

Beneficial ownership & controller certification form

For legal entity customers investing in a U.S. BlackRock mutual fund

General instructions

What is this form?

To help the government fight financial crime, federal regulation requires certain financial institutions to obtain, verify and record information about the beneficial owners of legal entity customers. The lack of transparency of the ownership control of legal entities can lead to 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 ensure the transparency of the financial system.



Who has to complete this form?

This form must be completed by a person opening an account with a BlackRock mutual fund in the United States, on behalf of a legal entity.

For purposes of this form, a **legal entity** includes a corporation, limited liability company, or other entity that is created by the 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?

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

-  Each individual, if any, who owns, directly or indirectly, 25% or more of the equity interests of the legal entity customer (i.e., each natural person who owns 25% or more of the shares of a corporation); **and**
-  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 who satisfy this definition of “beneficial owner” may vary. Under section (i), depending on the factual circumstances, up to four individuals (but as few as zero) may need to be identified. Regardless of the number of individuals identified under section (i), you must provide the identifying information of one individual under section (ii).

It is possible that in some circumstances the same individual might be identified under both sections (e.g., the President of the company who also holds a 30% equity interest). Thus, a completed form will contain the identifying information of at least one individual (under section (ii)), and up to five individuals (i.e., one individual under section (ii) and four 25% equity holders under section (i)).

BlackRock may also ask to see a copy of a driver’s license or other identifying document for each beneficial owner listed on this form.

Exemptions

At the end of this form you will find a list of exemptions for this rule that may apply to the legal entity. Before completing this form, please review this list and check the appropriate box(es) of any exemption condition(s) that may apply.

Certification of beneficial owner(s)

Persons opening an account on behalf of a legal entity must provide the following information:

A. Full name and title of the natural person opening the account

B. Name, type and address of legal entity for which the account is being opened:

Full name of legal entity

Type (corporation, LLC, etc.)

Street #

Street name

City

State

ZIP code

C. The following information for **each** individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns 25% or more of the equity interests of the legal entity listed above:

Name	Date of birth (mm/dd/yy)	Address (residential or business street)	For U.S. persons: Social Security number	For non-U.S. persons: Social Security number, passport number & country of issuance, or other similar identification number ¹

(If no individual meets this definition, please write "Not Applicable")

D. 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., a Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, or Treasurer), **or**
- Any other individual who regularly performs similar functions. (If appropriate, an individual listed under section (c) above may be able to be listed in this section (d)).

Name	Date of birth (mm/dd/yy)	Address (residential or business street)	For U.S. persons: Social Security number	For non-U.S. persons: Social Security number, passport number & country of issuance, or other similar identification number ¹

I, _____ (*name of natural person opening the account*), 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 (if applicable)

Beneficial ownership for legal entity – Exemptions

If a legal entity for which the account is being opened is exempt from the FinCEN requirements, please place a check next to the FinCEN exemption condition(s) that apply to the entity.

Full name of legal entity

Type (corporation, LLC, etc.)

- | | |
|---|---|
| <ul style="list-style-type: none"><input type="checkbox"/> ERISA PLANS (U.S.) only<input type="checkbox"/> Government pension plans (state or federal)<input type="checkbox"/> Non-U.S. government pension plan<input type="checkbox"/> Trust (other than a statutory) (U.S./non-U.S.)<input type="checkbox"/> Pooled investment vehicles: a pooled investment vehicle that is operated or advised by a financial institution excluded from the definition of legal entity customer or a pooled investment vehicle including private funds, operated or advised by a U.S. bank (including a CTF)<input type="checkbox"/> Financial institutions regulated by a federal functional regulator or a bank regulated by a state bank regulator<input type="checkbox"/> U.S. central bank (Federal Reserve Bank)<input type="checkbox"/> Non-U.S. central bank<input type="checkbox"/> U.S. government entities: departments or agencies of the U.S., or any state, or of any political subdivision of a state<input type="checkbox"/> A Securities & Exchange Commission (SEC)-registered investment advisor, as defined in Section 202(a)(11) of the Investment Advisors Act of 1940<input type="checkbox"/> Any investment company, as defined in Section 3 of the Investment Company Act of 1940, registered with the SEC under that Act<input type="checkbox"/> A bank holding company, as defined in Section 2 of the Bank Holding Company Act of 1956 (12 U.S.C. 1841) or savings and loan holding company, as defined in Section 10(n) of the Home Owners' Loan Act (12 U.S.C. 1467a(n))<input type="checkbox"/> Any entity (other than a bank) whose common stock or analogous equity interests are listed on the New York, American, or NASDAQ stock exchanges<input type="checkbox"/> A U.S. insurance company regulated by a state | <ul style="list-style-type: none"><input type="checkbox"/> Any entity organized under the laws of the U.S. or of any state at least 51% of whose common stock or analogous equity interests are held by an entity listed on the New York, American, or NASDAQ stock exchanges<input type="checkbox"/> Entities registered with the SEC under the Securities and Exchange Act of 1934<input type="checkbox"/> A non-U.S. governmental department, agency or political subdivision that engages only in governmental rather than commercial activities<input type="checkbox"/> Registered exchanges/electronic market: issuers of securities registered under Section 12 of the Securities Exchange Act of 1934 or issuers required to file reports under 15(d) of that Act<input type="checkbox"/> An exchange or clearing agency, as defined in Section 3 of the Securities and Exchange Act of 1934, registered under Section 6 or 17A of that Act<input type="checkbox"/> A registered entity, commodity pool operator, commodity trading adviser, retail foreign exchange dealer, swap dealer or major swap participant, as defined in Section 1a of the Commodity Exchange Act, registered with the Commodity Futures Trading Commission<input type="checkbox"/> A public accounting firm registered under Section 102 of the Sarbanes-Oxley Act<input type="checkbox"/> A financial market utility designated by the Financial Stability Oversight Council under Title VIII of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010<input type="checkbox"/> A state-owned enterprise that only engages in activities that involve the direct exercise of legislative, executive or judicial authority and do not involve taking profits from the endeavor |
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Want to know more?

blackrock.com/cash

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 of any other government-issued document(s) evidencing nationality or residence and bearing a photograph or similar safeguard.

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