

Certification regarding beneficial owners of legal entity customers



GENERAL INSTRUCTIONS

Use this form to add or update information related to the beneficial owner(s) of an existing legal entity (corporation, partnership, limited liability company, or non-profit foundation)

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. 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 helps law enforcement investigate and prosecute these crimes.

Who has to 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 or dealer in securities; (iii) a mutual fund; (iv) a futures commission merchant; or (v) an introducing broker in commodities.

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?

This form requires you to provide the name, address, date of birth and Social Security number (or passport number or other similar information, in the case of foreign persons) for the following individuals:

- (i) Each individual ("Beneficial Owner"), if any, who owns, directly or indirectly, 25 percent or more of the equity interests of the legal entity customer (e.g., each natural person that owns 25 percent or more of the shares of a corporation); and
- (ii) An individual with significant responsibility (a "Control Person") 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 (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 Acme, Inc. who also holds a 30 percent 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 percent equity holders under section (i)). The financial institution may also ask to see a copy of a driver's license or other identifying document for each beneficial owner listed on this form.

Important: You must provide all information for each Beneficial Owner listed in Section 3 and a Control Person listed in Section 4 in order for the form to be accepted. You must list all Beneficial Owners who currently own, directly or indirectly, 25% or more of the legal entity, and the current Control Person, even if you are only adding or updating information for one or more such persons.

Certification of beneficial owners



Return by mail:
Putnam Investments
PO Box 219697
Kansas City, MO 64121-9697

Return by express delivery:
Putnam Investments
801 Pennsylvania Ave
Suite 219697
Kansas City, MO 64105-1307

For more information:
Putnam Investments
1-800-225-1581
www.putnam.com



Section 1 Name and title of natural person completing this form

The person signing this form must provide the following information.

Name of natural person acting on the account

First MI Last Suffix Title of natural person acting on the account

Section 2 Name and address of legal entity

Name of legal entity Tax identification number

Business address (cannot be a P.O. Box or c/o address)

Street City State ZIP code

Section 3 Control Person

Provide 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 in Section 4 may also be listed in this section).

Name of control person

First MI Last Suffix Social Security number Date of birth (mm/dd/yyyy)

Residential or business address (street, city, state, ZIP code) Passport country of issuance

Contact phone number E-mail address

Note: You must provide a phone number and e-mail address if you wish to access the account on-line.

Section 4 Beneficial Owner information

Provide 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.

- For all U.S. persons: The full name, Social Security number, date of birth, and residential address are required.
- For all foreign persons: The full name, passport number, country of passport issuance, date of birth, and residential address are required. In lieu of a passport number, foreign persons may also provide 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. A copy of the passport, alien identification card, or other government-issued identification document must be enclosed with this form.

Important: If no individual meets this definition you must check “Not applicable” below and proceed to Section 5.

Not applicable (no individual owns, directly or indirectly, 25 percent or more of the equity interests of the legal entity)

First	MI	Last	Suffix	Social Security number	Date of birth (mm/dd/yyyy)
Residential or business address (street, city, state, ZIP code)					Passport country of issuance

First	MI	Last	Suffix	Social Security number	Date of birth (mm/dd/yyyy)
Residential or business address (street, city, state, ZIP code)					Passport country of issuance

First	MI	Last	Suffix	Social Security number	Date of birth (mm/dd/yyyy)
Residential or business address (street, city, state, ZIP code)					Passport country of issuance

First	MI	Last	Suffix	Social Security number	Date of birth (mm/dd/yyyy)
Residential or business address (street, city, state, ZIP code)					Passport country of issuance

Section 5 Certification

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

Signature of natural person acting on the account (required)	Current date (mm/dd/yyyy)
<div></div>	
Print name of signer	

Legal Entity Identifier: (optional)

Important: You must provide either an original or certified copy of one of the following documents appropriate to the legal entity in Section 2 to verify your capacity to act on behalf of the entity (see certification requirements below):

- Certificate of incumbency for the authorized signer
- Corporate Resolution
- Resolution of governing body
- Other

Certification may be obtained via a Medallion guarantee stamp or by an attorney or the attorney’s letterhead, by the clerk of the court if filed in court, or the appropriate state agency if filed with that agency, **dated within 120 days of receipt.**