

Beneficial Ownership Information Report

Home

Reporting Company

Company Applicant(s)

Beneficial Owner(s)



Beneficial Ownership Information Report

OMB No. 1506-0076

Version Number: 1.0

Release Date: 01-01-2024

Report Preparation & Submission Instructions:

Instructions

1. Complete the report in its entirety with all required information. Click **Instructions** for help.

Validate

2. Click **Validate** to ensure all entered data is properly formatted and that all required fields are completed.

Finalize

3. Click **Finalize** to lock the entries in the report and prepare it for submission. Click **Edit Report** to unlock and re-edit.

Save

4. Click **Save** to retain a local copy of the report (this can be done at any time during report preparation).

Print

5. (Optional) Click **Print** to print a hard copy of your completed report.

Ready To File

6. Select **Ready to File** (activated after the report is finalized and saved locally) to begin the submission process.

Filing Information

1. \* Type of filing:

- a. Initial report ☐
- b. Correct prior report ☐
- c. Update prior report ☐
- d. Newly exempt entity ☐

Reporting Company information associated with most recent report, if any:

- e. Legal name
- f. Tax Identification type
- g. Tax Identification number
- h. Country/Jurisdiction (if foreign tax ID

2. Date prepared (auto-filled when form is finalized)

PRIVACY ACT AND PAPERWORK REDUCTION ACT NOTICE

This notice is given under the Privacy Act of 1974 (Privacy Act) and the Paperwork Reduction Act of 1995 (Paperwork Reduction Act). The Privacy Act and Paperwork Reduction Act require that FinCEN inform persons of the following when requesting and collecting information in connection with this collection of information. This collection of information is authorized under 31 U.S.C. 5336 and 31 C.F.R. 1010.380. The principal purpose of this collection of information is to generate a database of information that is highly useful in facilitating national security, intelligence, and law enforcement activities, as well as compliance with anti-money laundering, countering the financing of terrorism, and customer due diligence requirements under applicable law. Pursuant to 31 U.S.C. 5336 and 31 C.F.R. 1010.380, reporting companies and certain other persons must provide specified information. The provision of that information is mandatory and failure to provide that information may result in criminal and civil penalties. The provision of information for the purpose of requesting a FinCEN Identifier is voluntary; however, failure to provide such information may result in the denial of such a request. Generally, the information within this collection of information may be shared as a "routine use" with other government agencies and financial institutions that meet certain criteria under applicable law. The complete list of routine uses of the information is set forth in the relevant Privacy Act system of record notice available at <https://www.federalregister.gov/documents/2023/09/13/2023-19814/privacy-act-of-1974-system-of-records>. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1506-0076. It expires on November 30, 2026. The estimated average burden associated with this collection of information from reporting companies is 90 to 650 minutes per respondent for reporting companies with simple or complex beneficial ownership structures, respectively. The estimated average burden associated with reporting companies updating information previously provided is 40 to 170 minutes per respondent for reporting companies with simple or complex beneficial ownership structures, respectively. The estimated average burden associated with this collection of information from individuals applying for FinCEN identifiers is 20 minutes per applicant. The estimated average burden associated with individuals who have obtained FinCEN identifiers updating information previously provided is 10 minutes per individual. Comments regarding the accuracy of this burden estimate, and suggestions for reducing the burden should be directed to the Financial Crimes Enforcement Network, P. O. Box 39, Vienna, VA 22183, Attn: Policy Division.

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## Part I. Reporting Company Information

3. Request to receive FinCEN Identifier (FinCEN ID) ☐

4. Foreign pooled investment vehicle ☐

### Full legal name and alternate name(s):

5. \* Reporting Company legal name

6. Alternate name (e.g. trade name, DBA)  + -

### Form of identification:

7. \* Tax Identification type

8. \* Tax Identification number

9. Country/Jurisdiction *(if foreign tax ID only)*

### Jurisdiction of formation or first registration:

10. \* a. Country/Jurisdiction of formation

#### Domestic Reporting Company:

b. State of formation

c. Tribal jurisdiction of formation

d. Name of the other Tribe

#### Foreign Reporting Company:

e. State of first registration

f. Tribal jurisdiction of first registration

g. Name of the other Tribe

### Current U.S. Address:

11. \* Address (number, street, and apt. or suite no.)

12. \* City

13. \* U.S. or U.S. Territory

14. \* State

15. \* ZIP Code

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16. Existing Reporting Company☐ (check if Reporting Company was created or registered before January 1, 2024)
17. (This item is reserved for future use)

Part II. Company Applicant Information

of

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Company Applicant FinCEN ID:

18. FinCEN ID

Full legal name and date of birth:

19. \* Individual's last name
20. \* First name
21. Middle name
22. Suffix
23. \* Date of birth

Current address:

24. \* Address type☐ a. Business address☐ b. Residential address
25. \* Address (number, street, and apt. or suite no.)
26. \* City
27. \* Country/Jurisdiction
28. \* State
29. \* ZIP/Foreign postal code

Form of identification and issuing jurisdiction:

30. \* Identifying document type
31. \* Identifying document number
32. \* Identifying document issuing jurisdiction:

a. Country/Jurisdiction

b. State

c. Local/Tribal

d. Other local/Tribal description
33. \* Identifying document image

Add Attachment

Remove Attachment

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34. (This item is reserved for future use)

## Part III. Beneficial Owner Information

of

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35. Parent/Guardian information instead of minor child ☐ (check if the Beneficial Owner is a minor child and the parent/guardian information is provided instead)

### Beneficial Owner FinCEN ID:

36. FinCEN ID

### Exempt entity:

37. Exempt entity

☐

### Full legal name and date of birth:

38. \* Individual's last name or entity's legal name.

39. \* First name

40. Middle name

41. Suffix

42. \* Date of birth

### Residential address:

43. \* Address (number, street, and apt. or suite no.)

44. \* City

45. \* Country/Jurisdiction

46. \* State

47. \* ZIP/Foreign postal code

### Form of identification and issuing jurisdiction:

48. \* Identifying document type

49. \* Identifying document number

50. \* Identifying document issuing jurisdiction:

a. Country/Jurisdiction

b. State

c. Local/Tribal

d. Other local/Tribal description

51. \* Identifying document image

Add Attachment

Remove Attachment