



Legal Entity Client - Certification of Beneficial Ownership

A. LEGAL ENTITY CUSTOMER INFORMATION	
Legal Entity Name:	EIN:
Legal Entity Physical Address: <small>Address, City, State, Zip (No P.O. Box Addresses)</small>	
<input type="checkbox"/> Check here if the legal entity customer has previously certified beneficial ownership with Sunwest Bank, and such information is up-to-date. Please proceed to Section D.	

B. LEGAL ENTITY CONTROL PERSON	
The Control Person is any one person with significant responsibility for managing the Legal Entity listed above. The Control Person should be of the following or equivalent positions with the Legal Entity: CEO, CFO, COO, Managing Member, Partner, President, VP, Controller or Treasurer.	
Person's Name	Date of Birth
Person's Home Address <small>Address, City, State, Zip (No P.O. Box Addresses)</small>	Corporate Title
City	State
Zip Code	Country
Personal Forms of Identification Type <small>(e.g., driver's license, passport, state ID card, etc.)</small>	Issued By
ID #	Issue Date
	Expiration Date

C. INDIVIDUAL OWNERSHIP OF 25% OR MORE	
Please provide 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.	
<ul style="list-style-type: none"> Do not list business entities or trusts as beneficial owners. Do not list beneficial owners with less than 25% equity ownership. 	
<input type="checkbox"/> Check here if no individual person directly or indirectly owns 25% or more and skip to Section D.	

Person's Name	Date of Birth	SSN/ITIN*
Person's Home Address <small>Address, City, State, Zip (No P.O. Box Addresses)</small>	% of Ownership	
City	State	Country
Personal Forms of Identification Type <small>(e.g., driver's license, passport, state ID card, etc.)</small>	Issued By	
ID #	Issue Date	Expiration Date

Person's Name	Date of Birth	SSN/ITIN*
Person's Home Address <small>Address, City, State, Zip (No P.O. Box Addresses)</small>	% of Ownership	
City	State	Country
Personal Forms of Identification Type <small>(e.g., driver's license, passport, state ID card, etc.)</small>	Issued By	
ID #	Issue Date	Expiration Date

Person's Name	Date of Birth	SSN/ITIN*
Person's Home Address <small>Address, City, State, Zip (No P.O. Box Addresses)</small>	% of Ownership	
City	State	Country
Personal Forms of Identification Type <small>(e.g., driver's license, passport, state ID card, etc.)</small>	Issued By	
ID #	Issue Date	Expiration Date

Person's Name	Date of Birth	SSN/ITIN*
Person's Home Address <small>Address, City, State, Zip (No P.O. Box Addresses)</small>	% of Ownership	
City	State	Country
Personal Forms of Identification Type <small>(e.g., driver's license, passport, state ID card, etc.)</small>	Issued By	
ID #	Issue Date	Expiration Date

*Note: For a non-U.S. Person, a passport number may also be provided in lieu of a U.S. Tax ID Number.

D. CERTIFICATION BY THE PERSON OPENING THE ACCOUNT	
By signing this certification form, I hereby confirm, to the best of my knowledge, that the information provided above is complete and accurate. If any of the beneficial ownership information changes, this legal entity will promptly notify Sunwest Bank.	
Name, if different than the Control Person:	Title:
Signature:	Date:

BANK USE ONLY		
CIP Verified By (initials and date):	ID Verify/OFAC Verified By (initials and date):	Beneficial Ownership Verification (initials and date):

31 CFR § 1010.230 CERTIFICATION REGARDING BENEFICIAL OWNERS OF LEGAL ENTITY CUSTOMERS

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 any 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; and (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?

When you open a new account on behalf of a legal entity, Sunwest Bank will ask for information about the legal entity's **beneficial owner(s)**, including their name, address, date of birth and social security number (or passport number or other similar information, in the case of Non-U.S. persons). Sunwest 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.

Beneficial owners are:

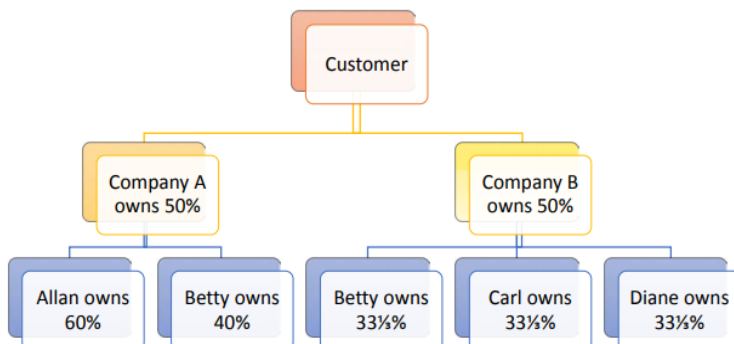
- 1) **Equity Prong:** Each individual, if any, who owns, directly or indirectly, 25 percent or more of the equity interests of the legal entity customer (e.g., each natural person that owns 25 percent or more of the shares of a corporation); **and**
- 2) **Control Prong:** An individual with significant 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 (C), 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 (C), you must provide the identifying information of one individual under section (D). 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 (D)), and up to five individuals (i.e., one individual under section (D) and four 25 percent equity holders under section (C)).

A legal entity may have multiple "beneficial owners," this form requires you to list only those that own 25% or more (up to five) under each of the two prongs of the definition above. If appropriate, the same individuals may be listed under both prongs.

When a legal entity owns 25% or more of a legal entity account holder, is it necessary to provide beneficial ownership information on the legal entity identified as an owner?

Yes. For purposes of the Rule, Sunwest Bank must obtain from its legal entity customers the identities of individuals who satisfy the definition, either directly or indirectly through multiple corporate structures.



Example:

For purposes of the Rule,

- Allan is a beneficial owner of Customer because he owns 30% of its equity interest through direct ownership of Company A.
- Betty is also a beneficial owner of Customer because she owns indirectly 20% of its equity interests through her direct ownership of Company A, plus 16% through Company B for a total of indirect ownership interest of 36%.
- Neither Carl nor Diane is a beneficial owner because each owns indirectly only 16% of Customer's equity interest through their direct ownership of Company B.