

# Certification Regarding Beneficial Owners of Legal Entity Customers

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A/C: \_\_\_\_\_

*For internal use only*

## 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 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 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 or updating an 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 **beneficial owners**):

- (i) Each individual, if any, who owns, directly or indirectly, 25 percent or more of the equity interests of the legal entity customer (e.g., each natural person who owns 25 percent or more of the shares 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 that satisfy 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)).

Guggenheim Investments may also ask to see a copy of a driver's license or other identifying document for each beneficial owner listed on this form.

## 2. EXISTING ACCOUNT INFORMATION (IF APPLICABLE)

Account Registration \_\_\_\_\_

Account Number \_\_\_\_\_

## 3. CONTACT INFORMATION

**Authorized Person opening or updating the account on behalf of a legal entity must provide the following information:**

A) Name, Title, and Phone Number of Individual (Natural Person) Opening or Updating Account: \_\_\_\_\_

B) Name and Address of Legal Entity: \_\_\_\_\_

#### 4. CERTIFICATION OF BENEFICIAL OWNER(S)

Non-profit entities only need to complete section B below. Section A is not required for non-profit entities.

Please provide the following information for:

A) Each individual (natural person), 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	Residential or Business Address (No P.O. Boxes)	<i>For U.S. Persons: Social Security Number For Non-U.S. Persons: Additional Documents Required*</i>
1)			
2)			
3)			
4)			

B) An individual (natural person) 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 (A) above may also be listed in this section (B)).

Name	Date of Birth	Residential or Business Address (No P.O. Boxes)	<i>For U.S. Persons: Social Security Number For Non-U.S. Persons: Additional Documents Required*</i>
1)			

\* Non-U.S. persons must provide a copy of a passport, an alien identification card, or any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard.

#### 5. SIGNATURE

I, \_\_\_\_\_, hereby certify, to the best of my knowledge, that the information provided above is complete and correct.  
Name of Authorized Individual (Natural Person) Opening or Updating Account

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date