

Legal Entity Beneficial Owner(s) Certification

What is this form?

Person(s) opening an account on behalf of a legal entity (business) needs to provide specific information as required by the Bank Secrecy Act.

This regulation requires Santander to collect this information to help fight financial crime, because legal entities may be used to disguise involvement in money laundering, terrorist financing, tax evasion, fraud, and other financial crimes.

What information is required?

This form collects three key pieces of information:

1. Information on any legal entity (business) that owns this business.
2. The people who have ownership of the legal entity (business).
3. One individual who has significant responsibility for managing the legal entity (business).

If you feel your business is exempt from providing this information, such as a company listed on the New York or NASDAQ stock exchange, please ask to review the exemption certification form.

Name and Address of Business

Name _____ Tax Identification Number _____

Physical Address _____

City _____ State _____ ZIP _____ Country _____

Is your business owned or part of another legal entity?

The following information must be provided for each business entity or trust that, directly or indirectly, through any contract, arrangement, understanding, relationship, or otherwise owns an equity interest of the legal entity listed above.

☐ No other legal entity (business) own an equity interest.

Name	Country of Formation	Percentage of Ownership

Legal Entity Beneficial Owner(s) Certification

Who are the individuals who have an equity ownership?

The following information must be provided for **each** individual (if any) who, directly or indirectly, through any contract, arrangement, understanding, relationship, or otherwise, owns an equity interest of the legal business entity listed above:

☐ No individuals meet the above definition. For example, no single person has a high enough % of ownership in the company.

Name:	Date of Birth:
Physical Address:	
Percentage of Ownership:	
<input type="checkbox"/> For US Persons – Social Security Number:	
<input type="checkbox"/> For Non-US Persons – Passport Number and country of issuance or alien identification card number:	
– Country of Citizenship:	

Name:	Date of Birth:
Physical Address:	
Percentage of Ownership:	
<input type="checkbox"/> For US Persons – Social Security Number:	
<input type="checkbox"/> For Non-US Persons – Passport Number and country of issuance or alien identification card number:	
– Country of Citizenship:	

Name:	Date of Birth:
Physical Address:	
Percentage of Ownership:	
<input type="checkbox"/> For US Persons – Social Security Number:	
<input type="checkbox"/> For Non-US Persons – Passport Number and country of issuance or alien identification card number:	
– Country of Citizenship:	

Name:	Date of Birth:
Physical Address:	
Percentage of Ownership:	
<input type="checkbox"/> For US Persons – Social Security Number:	
<input type="checkbox"/> For Non-US Persons – Passport Number and country of issuance or alien identification card number:	
– Country of Citizenship:	

Name:	Date of Birth:
Physical Address:	
Percentage of Ownership:	
<input type="checkbox"/> For US Persons – Social Security Number:	
<input type="checkbox"/> For Non-US Persons – Passport Number and country of issuance or alien identification card number:	
– Country of Citizenship:	

Legal Entity Beneficial Owner(s) Certification

Who manages the legal business entity?

The following information must be provided for **one** individual with significant responsibility for the legal business entity for which the account is opened.

A person with significant responsibility includes an executive or senior manager such as the chief executive officer, chief financial officer, chief operating officer, managing member, general partner, president, treasurer, or any other individual who regularly performs similar functions.

Please list the information below, even if this person is also an owner captured above.

Name:	Date of Birth:
Title:	
Physical Address:	
<input type="checkbox"/> For US Persons – Social Security Number:	
<input type="checkbox"/> For Non-US Persons – Passport Number and country of issuance or alien identification card number:	
– Country of Citizenship:	

Applicant's Signature

I hereby certify that I am an authorized signer of the business listed above and the information provided above is complete and accurate.

Signature

Date

Printed Name

For internal use:

Customer Number