

SECTION I. GENERAL INSTRUCTIONS

What is this form?

The FinCEN CDD Rule requires covered financial institutions to identify and verify the identity of the natural persons (known as beneficial owners) of legal entity customers who own, control, and profit from companies when those companies open accounts. With respect to the requirement to obtain beneficial ownership information, financial institutions will have to identify and verify the identity of any individual who owns 25 percent or more of a legal entity, and an individual who controls the legal entity. Note: Generally, if this entity is publicly traded on NYSE, American or NASDAQ, this form is not required.

Federal regulation requires StoneX Financial Inc. 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 must complete this form?

This form must be completed by the person opening a new account on behalf of a legal entity with any of the following U.S. financial institutions (i) a bank or credit union; (ii) a broker dealer in securities; (iii) a mutual fund; (iv) a futures commission merchant; or (v) an introducing broker in commodities. StoneX Financial Inc. may also periodically request completion of the Attestation Form by existing customers as part of its regulatory obligation to conduct ongoing customer due diligence. 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?

For U.S. Persons: This form requires you to provide the name, address, date of birth, and Social Security Number for each applicable person. Additionally, US persons may also be required to provide a copy of a current Government issued ID bearing a photograph (generally a driver's license or US passport).

For Non-US Persons: This form requires you to provide the name, address, date of birth, Passport number or equivalent ID number such as National Identification Number (i.e. Cedula) for each applicable person. Additionally, Non-US persons are also required to provide a copy of a current Government issued ID bearing a photograph (generally a passport).

Applicable persons are as follows:

1. Each individual, if any, who owns, directly or indirectly 25% or more of the equity interest of the legal entity customer (e.g., each natural person that owns 25% or more of the shares of a corporation); 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).

The number of individuals that satisfy this definition of "beneficial owner" may vary. Under **Section V – Beneficial Ownership Information**, depending on the factual circumstances, up to four individuals (but as few as zero) may need to be identified. Regardless of the number individuals identified under **Section V**, you must provide the identifying information of at least one individual under **Section VI – Controlling Party Information**. It is possible that in some circumstances the same individual might be identified under both sections (e.g. the President of XYZ, Inc. who also holds 35% equity interest). Thus, a completed form will contain the identifying information of at least one individual (under **Section VI**), and up to five individuals (i.e., at least one individual under Section VI and four 25% equity holders under **Section V**).

StoneX Financial Inc. will request to see a copy of a driver's license or other identifying document for each beneficial owner listed on this form. Additionally, for complex ownership structures please provide a copy of an organization chart.

SECTION II. CUSTOMER INFORMATION

Customer Information	Name of Natural Person Providing Account Information		Title (In relation to Legal Entity)	
	Registered Name of the Legal Entity and Type of Entity (LLC, Inc., etc.)		Entity Taxpayer Identification Number	
	Physical Address (No P.O. Boxes)			
	City	State / Province	ZIP / Postal Code	Country

SECTION III. ENTITY OWNERSHIP STRUCTURE

Is the entity legally affiliated with another entity through ownership, partnership, or other association? Yes No

In instances where the legal entity is owned or associated with another legal entity please provide details below:

ENTITY NAME	ADDRESS	RELATIONSHIP AND CONTROL PERCENTAGE (if applicable)

SECTION IV. EXCLUSIONS

Does the Legal Entity meet either of the following designations?

- Charity, NFP, NGO** – The legal entity is established as a nonprofit corporation or similar entity (including a charitable, nonprofit, not-for-profit, nonstock, public benefit, or similar corporation) and has filed its organizational documents with the appropriate State authority as necessary.
- Pooled Investment** – The legal entity is a pooled investment vehicle whose investors are all U.S. individuals or entities owned by U.S. Individuals.

All Legal Entities must complete Sections V and VI.

SECTION V. BENEFICIAL EQUITY OWNERSHIP INFORMATION

- No owners ≥ 25%**. – Please check here if there are NO beneficial owners meeting the percentage equity interest threshold of 25%. **Proceed to Section VI – Controlling Party.**

If the legal entity listed above is owned by another legal entity (indirect beneficial ownership), such as a holding company it is required that you "look through" until one or more individuals who own 25% of the legal entity listed above through direct ownership is identified (see **Section III – Entity Ownership Structure**).

Note regarding Legal Entity Customers ultimately owned by trusts: If a trust owns directly or indirectly through any contract, arrangement, understanding, relationship, or otherwise 25% or more of the equity interest of a legal entity customer, the beneficial owner under the ownership/equity prong is the trustee, regardless of whether the trustee is a natural person or legal entity. At least one trustee, either individual or entity, should be listed in a Beneficial Owner box below.

Beneficial Owner #1

Name		Date of Birth	SSN / TIN
Occupation		Percent Ownership Interest	
Residential Address (No P.O. Boxes)			
City	State / Province	ZIP / Postal Code	Country
Identification Type		Identification Number	
Country of Issuance	Issue Date	Expiration Date	

A COPY OF PHOTO IDENTIFICATION FOR ALL PERSONS IS REQUIRED TO BE PRESENTED

Beneficial Owner #2

Name		Date of Birth	SSN / TIN
Occupation		Percent Ownership Interest	
Residential Address (No P.O. Boxes)			
City	State / Province	ZIP / Postal Code	Country
Identification Type		Identification Number	
Country of Issuance	Issue Date	Expiration Date	

A COPY OF PHOTO IDENTIFICATION FOR ALL PERSONS IS REQUIRED TO BE PRESENTED

SECTION V. BENEFICIAL EQUITY OWNERSHIP INFORMATION *Continued*

Beneficial Owner #3

Name		Date of Birth	SSN / TIN
Occupation		Percent Ownership Interest	
Residential Address (No P.O. Boxes)			
City	State / Province	ZIP / Postal Code	Country
Identification Type		Identification Number	
Country of Issuance	Issue Date	Expiration Date	

A COPY OF PHOTO IDENTIFICATION FOR ALL PERSONS IS REQUIRED TO BE PRESENTED

Beneficial Owner #4

Name		Date of Birth	SSN / TIN
Occupation		Percent Ownership Interest	
Residential Address (No P.O. Boxes)			
City	State / Province	ZIP / Postal Code	Country
Identification Type		Identification Number	
Country of Issuance	Issue Date	Expiration Date	

A COPY OF PHOTO IDENTIFICATION FOR ALL PERSONS IS REQUIRED TO BE PRESENTED

SECTION VI. CONTROLLING PARTY INFORMATION

The following information must be provided for at least one individual with significant responsibility for managing the legal entity identified in **Section III – Customer Information**, such as:

- An executive officer or senior manager (e.g. Chief Executive Officer, Chief Financial Officer, Chief Operating Office, Managing Member, General Partner, President, Vice President, Treasurer); or
- Any other individual who regularly performs similar functions

If appropriate, an individual listed in **Section V – Beneficial Ownership Information** above may also be listed in the section below.

CONTROLLING PARTY

Name		Date of Birth	SSN / TIN
Occupation			
Residential Address (No P.O. Boxes)			
City	State / Province	ZIP / Postal Code	Country
Identification Type		Identification Number	
Country of Issuance	Issue Date	Expiration Date	

A COPY OF PHOTO IDENTIFICATION FOR ALL PERSONS IS REQUIRED TO BE PRESENTED

SECTION VII. ATTESTATION

Name of Person Certifying Information	Title
<p>I, _____, hereby certify, to the best of my knowledge, that the information provided above is complete and correct. Should this ownership change I will notify StoneX Financial Inc. in a timely fashion. I understand that failure to fully and accurately complete ownership documentation may result in account termination.</p>	
Signature: _____	Date: _____