

GENERAL INSTRUCTIONS FOR BENEFICIAL OWNERS OF LEGAL ENTITY CUSTOMERS

* * For credit limit requests greater than \$50,000

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. 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**):

1. 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), to be listed in section (c) of the form; **and**
2. 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), to be listed in section (d) of the form.

Under section (c) on the form, you will list anywhere from 0 individuals (every owner has less than a 25% equity interest in the legal entity) to 4 individuals (4 people with equal 25% equity interests in the legal entity), depending on the factual circumstances. Regardless of the number of individuals identified under section (c), you must also provide the identifying information of one individual under section (d) on the form. The individual identified in section (d) can also be listed in section (c), if applicable.



Persons opening an Account on behalf of a legal entity must provide the following information:
For credit limit requests >\$50,000

a. Name and Title of Natural Person Opening Account

NAME OF PERSON OPENING _____ TITLE _____

b. Name and Address of Legal Entity for Which the Account is Being Opened:

LEGAL ENTITY NAME _____ PHYSICAL ADDRESS _____

CITY _____ ST _____ ZIP+4 _____ BUSINESS PHONE NUMBER _____

c. 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:

(If no individual meets this definition, please write "Not Applicable.")

1	OWNER NAME # 1 _____ PHYSICAL ADDRESS _____ CITY _____ ST _____ ZIP+4 _____
	OWNER # 1 DATE OF BIRTH <u> </u> / <u> </u> / <u> </u> SOCIAL SECURITY # (U.S. PERSONS) <u> </u> / <u> </u> / <u> </u> OR _____ COUNTRY _____ PASSPORT # AND COUNTRY OF ISSUANCE (NON-U.S. PERSONS) ¹
2	OWNER NAME # 2 _____ PHYSICAL ADDRESS _____ CITY _____ ST _____ ZIP+4 _____
	OWNER # 2 DATE OF BIRTH <u> </u> / <u> </u> / <u> </u> SOCIAL SECURITY # (U.S. PERSONS) <u> </u> / <u> </u> / <u> </u> OR _____ COUNTRY _____ PASSPORT # AND COUNTRY OF ISSUANCE (NON-U.S. PERSONS) ¹
3	OWNER NAME # 3 _____ PHYSICAL ADDRESS _____ CITY _____ ST _____ ZIP+4 _____
	OWNER # 3 DATE OF BIRTH <u> </u> / <u> </u> / <u> </u> SOCIAL SECURITY # (U.S. PERSONS) <u> </u> / <u> </u> / <u> </u> OR _____ COUNTRY _____ PASSPORT # AND COUNTRY OF ISSUANCE (NON-U.S. PERSONS) ¹
4	OWNER NAME # 4 _____ PHYSICAL ADDRESS _____ CITY _____ ST _____ ZIP+4 _____
	OWNER # 4 DATE OF BIRTH <u> </u> / <u> </u> / <u> </u> SOCIAL SECURITY # (U.S. PERSONS) <u> </u> / <u> </u> / <u> </u> OR _____ COUNTRY _____ PASSPORT # AND COUNTRY OF ISSUANCE (NON-U.S. PERSONS) ¹

d. 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 section "c" above may also be listed in this section "d").

NAME/TITLE _____ PHYSICAL ADDRESS _____ CITY _____ ST _____ ZIP+4 _____
DATE OF BIRTH / / SOCIAL SECURITY # (U.S.PERSONS) / / OR _____ COUNTRY _____
PASSPORT # AND COUNTRY OF ISSUANCE (NON-U.S. PERSONS)¹

I, _____ (name of natural person opening the Account), hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

Signature: _____ Date: _____

Legal Entity Identifier _____ (Optional)

¹In lieu of a passport number, Non-U.S. Persons may also provide a Social Security Number, an alien identification card number, or number and country of issuance of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard. A service of John Deere Financial, f.s.b.