

Form Purpose

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 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 the legal entity (i.e. the beneficial owners) helps law enforcement investigate and prosecute those 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 Security National Bank of Omaha.

For the purpose of this form, a **Legal Entity** includes a corporation, limited liability company, or other entity created by a filing of a public document with a Secretary of State or similar office; a general or limited 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 **Beneficial Owners**):

- i. Each individual, if any, who owns, directly or indirectly, 25 percent or more of the equity interest of the legal entity customer (each natural person owning 25 percent or more of the share of a corporation); **and**
- ii. 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 satisfying this definition of “Beneficial Owner” may vary.

Under Section (i), 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 (i), you must provide the identifying information of one individual under section (ii). 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). Thus, a completed form will contain the identifying information of at least one individual [under section (ii)], and up to five individuals [i.e., one individual under section (ii) and four 25 percent equity holders under section (i)], as well as a signature certification under section (iii).

Security National Bank may also ask to see a copy of a driver’s license or other identifying document for each Beneficial Owner listed on this form.

CERTIFICATION OF BENEFICIAL OWNER(S)

Persons opening an account on behalf of a Legal Entity must provide the following information¹:

Name of Person Opening Account:	
Account #:	Account Type
Name of Legal Entity for which the Account is being Opened:	
Legal Entity Type:	TAX ID #

Section (i): Ownership

Please provide the following information² for 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:**

N/A Check if no individual or entity owns 25% or more of equity interest and explain (e.g. Non-profit (no Ownership, only collect Control))



Important: If there is another legal entity that owns 25% or more of this Legal Entity customer, please complete the **Beneficial Ownership Addendum** on page 4.

ULTIMATE BENEFICIAL OWNER NAME (Entities should not be listed here)	DATE OF BIRTH	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 ³

¹ Modeled from FinCen Appendix A. Certification Regarding Beneficial Owners of Legal Entity Customers.

² We may also ask to see a copy of driver's license or other identifying document for each Beneficial Owner listed on this form.

³ 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 another acceptable form of government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

Section (ii): Control

Please provide the following information⁴ 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.

Name of Person Opening Account:			
Account #:			Account Type
Name of Legal Entity for which the Account is being Opened:			
Legal Entity Type:			TAX ID #

NAME	DATE OF BIRTH	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 ⁵

Section (iii): Certification

I, _____ (individual opening the account) hereby certify, to the best of my knowledge, that the information provided above is complete and correct. The Beneficial Owners listed herein agree to notify Security National Bank of Omaha of any changes to the information reported on this Certification.

Signature: _____ Date: _____

⁴ We may also ask to see a copy of a driver's license or other identifying document for each beneficial owner listed on this form.
⁵ 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 another acceptable form of government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

This addendum should only be used when there is another legal entity or entities owning 25% or more of the Legal Entity customer opening this account.

Beneficial Ownership Addendum

Name of Legal Entity⁶	
% Ownership in Customer Opening the Account	

Please provide the following information⁷ for **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:**

(If no individual meets this definition, please write "Not Applicable")

NAME	DATE OF BIRTH	ADDRESS	For U.S. Persons: Social Security Number ⁸	% ownership in Above Named Entity	% Ownership in Customer opening Account

If individual(s) listed above ownership % in aggregate is 25% or more of the Legal Entity opening the account, their name(s) should be carried forward to page 2, Section (i): Ownership.

⁶ Name of the Legal Entity with ownership in the customer seeking to open the account.

⁷ We may also ask to see a copy of a driver's license or other identifying document for each Beneficial Owner listed on this form.

⁸ 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 another acceptable form of government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.