

Please provide the following requested information. All information is required unless otherwise noted and must be completed by a person with the intent to open an account or apply for credit. Additional information may be requested based upon response provided. Reference material and detailed instructions are available at the end of this Form.

Customer Information

Legal Entity Name :	
Address: (No PO Box)	
Business Phone:	

Exempt from Beneficial Ownership regulation – Complete Natural Authorized Person Section Below
Enter exemption number from corresponding list on the final page of this form: _____ Note: If you are exempt because you are a Charity or Non-Profit or a Pooled Investment Vehicle advised by a non-exempt entity you must complete the Control Person section in addition to the Certification from the Natural Authorized Person. If you are exempt for any of the other reasons listed in the detailed instructions, the section labeled Certification from Natural Authorized Person must be completed.

Certification from Natural Authorized Person (NAP)

Natural Authorized Person is an individual who is authorized to represent the Customer.

I, (Natural Authorized Person representing entity opening the account), _____, <div style="text-align: right;">(Print Full Legal Name)</div> hereby certify, to the best of my knowledge, the Beneficial Owner(s) and Control Person information is accurate and correct.	
NAP Position at the Legal Entity Customer: _____	
NAP Address: _____	Address is <input type="checkbox"/> Work Address <input type="checkbox"/> Personal Address
Signature: X _____ For accounts that automatically renew or rollover (e.g. loans or Certificates of Deposit), the legal entity customer agrees to notify Fifth Third Bank of any changes to the ownership or control of the legal entity.	Date Signed (MM/DD/YYYY): _____

Individual Information Control Person

Control Person Full Legal Name: _____ SSN/Individual Tax ID: _____ DOB: _____ <input type="checkbox"/> I am also a Beneficial Owner with _____% Ownership	
Address (No PO Box): _____ _____	Residency status: <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non-Resident Alien
ID Information: Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Position/Title: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Senior Political Figure: <input type="checkbox"/>	

Control Person is an individual with significant responsibility to control, manage or direct the Customer. Examples include: CEO, CFO, COO, Managing Member, General Partner, President, Vice President, Treasurer or any other individual who regularly performs similar functions.

Reference material and detailed instructions are available at the end of this Form.

*PO Box address not allowed.

Beneficial Owner(s)

Beneficial Owner is an individual person (not a company) who owns an interest in the Customer. All individuals with **25%** or more ownership interest in the Customer must be identified. Attachment A should be used to identify additional individuals with **10%** or more ownership interest in the Customer; (1) if required by the Bank, or (2) at the Customer's discretion. The Bank will notify you if 10% disclosure is required. Reference material and detailed instructions are available at the end of this Form.

*PO Box address not allowed.

<input type="checkbox"/> No Individual Beneficial Owner Meets the 25% ownership threshold			
Beneficial Owner 1: _____ % Ownership Full Legal Name: _____ <input type="checkbox"/> I am the Control Person and my information is provided above SSN/Individual Tax ID: _____ DOB: _____		Beneficial Owner 2: _____ % Ownership Full Legal Name: _____ SSN/Individual Tax ID: _____ DOB: _____	
Address (No PO Box): _____ _____	Residency status: <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non-Resident Alien	Address (No PO Box): _____ _____	Residency status: <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non-Resident Alien
ID Information: Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Senior Political Figure: <input type="checkbox"/>		ID Information: Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Senior Political Figure: <input type="checkbox"/>	

Beneficial Owner 3: _____ % Ownership Full Legal Name: _____ SSN/Individual Tax ID: _____ DOB: _____		Beneficial Owner 4: _____ % Ownership Full Legal Name: _____ SSN/Individual Tax ID: _____ DOB: _____	
Address (No PO Box): _____ _____ _____	Residency status: <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non-Resident Alien	Address (No PO Box): _____ _____ _____	Residency status: <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non-Resident Alien
ID Information: Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Senior Political Figure: <input type="checkbox"/>		ID Information: Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Senior Political Figure: <input type="checkbox"/>	
<i>If additional space is needed, use Attachment A</i>			

Attachment A

If required by the Bank or at the Customer's discretion, use the space below to provide information for additional Beneficial Owner(s) with 10% or more ownership in the Customer.

<input type="checkbox"/> No Individual Beneficial Owner Meets the 10% ownership threshold			
Beneficial Owner 5: _____ % Ownership Full Legal Name: _____ SSN/Individual Tax ID: _____ DOB: _____		Beneficial Owner 6: _____ % Ownership Full Legal Name: _____ SSN/Individual Tax ID: _____ DOB: _____	
Address (No PO Box): _____	Residency status: <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non-Resident Alien	Address (No PO Box): _____	Residency status: <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non-Resident Alien
ID Information: Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Senior Political Figure: <input type="checkbox"/>		ID Information: Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Senior Political Figure: <input type="checkbox"/>	
Beneficial Owner 7: _____ % Ownership Full Legal Name: _____ SSN/Individual Tax ID: _____ DOB: _____		Beneficial Owner 8: _____ % Ownership Full Legal Name: _____ SSN/Individual Tax ID: _____ DOB: _____	
Address (No PO Box): _____	Residency status: <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non-Resident Alien	Address (No PO Box): _____	Residency status: <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non-Resident Alien
ID Information: Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Senior Political Figure: <input type="checkbox"/>		ID Information: Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Senior Political Figure: <input type="checkbox"/>	
Beneficial Owner 9: _____ % Ownership Full Legal Name: _____ SSN/Individual Tax ID: _____ DOB: _____		Beneficial Owner 10: _____ % Ownership Full Legal Name: _____ SSN/Individual Tax ID: _____ DOB: _____	
Address (No PO Box): _____	Residency status: <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non-Resident Alien	Address (No PO Box): _____	Residency status: <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Resident Alien <input type="checkbox"/> Non-Resident Alien
ID Information: Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Senior Political Figure: <input type="checkbox"/>		ID Information: Type: _____ Issue State/Country: _____ Number: _____ Issue Date: _____ Expiration Date: _____ Occupation: _____ Politically Exposed Person: <input type="checkbox"/> Senior Political Figure: <input type="checkbox"/>	

Detailed Instructions and Frequently Asked Questions

Important Information about Procedures for Opening a New Account

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all [financial institutions](#) to obtain, verify, and record information that identifies each person who opens an [account](#).

What this means for you: When you open an [account](#), we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents

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, Control Person and Natural Authorized Person of legal entity customers.

Who has to complete this form?

This form must be completed by the person with the intent to open an account or apply for credit on behalf of a **legal entity** with any of the following U.S. financial institutions: a bank or credit union; a broker or dealer in securities; a mutual fund; a futures commission merchant; or an introducing broker in commodities.

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 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), a copy of government issued identification (examples of acceptable ID types include unexpired U.S. Driver's License, unexpired State ID, unexpired Passport, unexpired Military ID) for the following individuals (i.e., the beneficial owners):

1. Each individual, if any, who owns, directly or indirectly, 25% or more of the equity interests of the legal entity customer (e.g., each natural person that owns 25% or more of the shares of a corporation) or in some situations 10%; and
2. 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. Depending on the factual circumstances, up to ten individuals - **but as few as zero** - may need to be identified.)

When is 10% or more Beneficial Ownership Information Required?

The law requires a legal entity Customer disclose those individuals who have a minimum of 25% or more ownership interest in the Customer, a "Beneficial Owner". In certain instances, the Bank may require Beneficial Owner information be provided for individuals who have a minimum of 10% or more ownership interest in the Customer. This requirement is based upon many factors, such as a Customer operating in a high risk industry, such as a Money Services Business. The Bank will alert the Customer if the 10% or more threshold is required. Customers at their discretion may provide more Beneficial Owner(s) information than required. If a Beneficial Owner or Control Person is a Politically Exposed Person or Senior Political Figure, Beneficial Ownership information will need to be provided for all Beneficial Owners who have 10% or more ownership interest in the Customer.

Is identification of a Control Person required?

The Control Person is required for all non-exempt entities. Even if no Beneficial Owner meets the 25% or more (or 10% when required) ownership threshold, information about a Control Person must be provided. Charities, Non-Profit entities and Pooled Investment Vehicles advised by a non-exempt entity must also identify a Control Person.

Can the Control Person also be a Beneficial Owner/Natural Authorized Person?

Yes. The Control Person can be a Beneficial Owner and/or a Natural Authorized Person.

What law requires the information contained in this Form?

31 CFR §1010.230 - Beneficial ownership requirements for legal entity customers.

Who is a Senior Political Figure (SPF)?

A **Senior Political Figure** includes:

1. A senior official in the executive, legislative, administrative, military, or judicial branches of a **foreign** government (whether elected or not);
2. A senior official of a major **foreign** political party; or
3. A senior executive of a **foreign** government-owned corporation.

Who is a Politically Exposed Person (PEP)?

A **Politically Exposed Person** includes:

1. An immediate family member of a Senior Political Figure, such as parents, siblings, spouse, and children;
2. A personal or professional associate of a Senior Political Figure. A "personal or professional associate" is a person who is widely and publicly known to maintain an unusually close relationship with the Senior Political Figure, and includes a person who is in a position to conduct substantial domestic and international financial transactions on behalf of the Senior Political Figure; or
3. A corporation, business, or other entity that has been formed by, or for the benefit of a Senior Political Figure, or campaign accounts that have been created to benefit an individual running for an office that if elected, would qualify them as a Senior Political Figure.

Exemptions

Below is the list of exemptions to the Beneficial Ownership rule. If qualified for one of these exemptions enter the number corresponding to the exemption in the section above on exemptions:

1. Entities traded on a U.S stock exchange (NYSE, American or NASDAQ)
2. A charity or non-profit company (requires a Control Person and a NAP)
3. A Public Accounting firm registered under section 102 of the Sarbanes-Oxley Act
4. A Bank regulated by a U.S. state agency
5. An Insurance company regulated by a U.S. state
6. A U.S regulated financial institution
7. An agency of the U.S. Federal government
8. An agency of a U.S. State government
9. A U.S. local government agency
10. A non-U.S. government agency engaged in government activities
11. A bank holding company
12. A savings and loan holding company
13. Equipment Finance/Leasing transactions that are purchased from third parties as Fifth Third is not the originating bank.
14. A financial market utility designated by the Financial Stability Oversight Council
15. A non-U.S. entity opening a private banking account subject to 31 CFR
16. A foreign Financial Institution established in a jurisdiction where the regulator of such institution maintains Beneficial Ownership information (requires review and approval by Fifth Third Bank)
17. An issuer of a class of securities
18. An SEC registered investment company, investment advisor, broker dealer or other registered firm with a current SEC registration number
19. A Commodity Futures Trading Commission registered entity
20. A pooled investment vehicle that is operated or advised by a financial institution that is exempt from Beneficial Ownership
21. Non-excluded pooled investment vehicles - those not operated by or advised by a financial institution such as a non-US managed mutual fund, hedged fund or private equity fund (requires Control Person and a NAP).
22. An Entity, organized in any state under the laws of the United States, with at least 51% of common stock or analogous equity interest held by an entity traded on a U.S. Stock Exchange
23. Unincorporated Associations (such as scout troops or sport teams/leagues) (Unincorporated associations are excluded and are not required to provide beneficial ownership or signature from a Natural Authorized Person)

Examples of Different Ownership Structures and Beneficial Ownership Requirements

