



EFFECTIVE DATE: August 19, 2022

The Board of Governors of the Federal Reserve System has adopted final [Guidelines for Evaluating Account and Services Requests](#). The Guidelines became effective on August 19, 2022. These Guidelines are applicable to all Federal Reserve account and financial services requests and supersede the New York Fed’s Account and Financial Services Handbook for considering such requests. The adoption of the Guidelines does not relieve existing New York Fed customers of their obligations under the Handbook or under terms governing the account and services relationship with the New York Fed.

CERTIFICATION OF BENEFICIAL OWNER(S)

All persons opening an account on behalf of a legal entity or updates to existing customers must provide the following information:

| | | | |
|--|---------------|-------------------|---------------------|
| 1. Last Name and title of Natural Person Opening Account | 2. First Name | 3. Middle Initial | |
| 4. Name and type of Legal Entity for Which the Account is Being Opened | | | |
| 4a. Legal Entity Address | 4b. City | 4c. State | 4d. ZIP/Postal Code |

SECTION I

(To add additional individuals, see page 2)

Please provide the following information for an individual(s), if any, who, directly or indirectly, through any contract arrangement, understanding, relationship, or otherwise owns 10% or more of the equity interests of the legal entity listed above. **Check here if no individual meets this definition and complete Section II.**

| | | | |
|--------------|------------------------|--|---|
| 5. Last Name | 6. First Name | 7. M.I. | 8. Date of birth <small>(MM/DD/YYYY)</small> |
| 9. Address | 10. City | 11. State | 12. ZIP/Postal Code |
| 13. Country | 14. SSN (U.S. Persons) | 15. For Non-U.S. persons (SSN, Passport Number or other similar identification number) | |
| | | 15a. Country of issuance: | |

Note: In 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.

SECTION II

Please provide the following information for an individual with significant responsibility for managing or directing the entity, including, 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.

| | | | | |
|---------------|------------------------|--|-----------|--|
| 16. Last Name | | 17. First Name | 18. M.I. | 19. Date of birth <small>(MM/DD/YYYY)</small> |
| 20. Address | | 21. City | 22. State | 23. ZIP/Postal Code |
| 24. Country | 25. SSN (U.S. Persons) | 26. For Non-U.S. persons (SSN, Passport Number or other similar identification number) | | |
| | | 26a. Country of issuance: | | |

Note: In 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.

I, _____ hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

Signature: _____ Date: _____
(MM/DD/YYYY)

Legal Entity Identifier (Optional) _____



Additional Section 1 - Second Beneficial Owner (If required)

Please provide the following information for an individual(s), if any, who, directly or indirectly, through any contract arrangement, understanding, relationship, or otherwise owns 10% or more of the equity interests of the legal entity listed above.

| | | | | |
|--------------|------------------------|--|-----------|---|
| 5. Last Name | | 6. First Name | 7. M.I. | 8. Date of birth <small>(MM/DD/YYYY)</small> |
| 9. Address | | 10. City | 11. State | 12. ZIP/Postal Code |
| 13. Country | 14. SSN (U.S. Persons) | 15. For Non-U.S. persons (SSN, Passport Number or other similar identification number) | | |
| | | 15a. Country of issuance: | | |

Note: In 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.

Additional Section 1 - Third Beneficial Owner (If required)

Please provide the following information for an individual(s), if any, who, directly or indirectly, through any contract arrangement, understanding, relationship, or otherwise owns 10% or more of the equity interests of the legal entity listed above.

| | | | | |
|--------------|------------------------|--|-----------|---|
| 5. Last Name | | 6. First Name | 7. M.I. | 8. Date of birth <small>(MM/DD/YYYY)</small> |
| 9. Address | | 10. City | 11. State | 12. ZIP/Postal Code |
| 13. Country | 14. SSN (U.S. Persons) | 15. For Non-U.S. persons (SSN, Passport Number or other similar identification number) | | |
| | | 15a. Country of issuance: | | |

Note: In 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.

Additional Section 1 - Fourth Beneficial Owner (If required)

Please provide the following information for an individual(s), if any, who, directly or indirectly, through any contract arrangement, understanding, relationship, or otherwise owns 10% or more of the equity interests of the legal entity listed above.

| | | | | |
|--------------|------------------------|--|-----------|---|
| 5. Last Name | | 6. First Name | 7. M.I. | 8. Date of birth <small>(MM/DD/YYYY)</small> |
| 9. Address | | 10. City | 11. State | 12. ZIP/Postal Code |
| 13. Country | 14. SSN (U.S. Persons) | 15. For Non-U.S. persons (SSN, Passport Number or other similar identification number) | | |
| | | 15a. Country of issuance: | | |

Note: In 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.



Additional Section 1 - Fifth Beneficial Owner (If required)

Please provide the following information for an individual(s), if any, who, directly or indirectly, through any contract arrangement, understanding, relationship, or otherwise owns 10% or more of the equity interests of the legal entity listed above.

| | | | | |
|--------------|------------------------|--|-----------|---|
| 5. Last Name | | 6. First Name | 7. M.I. | 8. Date of birth <small>(MM/DD/YYYY)</small> |
| 9. Address | | 10. City | 11. State | 12. ZIP/Postal Code |
| 13. Country | 14. SSN (U.S. Persons) | 15. For Non-U.S. persons (SSN, Passport Number or other similar identification number) | | |
| | | 15a. Country of issuance: | | |

Note: In 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.

Additional Section 1 - Sixth Beneficial Owner (If required)

Please provide the following information for an individual(s), if any, who, directly or indirectly, through any contract arrangement, understanding, relationship, or otherwise owns 10% or more of the equity interests of the legal entity listed above.

| | | | | |
|--------------|------------------------|--|-----------|---|
| 5. Last Name | | 6. First Name | 7. M.I. | 8. Date of birth <small>(MM/DD/YYYY)</small> |
| 9. Address | | 10. City | 11. State | 12. ZIP/Postal Code |
| 13. Country | 14. SSN (U.S. Persons) | 15. For Non-U.S. persons (SSN, Passport Number or other similar identification number) | | |
| | | 15a. Country of issuance: | | |

Note: In 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.

Additional Section 1 - Seventh Beneficial Owner (If required)

Please provide the following information for an individual(s), if any, who, directly or indirectly, through any contract arrangement, understanding, relationship, or otherwise owns 10% or more of the equity interests of the legal entity listed above.

| | | | | |
|--------------|------------------------|--|-----------|---|
| 5. Last Name | | 6. First Name | 7. M.I. | 8. Date of birth <small>(MM/DD/YYYY)</small> |
| 9. Address | | 10. City | 11. State | 12. ZIP/Postal Code |
| 13. Country | 14. SSN (U.S. Persons) | 15. For Non-U.S. persons (SSN, Passport Number or other similar identification number) | | |
| | | 15a. Country of issuance: | | |

Note: In 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.