Fargo Clearing Services, LLC (WFCS) may collect and how we use it, see the Wells Fargo California Consumer Privacy Act Notice at Collection at Wells Fargo Clearing Services, LLC > Home (wellsfargoclearingservicesllc.com). See additional WFCS privacy notices at Wells Fargo Clearing Services, LLC > Home (wellsfargoclearingservicesllc.com).

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