

Provide the percentage of ownership for 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).

Name of Legal Entity Customer

Name of Natural Person who owns 25 percent or more

Name of Natural Person who owns 25 percent or more

Name of Natural Person who owns 25 percent or more

Name of Natural Person who owns 25 percent or more

Date

Percentage owned

Percentage owned

Percentage owned

Percentage owned

If a legal entity is identified as owning 25 percent or more of a legal entity customer that is opening an account, you must provide the beneficial ownership information on the legal entity identified as the owner. Complete a second page if needed. See example below.

For purposes of the Rule, Allan is a beneficial owner of Customer because he owns indirectly 30 percent of its equity interests through his direct ownership of Company A. Betty is also beneficial owner of Customer because she owns indirectly 20 percent of its equity interests through her direct ownership of Company A plus 16⅔ percent through Company B for a total of indirect ownership interest of 36⅔ percent. Neither Carl nor Diane is a beneficial owner because each owns indirectly only 16⅔ percent of Customer's equity interests through their direct ownership of Company B.

