

  
**Certification of Beneficial Owners**

<b>Bank Use Only</b> <b>Account(s)#</b> _____
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Please provide the following information in accordance with Federal Regulation 31 CFR 10.10.320. Individuals with 25% or more equity ownership in a business are defined as Beneficial Owners, under this regulation.

The individual opening an account on behalf of a legal entity must provide the following information AND sign at bottom of this page:

Last Name	First Name	M.I.
Name of Legal Entity for Which Account is Being Open		<b>Exempt Code</b> (see pg. 3 for applicability)
Legal Entity Type: Select one of the following. For Non-Profit entities only, complete Section I and sign at the bottom of the form.		
<input type="checkbox"/> Corporation for Profit <input type="checkbox"/> LLC <input type="checkbox"/> LLP <input type="checkbox"/> Non-Profit <input type="checkbox"/> Partnership <input type="checkbox"/> Limited Partnership <input type="checkbox"/> Private Foundation <input type="checkbox"/> Other (entity created by a state office filing)		
Legal Entity Address (P.O. Box is not acceptable)	City	State
		Zip Code

**SECTION I - CONTROLLING INDIVIDUAL** *Government-issued, unexpired identification required. (e.g., driver's license)*

Please provide the following information for an individual with significant responsibility for managing or directing the entity, (e.g. Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, Treasurer); or any other individual who regularly performs similar functions.

Social Security Number (U.S. Persons)	Date of Birth		
Last Name	First Name	M.I.	Business Title
Residential Address	City	State	Zip Code
For Non-U.S. Persons (SSN, Passport Number or other similar identification number)		Country of Issuance	

Note: 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.

**SECTION II - BENEFICIAL OWNER(S)** *Government-issued, unexpired identification required. (e.g., driver's license)*

(To add additional Beneficial Owners, see page 2)

Please provide the following information for an individual, if any, who directly or indirectly owns 25% or more of the equity interests of the legal entity, listed above.

**(Check here  if no individual meets this definition)**

Social Security Number (U.S. Person)	Date of Birth	% of Ownership	
Last Name	First Name	M.I.	Business Title
Residential Address	City	State	Zip Code
For Non-U.S. Persons (SSN, Passport Number or other similar identification number)		Country of Issuance	

Note: 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.

**Check applicable box:**

I hereby certify, to the best of my knowledge, that the information provided above is complete and correct and that EagleBank will be notified if or when someone else ever owns 25% or more of the entity.

**OR**

I have reviewed the Beneficial Ownership information (Customer Relationship Printout) on file with EagleBank. I hereby recertify its accuracy by my signature below.

Signature: \_\_\_\_\_ Print Name: \_\_\_\_\_ Date: \_\_\_\_\_



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**Additional SECTION II – 2<sup>nd</sup> Beneficial Owner** (if required)

*Government-issued, unexpired identification required. (e.g., driver’s license, passport, permanent resident card)*

Please provide the following information for an individual, if any, who directly or indirectly owns 25% or more of the equity interests of the legal entity, listed above.			
Social Security Number (U.S. Person)		Date of Birth	% of Ownership
Last Name	First Name	M.I.	Business Title
Residential Address		City	State
			Zip Code
For Non-U.S. Persons (SSN, Passport Number or other similar identification number)		Country of Issuance	

Note: 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.

**Additional SECTION II – 3<sup>rd</sup> Beneficial Owner** (if required)

*Government-issued, unexpired identification required. (e.g., driver’s license, passport, permanent resident card)*

Please provide the following information for an individual, if any, who directly or indirectly owns 25% or more of the equity interests of the legal entity, listed above.			
Social Security Number (U.S. Person)		Date of Birth	% of Ownership
Last Name	First Name	M.I.	Business Title
Residential Address		City	State
			Zip Code
For Non-U.S. Persons (SSN, Passport Number or other similar identification number)		Country of Issuance	

Note: 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.

**Additional SECTION II – 4<sup>th</sup> Beneficial Owner** (if required)

*Government-issued, unexpired identification required. (e.g., driver’s license, passport, permanent resident card )*

Please provide the following information for an individual, if any, who directly or indirectly owns 25% or more of the equity interests of the legal entity, listed above.			
Social Security Number (U.S. Person)		Date of Birth	% of Ownership
Last Name	First Name	M.I.	Business Title
Residential Address		City	State
			Zip Code
For Non-U.S. Persons (SSN, Passport Number or other similar identification number)		Country of Issuance	

Note: 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.

## **Exemptions**

Below is the list of business formation types which are exempt from the Beneficial Ownership rule.

If qualified for one of these exemptions:

- **In the top part of page 1, in the Exempt Code block, enter the corresponding number of the applicable business formation type listed below.**
- **Complete and sign the bottom of page 1**

1. Entities traded on a U.S stock exchange (NYSE, American or NASDAQ)
2. Sole Proprietor
3. Trusts (not formed through a Secretary of State filing)
4. A Public Accounting firm registered under section 102 of the Sarbanes-Oxley Act
5. A Bank regulated by a U.S. state agency
6. An Insurance company regulated by a U.S. state
7. A U.S regulated financial institution
8. An agency of the U.S. Federal government
9. An agency of a U.S. State government
10. A U.S. local government agency
11. A non-U.S. government agency engaged in government activities
12. A bank holding company
13. A savings and loan holding company
14. Equipment Finance/Leasing transactions that are purchased from third parties.
15. A financial market utility designated by the Financial Stability Oversight Council
16. A non-U.S. entity opening a private banking account subject to 31 CFR
17. A foreign Financial Institution established in a jurisdiction where the regulator of such institution maintains Beneficial Ownership information
18. An issuer of a class of securities
19. An SEC registered investment company, investment advisor, broker dealer or other registered firm with a current SEC registration number
20. A Commodity Futures Trading Commission registered entity
21. A pooled investment vehicle that is operated or advised by a financial institution that is exempt from Beneficial Ownership
22. 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).
23. 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
24. Unincorporated Associations (such as scout troops or youth sport leagues) (Unincorporated associations are excluded and are not required to provide beneficial ownership and signature from a Natural Authorized Person).