

# Control Person/Beneficial Ownership Verification Form

Use this form to provide the requested information for all “Beneficial Owners” and “Control Persons” associated with a legal entity opening a brokerage account.

## Definitions

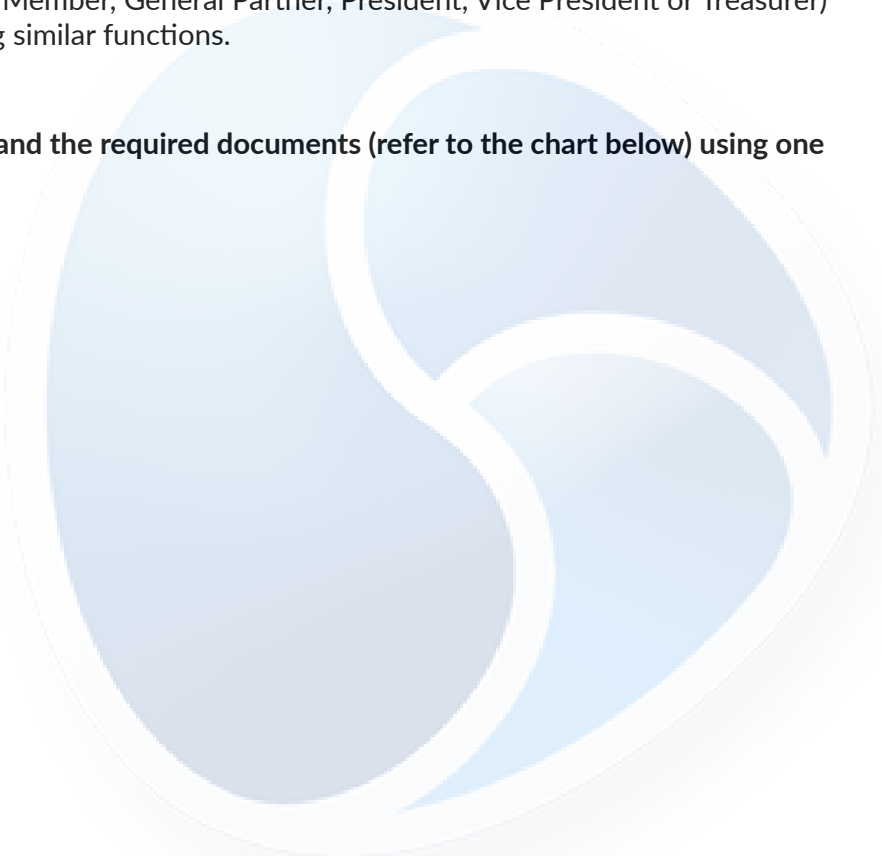
- **Legal Entity** – a corporate entity including a corporation, partnership, general partnership, limited partnership, limited liability company, or other entity created by a filing with a secretary of state or similar office such as an irrevocable trust, excluding publicly-held companies that have securities listed on a U.S. stock exchange, entities registered with the SEC, and regulated entities such as broker-dealers and SEC-registered investment advisers.
- **Beneficial Owner** – an individual who directly or indirectly in any contract, arrangement, understanding, relationship or otherwise, owns 25% or more of the equity interests of a legal entity customer (e.g., each natural person who owns 25% or more of the shares of a corporation).
- **Control Person** – an individual who has significant responsibility to control, manage, or direct a legal entity customer, including, an executive officer or senior manager (e.g., a Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President or Treasurer) or any other individual regularly performing similar functions.

**Please return the completed and signed form and the required documents (refer to the chart below) using one of the following methods:**

**Email:** [support@folioinvesting.com](mailto:support@folioinvesting.com)

**Mail:** Folio Investing  
8180 Greensboro Drive, 8th Floor  
McLean, VA 22102  
Attn: New Accounts Team

**Fax:** 703-649-6288



IF YOU HAVE OPENED A...	REQUIRED DOCUMENTS
<b>Corporation (C-Corp, S-Corp) Account</b>	One of the following documents is required: <ul style="list-style-type: none"> <li>• Filed Certificate of Incorporation</li> <li>• Most recent tax return; OR</li> <li>• Annual report filed with the appropriate state reporting agency (e.g. State Corporation Commission, Division of Corporations, etc.).</li> </ul>
<b>Limited Liability Company (Type "S", "C" or Partnership) Account</b>	Both of the following documents are required: <ul style="list-style-type: none"> <li>• Filed Articles of Organization</li> <li>• Signed LLC agreement</li> </ul>
<b>Limited Partnership Account / General Partnership Account / Limited Liability Partnership Account</b>	One of the following documents is required: <ul style="list-style-type: none"> <li>• Signed partnership agreement</li> <li>• Fictitious name registration</li> </ul>

**ENTER INFORMATION ABOUT THE LEGAL ENTITY (PLEASE PRINT)**

Name of the Legal Entity	Account Number
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**CONTROL PERSON INFORMATION (PLEASE PRINT)**

Please provide the following information for each individual associated with the legal entity that meets the definition of "Control Person." At least one Control Person is required. If an individual is both a Control Person and a Beneficial Owner, please enter that individual's information in both the Control Person and Beneficial Owner sections.

To help the government fight money laundering and the funding of terrorism, federal law requires we obtain and verify the following information. The Legal Entity account will be restricted (and may be closed) if we cannot obtain and verify this information. We will not be responsible for any losses or damages (including, but not limited to, lost opportunities) that may result if the Legal Entity account is restricted or closed as a result of your failure to provide the requested information or our inability to verify the identity of any Legal Entity Control Person.

CONTROL PERSON			
Mr. Mrs. Ms.	Name (first, middle initial, last)		Title
Date of Birth (mm/dd/yyyy)		Residence Status U.S. Citizen      Resident Alien      Neither U.S. Citizen Nor Resident Alien	
U.S. Federal ID	SSN	TIN	Country of Citizenship
Physical Address			
City		State (U.S. only)	U.S. Postal/Zip Code

CONTROL PERSON			
Mr. Mrs. Ms.	Name (first, middle initial, last)		Title
Date of Birth (mm/dd/yyyy)		Residence Status U.S. Citizen      Resident Alien      Neither U.S. Citizen Nor Resident Alien	
U.S. Federal ID	SSN	TIN	Country of Citizenship
Physical Address			
City		State (U.S. only)	U.S. Postal/Zip Code

**BENEFICIAL OWNER (PLEASE PRINT)**

Please provide the following information for each individual associated with the Legal Entity that meets the definition of "Beneficial Owner." If an individual is both a Control Person and a Beneficial Owner, please enter that individual's information in both the Control Person and Beneficial Owner sections. Please use as many copies of this page as necessary.

To help the government fight money laundering and the funding of terrorism, federal law requires we obtain and verify the following information. The Legal Entity account will be restricted (and may be closed) if we cannot obtain and verify this information. We will not be responsible for any losses or damages (including, but not limited to, lost opportunities) that may result if the Legal Entity account is restricted or closed as a result of your failure to provide the requested information or our inability to verify the identity of any Legal Entity Beneficial Owner.

BENEFICIAL OWNER			
Mr.	Mrs.	Name (first, middle initial, last)	
Ms.			
Date of Birth (mm/dd/yyyy)		Country of Citizenship	
		U.S. Citizen	Resident Alien      Neither U.S. Citizen Nor Resident Alien
U.S. Federal ID	SSN	TIN	Percentage of Ownership
Physical Address			
City		State (U.S. only)	U.S. Postal/Zip Code

BENEFICIAL OWNER			
Mr.	Mrs.	Name (first, middle initial, last)	
Ms.			
Date of Birth (mm/dd/yyyy)		Country of Citizenship	
		U.S. Citizen	Resident Alien      Neither U.S. Citizen Nor Resident Alien
U.S. Federal ID	SSN	TIN	Percentage of Ownership
Physical Address			
City		State (U.S. only)	U.S. Postal/Zip Code

**CERTIFICATION AND SIGNATURE****By signing below, you certify that:**

- All information or documentation provided by you is true, complete, and accurate to the best of your knowledge.
- You have disclosed to each Control Person and each Beneficial Owner that you are providing to us the information above as well as the identified documents in conjunction with opening a brokerage account for the Legal Entity and that we will use the information consistent with our Privacy Policy, which can be found on our website under [Privacy & Security](#), including to verify their identity.
- You are authorized to provide this information on behalf of the Legal Entity, each Control Person and each Beneficial Owner.

PRINTED NAME OF AUTHORIZED PERSON	
TITLE OF AUTHORIZED PERSON	USERNAME OF AUTHORIZED PERSON
OWNER / AUTHORIZED INDIVIDUAL SIGNATURE	Date (mm/dd/yyyy)
X	/ /