



**PORTSMOUTH**  
FINANCIAL SERVICES

## Certification Regarding Beneficial Owners of Legal Entity Customers

Account # \_\_\_\_\_

### 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 of legal entity customer. 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 (the beneficial owners) helps law enforcement investigate and prosecute these crimes.

### 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) for the following individuals (i.e., the beneficial owners):

- 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 the corporation); and
- 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).

### Who Has to complete this form?

This form must be completed by the person opening an new account on behalf of a legal entity with Portsmouth Financial. A legal entity includes a corporation, limited liability company, or any 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, unincorporated associations, or natural persons opening accounts on their own behalf.

**Part II. Certification of Beneficial Owner(s) Account # \_\_\_\_\_**

Person opening an account on behalf of a legal entity must provide the following information:

a. Name and Title of Natural Person Opening Account:

\_\_\_\_\_

b. Name of Legal Entity:

\_\_\_\_\_

c. The following information for each individual, if any, who, directly, or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns 25% or more of the equity interests of the legal entity listed above:

Name	Title	DOB	Address Residential or Business	For US Persons: Social Security Number	For Foreign Persons: Passport Number and Country of Issuance, or other similar identification number.

If no individual meets the definition, please write "Not Applicable" or N/A. For foreign persons, in lieu of a passport 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.

d. The following information for 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, or Treasurer); or
- Any other individual who regularly performs similar functions. If appropriate, an individual listed under section c (above) may also be listed in section d.

Name	Title	DOB	Address Residential or Business	For US Persons: Social Security Number	For Foreign Persons: Passport Number and Country of Issuance, or other similar identification number.

I, \_\_\_\_\_ (Name of natural Person opening account), hereby certify, to the best of my knowledge, that the information provided above is complete and correct.