



CERTIFICATION OF BENEFICIAL OWNERSHIP

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 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; 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 foreign/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 that owns 25 percent or more of the shares of the company); **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 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)).

Boston Private may also ask to see a copy of a driver’s license or other identifying document for each beneficial owner listed on this form. **For all foreign/Non-U.S. Persons, Boston Private requires a scanned, color copy of the identification.**

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Persons opening an account on behalf of a legal entity must provide the following information:

1a. Name of person opening account:	1b. Title of person opening account:
2a. Name of legal entity for which the account is being opened:	2b. TIN of legal entity:
2c. Address of legal entity:	

3a. Is the above listed legal entity publicly held and traded on a U.S. exchange? Yes No

3b. Is the above listed legal entity owned 51% or more by an entity publicly traded on a U.S. exchange? Yes No

3c. If yes is checked for either 3a or 3b, please provide: Ticker symbol: _____ Exchange: _____

***** If yes is checked for either 3a or 3b, please skip items 4-7 and print name, sign, and date at the bottom *****

4. Please indicate the type of the legal entity for which the account is being opened (**check only one**):

- Corporation General Partnership Limited Liability Company Limited Liability Partnership Limited Partnership

5. Please indicate if the legal entity for which the account is being opened is any of the following (**check all that apply**):

- Bank Holding Company Government or Government Related CFTC Registered Not-for-Profit/NGO
 Financial Institution[†] Registered Public Accounting Firm SEC Registered Pooled Investment Vehicle
 State Regulated Ins. Co. Dodd-Frank Designated Financial Market Utility

6. The following information for each individual, 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:

a.	Legal Name:	Date of Birth:	Percent Owned:
	Physical Address:	Social Security Number: *	

b.	Legal Name:	Date of Birth:	Percent Owned:
	Physical Address:	Social Security Number: *	

c.	Legal Name:	Date of Birth:	Percent Owned:
	Physical Address:	Social Security Number: *	

d.	Legal Name:	Date of Birth:	Percent Owned:
	Physical Address:	Social Security Number: *	

Select this box *only if NO* individual owns 25% or more of the equity interests of the legal entity listed above, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise.

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7. 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.
 - If appropriate, an individual listed under #6 above may also be listed in this section.

Legal Name:	Date of Birth:
Physical Address:	Social Security Number: *

I, _____ (name of person opening the account), hereby certify, to the best of my knowledge, that the information provided above is complete and correct. Further, I agree to notify Boston Private if or when there are changes to beneficial ownership.

Signature: _____

Date: _____

----- FOR REAFFIRMATION USE ONLY -----

Complete this section only if directed to do so by your Account Officer.

Name and title of person opening account: _____

I, _____ (name of person opening the account), hereby certify, to the best of my knowledge, that the information provided above is complete and correct. Further, I agree to notify Boston Private if or when there are changes to beneficial ownership.

Signature: _____

Date: _____

RETURN COMPLETED FORM TO BOSTON PRIVATE

† A financial institution is an entity that is subject to regulation by a federal functional regulator: (1) The Board of Governors of the Federal Reserve System, (2) The Office of the Comptroller of the Currency, (3) The Board of Directors of the Federal Deposit Insurance Corporation, (4) The National Credit Union Administration, (5) The Securities and Exchange Commission, or (6) The Commodity Futures Trading Commission; or a state bank regulator.

* For all Non-U.S. Persons without a Social Security Number, a passport number with country of issuance should be provided, as well as a scanned, color copy of the passport. In lieu of a passport, foreign persons may provide any other government-issued document evidencing nationality or residence and bearing a photograph.