

## Certification Regarding Beneficial Owner(s) and Controlling Person of Legal Entity Customers

### I. 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 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 ultimately own or control a legal entity (i.e., the beneficial owners) helps law enforcement investigate and prosecute these crimes.

#### Who has to complete this form?

This form must be completed by the Certifying Person - the person opening a new account or otherwise fulfilling the bank's request to provide this Beneficial Ownership related information - 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. **Beneficial Owner** - Each individual who owns, directly or indirectly, through any contract, arrangement, understanding relationship or otherwise, 25 percent or more of the equity interests of the legal entity customer (e.g., shares of a corporation). In some cases, the bank may request a lower ownership percentage (e.g. 10 percent ownership); and
- ii. **Controlling Person** - 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 "beneficial owner" may vary. Under section (D), depending on the factual circumstances, up to ten individuals (but as few as zero) may need to be identified. Regardless of the number of individuals identified under section (D), you must provide the identifying information of one individual under section (E). 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 (E)), and up to eleven individuals (i.e., one individual under section (E) and ten 10 percent equity holders under section (D)).

We will also ask to see and/or obtain a copy of a driver's license or other identifying document for each beneficial owner and controlling person listed on this form.

In certifying the information below, the Certifying Person also agrees to ensure that the legal entity for which it provides this information notifies us of any changes in such information.

## II. CERTIFICATION OF BENEFICIAL OWNER(S) & CONTROLLING PERSON

Person certifying this form on behalf of a legal entity must provide the following information:

### A. PERSON CERTIFYING FORM:

Full Name			
Date of Birth (Optional)		Title	

### B. LEGAL ENTITY INFORMATION:

Full Name			
Physical Address			
Entity Type (select one):			
<input type="checkbox"/> Corporation	<input type="checkbox"/> Non-profit Corporation		
<input type="checkbox"/> Doing Business As	<input type="checkbox"/> Partnership		
<input type="checkbox"/> Estate	<input type="checkbox"/> Professional Association (PA)		
<input type="checkbox"/> Financial Institution	<input type="checkbox"/> Professional Corporation (PC)		
<input type="checkbox"/> Joint Venture	<input type="checkbox"/> Professional Partnership		
<input type="checkbox"/> Limited Company (LC)	<input type="checkbox"/> Public Authority		
<input type="checkbox"/> Limited Liability Company (LLC)	<input type="checkbox"/> Public Limited Company (PLC)		
<input type="checkbox"/> Limited Liability Corporation (LLC)	<input type="checkbox"/> Sole Ownership/Proprietorship		
<input type="checkbox"/> Limited Liability Limited Partnership (LLLP)	<input type="checkbox"/> State and Local Public Funds		
<input type="checkbox"/> Limited Liability Partnership (LLP)	<input type="checkbox"/> Sub S Corporation		
<input type="checkbox"/> Limited Partnership (LP)	<input type="checkbox"/> Trust		
<input type="checkbox"/> Municipalities	<input type="checkbox"/> Unincorporated Association		
<input type="checkbox"/> Non-profit Association	<input type="checkbox"/> US Government Funds		
<input type="checkbox"/> Other (Describe):			

**C. EXEMPTIONS:**

Review the list of entity exemption types below and CHECK the BOX next to **ALL** that apply.

<input type="checkbox"/>	1. Sole Proprietorship
<input type="checkbox"/>	2. Unincorporated Associations (such as scout troops or youth sport leagues)
(If you only selected item numbered 1 and/or 2, <b>SKIP</b> to and complete section " <b>F</b> " below)	
<input type="checkbox"/>	3. Regulated Domestic Financial Institutions, including their holding companies
<input type="checkbox"/>	4. US & US state government entities
<input type="checkbox"/>	5. US publicly traded companies and subsidiaries (51% owned or greater) thereof
<input type="checkbox"/>	6. Securities and Exchange Commission (SEC) Registered Issuers of Securities
<input type="checkbox"/>	7. Exchanges and clearing agencies
<input type="checkbox"/>	8. Securities and Exchange Commission (SEC) Registered investment companies
<input type="checkbox"/>	9. Securities and Exchange Commission (SEC) Registered investment advisers
<input type="checkbox"/>	10. Commodity Futures Trading Commission (CFTC) registered entities
<input type="checkbox"/>	11. Registered public accounting firms
<input type="checkbox"/>	12. Trusts (non-statutory)
<input type="checkbox"/>	13. Estates
<input type="checkbox"/>	14. US State registered insurance companies
<input type="checkbox"/>	15. Entity registered with the Securities and Exchange Commission (SEC)
<input type="checkbox"/>	16. Financial Market Utilities
<input type="checkbox"/>	17. Non-US government agency engaged in US government activities only (non-commercial), e.g. Federal Reserve Board
<input type="checkbox"/>	18. Pooled investment vehicle operated or advised by a regulated domestic financial institution
<input type="checkbox"/>	19. Any legal entity whose sole relationship with SunTrust is to finance insurance premiums and for which payments are remitted directly by SunTrust to the insurance provider or broker, without possibility of cash refund
<input type="checkbox"/>	20. Any legal entity whose sole relationship with SunTrust is to finance the purchase or leasing of equipment and for which payments are remitted directly by the financial institution to the vendor or lessor of this equipment, without possibility of cash refund.
(If you only selected one or more of items numbered 3-20, <b>SKIP</b> to and complete section " <b>F</b> " below)	
<input type="checkbox"/>	21. Pooled investment vehicle NOT operated or advised by a regulated domestic financial institution
<input type="checkbox"/>	22. Charities and Non-Governmental Organizations (NGOs)
(If you only selected item numbered 21 and/or 22, <b>SKIP</b> to and complete sections " <b>E</b> " and " <b>F</b> " below)	
<input type="checkbox"/>	23. NONE OF THE ABOVE ITEMS APPLY
(If you only selected item number 23, you <b>MUST</b> complete sections " <b>D</b> ", " <b>E</b> ", and " <b>F</b> " below)	

**D. BENEFICIAL OWNERS:**

The following information is required for each beneficial owner (as defined on page 1).

- \* For U.S. Persons: Provide Social Security Number (SSN); For NON-U.S. Persons: Provide Social Security Number if available
- \*\* For U.S. Persons: Driver's License or other government-issued Identification Documentation. For NON-U.S. Persons: Passport Number and Country of Issuance, or other similar identification number. In lieu of a passport number, NON-U.S. persons may also provide 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 here if **NO** individual meets this Section D Beneficial Owners Definition/criteria.

**I. Beneficial owner 1 information:**

Full Name			
Date of Birth		Social Security Number*	
Physical Address			
Identification**	Primary ID Type		Primary ID Number
	Issued By (State/Country/Province)		
+Indicates form OPTIONAL information. ID photocopy still required.	ID Issue Date+		ID Expiration Date+
% of Ownership			

**II. Beneficial owner 2 information:**

Full Name			
Date of Birth		Social Security Number*	
Physical Address			
Identification**	Primary ID Type		Primary ID Number
	Issued By (State/Country/Province)		
+Indicates form OPTIONAL information. ID photocopy still required.	ID Issue Date+		ID Expiration Date+
% of Ownership			

**III. Beneficial owner 3 information:**

Full Name			
Date of Birth		Social Security Number*	
Physical Address			
Identification**	Primary ID Type		Primary ID Number
	Issued By (State/Country/Province)		
+Indicates form OPTIONAL information. ID photocopy still required.	ID Issue Date+		ID Expiration Date+
% of Ownership			

**IV. Beneficial owner 4 information:**

Full Name			
Date of Birth		Social Security Number*	
Physical Address			
Identification**	Primary ID Type		Primary ID Number
	Issued By (State/Country/Province)		
+Indicates form OPTIONAL information. ID photocopy still required.	ID Issue Date+		ID Expiration Date+
% of Ownership			

**V. Beneficial owner 5 information:**

Full Name			
Date of Birth		Social Security Number*	
Physical Address			
Identification**	Primary ID Type		Primary ID Number
	Issued By (State/Country/Province)		
+Indicates form OPTIONAL information. ID photocopy still required.	ID Issue Date+		ID Expiration Date+
% of Ownership			

**VI. Beneficial owner 6 information:**

Full Name			
Date of Birth		Social Security Number*	
Physical Address			
Identification**	Primary ID Type		Primary ID Number
	Issued By (State/Country/Province)		
+Indicates form OPTIONAL information. ID photocopy still required.	ID Issue Date+		ID Expiration Date+
% of Ownership			

**VII. Beneficial owner 7 information:**

Full Name			
Date of Birth		Social Security Number*	
Physical Address			
Identification**	Primary ID Type		Primary ID Number
	Issued By (State/Country/Province)		
+Indicates form OPTIONAL information. ID photocopy still required.	ID Issue Date+		ID Expiration Date+
% of Ownership			

**VIII. Beneficial owner 8 information:**

Full Name			
Date of Birth		Social Security Number*	
Physical Address			
Identification**	Primary ID Type		Primary ID Number
	Issued By (State/Country/Province)		
+Indicates form OPTIONAL information. ID photocopy still required.	ID Issue Date+		ID Expiration Date+
% of Ownership			

**IX. Beneficial owner 9 information:**

Full Name			
Date of Birth		Social Security Number*	
Physical Address			
Identification**	Primary ID Type		Primary ID Number
	Issued By (State/Country/Province)		
+Indicates form OPTIONAL information. ID photocopy still required.	ID Issue Date+		ID Expiration Date+
% of Ownership			

**X. Beneficial owner 10 information:**

Full Name			
Date of Birth		Social Security Number*	
Physical Address			
Identification**	Primary ID Type		Primary ID Number
	Issued By (State/Country/Province)		
+Indicates form OPTIONAL information. ID photocopy still required.	ID Issue Date+		ID Expiration Date+
% of Ownership			

**E. CONTROLLING PERSON:**

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.

\* For U.S. Persons: Provide Social Security Number (SSN); For NON-U.S. Persons: Provide Tax Identification Number if available

\*\* For U.S. Persons: Driver's License or other government-issued Identification Documentation. For NON-U.S. Persons: Passport Number and Country of Issuance, or other similar identification number. In lieu of a passport number, NON-U.S. persons may also provide 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

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

Full Name			
Date of Birth		Social Security Number*	
Physical Address			
Identification**	Primary ID Type		Primary ID Number
	Issued By (State/Country/Province)		
+Indicates form OPTIONAL information. ID photocopy still required.	ID Issue Date+		ID Expiration Date+

**F. CERTIFICATION:**

I, \_\_\_\_\_ (name of person signing this form), hereby certify, to the best of my knowledge, that the information provided above is complete and correct and that I will promptly notify this institution of any changes to this information.

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

Legal entity Identifier \_\_\_\_\_ (Optional) Phone Number \_\_\_\_\_

## Instructions for completing Certification Regarding Beneficial Owner(s)

### Selecting client exemption type(s):

Choose one or more exempt client types on the list at Section C based on the descriptions provided below:

3. **Regulated Domestic Financial Institutions, including their holding companies.** A financial institution regulated by a federal functional regulator or a bank regulated by a state bank regulator.
4. **US & US state government entities.** A department or agency of the United States, or any State or of any political subdivision of a State – e.g. U.S. Department of the Treasury; State of Georgia; City of Decatur.
5. **US publicly traded companies and subsidiaries (51% owned or greater) thereof** - publicly traded companies (listed at 31 CFR 1020.315(b)(2) through (4)). U.S. publically traded companies and subsidiaries that are majority owned by these publically traded companies, e.g. Alphabet Inc. and its wholly owned subsidiary Google Inc.
6. **Securities and Exchange Commission (SEC) registered issuers of securities.** An issuer of a class of securities registered under section 12 of the Securities Exchange Act of 1934 or that is required to file reports under section 15(d) of that Act.
7. **Exchanges and clearing agencies** - as defined in section 3 of the Securities Exchange Act of 1934, that is registered under section 6 or 17A of that Act e.g. NYSE, NASDAQ.
8. **Securities and Exchange Commission (SEC) registered investment companies** - as defined in Section 3 of the Investment Company Act of 1940, that is registered with the SEC under that Act.
9. **Securities and Exchange Commission (SEC) registered investment advisers** - as defined in section 202(a)(11) of the Investment Advisers Act of 1940, that is registered with the SEC under that Act.
10. **CFTC-registered entities.** A registered entity, commodity pool operator, commodity trading advisor, retail foreign exchange dealer, swap dealer, or major swap participant, each as defined in section 1a of the Commodity Exchange Act, that is registered with the CFTC.
11. **Registered Public accounting firms registered under section 102 of the Sarbanes–Oxley Act.** e.g., Deloitte, Ernst & Young.
12. **Trusts (non-statutory).** The exclusion would generally cover non-statutory, i.e., created by contract, trusts. e.g. Irrevocable trusts, generation skipping trusts, life insurance trusts; etc.
14. **US State registered insurance companies** – e.g. State Farm; Geico; Cigna.
15. **Entity registered with the SEC** - entity registered with the SEC under the Securities and Exchange Act of 1934.
16. **Financial Market Utility** - A financial market utility designated by the Financial Stability Oversight Council under Title VIII of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010.
17. **Non-US government agency engaged in US government activities only (non-commercial),** e.g. Federal Reserve Board.
19. **Any legal entity whose sole relationship with SunTrust is to finance insurance premiums and for which payments are remitted directly by SunTrust to the insurance provider or broker, without possibility of cash refund.** Limited to clients of Premium Assignment Corporation (a SunTrust subsidiary). Those that have no other relationship with SunTrust.
20. **Any legal entity whose sole relationship with SunTrust is to finance the purchase or leasing of equipment and for which payments are remitted directly by the financial institution to the vendor or lessor of this equipment, without possibility of cash refund.** Limited to clients of SunTrust Leasing. Those that have no other relationship with SunTrust.
22. **Charities.** Charities and nonprofit entities.