

CERTIFICATION REGARDING BENEFICIAL OWNERS OF LEGAL ENTITY CUSTOMERS

I. GENERAL INSTRUCTIONS

What is this form?

MUFG Bank (MUFG) takes seriously its commitment in combating money laundering and the funding of terrorist activities. As part of this commitment and compliance with internal bank policy and regulatory requirements, MUFG requires the collection, verification, and record of information of the beneficial owners and control party of legal entity customers.

Who has to complete this form and when?

This form needs to be completed on behalf of a **legal entity** including 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 other 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.

Completion of this form is required pursuant to certain events including, but not limited to, new account openings, periodic account reviews and changes to the Beneficial Owner and Control Party information in the previously provided form.

What information do I have to provide?

This form requires you to provide the name, date of birth, address, and Social Security number (or passport number or other similar information, in the case of foreign persons) for the following individuals (i.e., the **beneficial owners**):

- (i) Under the Ownership 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**
- (ii) Under the Control Prong, a single individual (natural person) with significant responsibility to control, manage or direct a legal entity customer, including an executive officer or senior manager or any other individual who regularly performs similar functions. (e.g., a Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President or Treasurer). It is possible that in some circumstances the same individual might be identified under both sections (e.g., A controlling party may also hold a 25% equity interest).

II. EXCLUSIONS

If your legal entity is subject to any of the below exclusions, please provide the legal entity name and principal business address:

Name of Legal Entity: Enter Legal Entity Name

Principal Business Address of Legal Entity: Enter Legal Entity Business Address

A. The following entities are excluded from the definition of Legal Entity Customer that requires completion of this form. If your entity meets any of the below definitions, Section III is not required.

Please select the following exclusions, if applicable:

- A financial institution regulated by a federal functional regulator or a bank regulated by a state bank regulator;
- A person described in 31 CFR 1020.315(b)(2) through (5):
 - A department or agency of the United States, of any state, or of any political subdivision of any State;
 - Any entity established under the laws of the United States, of any state, or of any political subdivision of any state, or under an interstate compact between two or more states, that exercises governmental authority on behalf of the United States or any such state or political subdivision;
 - Any entity (other than a bank) whose common stock or analogous equity interests are listed on the New York Stock Exchange or the American Stock Exchange (currently known as the NYSE American) or have been designated as a NASDAQ National Market Security listed on the NASDAQ stock exchange (with some exceptions);
 - Any subsidiary (other than a bank) of any "listed entity" that is organized under the laws of the United States or of any state and at least 51 percent of whose common stock or analogous equity interest is owned by the listed entity, provided that a person that is a financial institution, other than a bank, is an exempt person only to the extent of its domestic operations;
- An issuer of a class of securities registered under section 12 of the Securities Exchange Act of 1934 or that is required to file reports under section 15(d) of that Act;
- An investment company, investment adviser, an exchange or clearing agency, or any other entity that is registered with the Securities and Exchange Commission;
- A registered entity, commodity pool operator, commodity trading advisor, retail foreign exchange dealer, swap dealer, or major swap participant that is registered with the CFTC;
- A public accounting firm registered under section 102 of the Sarbanes-Oxley Act;
- A bank holding company or savings and loan holding company;
- A pooled investment vehicle that is operated or advised by a financial institution that is excluded under paragraph (e)(2);
- An insurance company that is regulated by a state;
- A financial market utility designated by the Financial Stability Oversight Council;
- A foreign financial institution established in a jurisdiction where the regulator of such institution maintains beneficial ownership information regarding such institution;
- A non-U.S. governmental department, agency, or political subdivision that engages only in governmental rather than commercial activities;
- Any legal entity only to the extent that it opens a private banking account subject to 31 CFR 1010.620.

B. Legal entities meeting one of the following legal entity definitions are subject to the Control Prong of the beneficial ownership requirements. If your company meets the following legal entity definitions, proceed with completion of Section III.C and provide your Client Certification.

Please select the following exclusions, if applicable:

- A pooled investment vehicle operated or advised by a financial institution not excluded under paragraph 31 CFR 1010.230(e)(2);
- Any legal entity that is established as a nonprofit corporation or similar entity and has filed its organizational documents with the appropriate state authority as necessary.

BANK INTERNAL USE ONLY

Exemption verified by Relationship Manager: Enter Name and Employee ID.

Date: Click here to enter a date.

III. CERTIFICATION OF BENEFICIAL OWNER(S)

Persons authorized to act on behalf of legal entity must provide the following information:

A. Provide the legal entity name and principal business address.

Name of Legal Entity: Enter Legal Entity Name

Principal Business Address of Legal Entity: Enter Legal Entity Business Address

B. Provide 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 there are no owners (natural persons) which own 25% or more of the equity interest of the legal entity listed above, please check here and proceed to Section III.C:

Name and Title	Date of Birth (MM/DD /YYYY)	Address (Residential or Business Street Address)	For U.S. Citizens - Social Security Number(SSN) For Non-U.S. Citizens - SSN/ITIN, or Passport Number and Country of Issuance, or other similar identification number ¹

*This form also requires you to provide a copy of a valid driver's license, passport or other similar identifying document for each owner and/or control party listed on this form, unless previously provided. The identification documents will be reviewed for **verification purposes** only.*

C. Provide 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.

(Note: *If appropriate, an individual can be identified as both an "owner" and "control party".*

Name and Title	Date of Birth (MM/DD /YYYY)	Address (Residential or Business Street Address)	For U.S. Citizens - Social Security Number(SSN) For Non-U.S. Citizens - SSN/ITIN, or Passport Number and Country of Issuance, or other similar identification number ¹

*This form also requires you to provide a copy of a valid driver's license, passport or other similar identifying document for each owner and/or control party listed on this form, unless previously provided. The identification documents will be reviewed for **verification purposes** only.*

1 - In lieu of a passport number, non-U.S. persons may also provide an alien identification card number, or number and country of issuance, date of issuance and expiration date of any other government-issued document evidencing nationality or residence and bearing a photograph or similar safeguard. A non-U.S. citizen holding a SSN/ITIN must provide their SSN/ITIN.

CLIENT CERTIFICATION

I, Enter name of person authorized to act on behalf of the legal entity, hereby certify, to the best of my knowledge, that the information provided above is complete and correct. In the event of changes to the information in this form, I agree to promptly notify the bank and provide the updated information.

Signature: _____

Date: Click here to enter a date.

Title: Enter title.