



ULTIMATE BENEFICIAL OWNERSHIP (UBO) CERTIFICATION FORM
Corporations, LLCs, Partnerships, and Non-profits

(Please note: Non-profits include: clubs, student organization, and organization account types)

As required by Federal regulation, this UBO Certification Form must be completed by the business member each time a Corporation, LLC, Partnership, or Non-Profit opens a new deposit account or loan or when there has been a change in Beneficial Owners or the Controller.

- Prior to opening the account, the business member must complete section 2 in its entirety and sign the certification at the end
- Prior to opening the account, collect legible copies of government-issued photo ID for all Ultimate Beneficial Owners and the Controller
- Submit this UBO Certification Form and legible copies of each ID along with the business packet.

Initial Revised Recertification

Business Name:		
EIN No:		

1. GENERAL INSTRUCTIONS

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 Ultimate 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 (i.e., the Ultimate Beneficial Owners) helps law enforcement investigate and prosecute these crimes.

Who has to complete this form?

This form must be completed by the person opening a new account on behalf of a legal entity with any of the following U.S. financial institutions: (i) a bank or credit union; (ii) a broker or dealer in securities; (iii) a mutual fund; (iv) a futures commission merchant; or (v) 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, unincorporated associations, 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 Non-U.S. Persons) for the following individuals (i.e., the **Ultimate Beneficial Owners**):

- (i) **Ownership:** Each individual, if any, who owns, directly or indirectly, 20% or more of the equity interests of the legal entity customer (e.g., each natural person that owns 20% or more of the shares of a corporation); **and**
- (ii) **Controller:** 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 “Ultimate Beneficial Owner” may vary. Under section 2c, depending on the factual circumstances, up to four individuals (but as few as zero) may need to be identified. Regardless of the number of individuals identified under section 2c, you must provide the identifying information of one individual under section 2d.



It is possible that in some circumstances the same individual might be identified under both sections (e.g., the President of Acme, Inc. who also holds a 30% equity interest may also be the Controller).

Thus, a completed form will contain the identifying information of at least one individual (under section 2d), and up to five individuals (i.e., one individual under section 2d and up to five (5) 20% equity holders under section 2c).

The financial institution will also ask for a copy of a driver’s license or other government-issued photo identification document for each Ultimate Beneficial Owner and the Controller listed on this form.

2. CERTIFICATION

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

a. Name and Title of Natural Person Opening Account:

Name of Natural Person Opening Account on Behalf of the Business/Legal Entity	
Title of Natural Person Opening Account on Behalf of the Business/Legal Entity	

b. Name, Type, and Address of Business/Legal Entity for Which the Account is Being Opened:

Name of Business/Legal Entity For Which Account is Being Opened	
Type of Business/Legal Entity for Which Account is Being Opened	<input type="checkbox"/> Corporation <input type="checkbox"/> LLC <input type="checkbox"/> Partnership <input type="checkbox"/> Non-Profit <input type="checkbox"/> Other (please describe):
Address of Business/Legal Entity for Which Account is Being Opened	

c. Ownership: The following information for each individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns 20% or more of the equity interests of the legal entity listed above: ***(If no individual meets this definition, please write “Not Applicable”.)***

Name	Date of Birth	Address (Residential or Business Street Address)	For U.S. Persons: Social Security Number	For Non-U.S. Persons: Social Security Number, Passport Number and Country of Issuance, or other similar identification number ¹	Percentage of Ownership

d. **Controller:** 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, Treasurer); or
- Any other individual who regularly performs similar functions.

(If appropriate, an individual listed under section (c) above may also be listed in this section (d)).



Name	Date of Birth	Address (Residential or Business Street Address)	For U.S. Persons: Social Security Number	For Foreign Persons: Passport Number and Country of Issuance or other similar identification number ¹

Certification:

I, _____ (name of natural person opening account), hereby certify, to the best of my knowledge, that the information provided above is complete and correct and that any changes to the information above shall be promptly reported to SECU.

Signature

Printed Name

Date

Recertification:

I, _____ (*name of natural person opening account*), hereby certify, to the best of my knowledge, that the information provided above is complete and correct and that any changes to the information above shall be promptly reported to SECU.

Signature

Printed Name

Date

¹ 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.