

## Background and Instructions

Beginning May 11, 2018, new Federal regulation requires certain financial institutions to obtain, verify, and record information about the beneficial owners and controllers of legal entity customers<sup>1</sup> to help fight financial crime.

This form must be completed by the person opening a new account on behalf of a legal entity with a U.S. financial institution such as Bank of the West and BancWest Investment Services.

This form requires the name, address, date of birth and Social Security number (or passport number or other similar information, in the case of Non-U.S. Persons) for the following individuals (*i.e.*, the **ultimate beneficial owners** and **senior managing officials**):

- (I) Each individual, if any, who owns, directly or indirectly, 25 percent<sup>2</sup> or more of the equity interests of the legal entity customer (the **Ultimate Beneficial Owner**, *e.g.*, each natural person that owns 25 percent or more of the shares of a corporation); **and**
- (II) An individual with significant responsibility for managing the legal entity customer (the **Senior Managing Official**, *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 the definition of beneficial owner in section (I) will vary depending on the ownership structure of the company. Regardless of the number of individuals identified under section (I), you must always provide the identifying information of one individual under section (II).

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<sup>1</sup> In the case of Group Retirement Plan Services (GRPS), the information may instead be collected on the legal entity sponsoring the plan (customer), rather than the plan (customer) itself.

<sup>2</sup> For some legal entities, this requirement extends to owners of 10 percent equity interest in the legal entity - your relationship manager will advise you if information from all owners of 10 percent or greater equity interest is required.

Entity Information				
Entity Name	Entity Type	Entity Address		
Section I: Ultimate Beneficial Ownership (UBO) Information				
<p>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.</p> <p><b>Note:</b> For some legal entities, this requirement extends to owners of 10 percent equity interest in the legal entity - your relationship manager will advise you if information from all owners of 10 percent or greater equity interest is required.</p>				
Name and Residential Address	Percentage Owned	Date of Birth	For US Persons: Social Security Number (no dashes)	For Non-US Persons: Passport or other Similar Identification Number, and Country of Issuance <sup>3</sup>

<sup>3</sup> 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.

# Ultimate Beneficial Ownership and Senior Managing Official Certification Form

<b>Section II: Senior Managing Official (SMO) Information</b>				
Individual with significant responsibility for managing the legal entity (e.g., Chief Executive Officer, Chief Financial Officer, Chief Operation Officer).				
Name and Title	Residential Address	Date of Birth	For US Persons: Social Security Number (no dashes)	For Non-US Persons: Passport or other Similar Identification Number, and Country of Issuance <sup>4</sup>
Person certifying on behalf of the entity				
Name		Title		

I, \_\_\_\_\_ (*name of natural person*), hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

<sup>4</sup> 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.