



**PRIVATE  
CLIENT  
SERVICES™**  
MEMBER FINRA, SIPC  
A Registered Investment Advisor

# CERTIFICATION OF BENEFICIAL OWNERS

**This form must be completed and submitted with the PCS Customer Account Form and/or PCS Broker Dealer Change Form for all new accounts opened on behalf of a legal entity. (FinCEN CDD Rule 5/11/2018)**

☐ Directly Held Business (at the product Provider)      OR      ☐ Brokerage Business (Pershing Brokerage or advisory account)

Account Type:    ☐ Corporation                      ☐ Limited Liability Company                      ☐ Non-Profit Organization                      ☐ Other

## 1. ACCOUNT INFORMATION

Account Registration:	SSN #/ TIN:	Account # (If known):
Account Legal Address:		
Name of natural person opening the account:	Title:	

## 2. BENEFICIAL OWNERS

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"):

Name	Date of Birth	Address (Residential or Business)	Social Security # / Passport # & Country

## 3. SIGNIFICANT RESPONSIBILITY

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 (2) above may also be listed in this section (3)).

Name	Date of Birth	Address (Residential or Business)	Social Security # / Passport # & Country

## 4. ACCOUNT SIGNATURES

**By signing below, I hereby certify, to the best of my knowledge, that the information provided above is complete and correct.**

Responsible Party Name:	Responsible Party Signature:	Date: