



**STERLING**  
CAPITAL FUNDS

## **Retail Account Application**

### **IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT**

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Shares of the Fund have not been registered for sale outside the U.S. The fund generally does not sell shares to investors residing outside the U.S., even if they are U.S. citizens or lawful permanent residents, except to investors with U.S. military APO (Army Post Office) or FPO (Fleet Post Office) addresses.

To help the government fight the funding of terrorism and money laundering activities, Federal law requires mutual funds to obtain, verify and record information that identifies each person who opens an account.

What this means:

When you open an **individual** account, we will ask your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents. Your account may be restricted and/or closed if we cannot verify this information. We will not be responsible for any losses or damages (including but not limited to lost opportunities and adverse tax consequences) resulting from any failure to provide this information, or from any restriction placed upon, or closing of, your account. By opening an account, you signify you agree to these procedures and accept responsibility for any losses or damages resulting from their implementation.

If you are opening an account for a **"Legal Entity"** such as 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 entity formed under the laws of foreign jurisdiction, information about the beneficial owners and the individual with significant responsibility for managing the Legal Entity is required **BEFORE** the account can be opened. You must also complete the **Legal Entity Addendum** found at the end of this application.

If you are opening an account on behalf of a trust, estate, limited partnership, or other organizations, additional identifying documentation is also required.

**Return completed form to:**  
 Sterling Capital Funds  
 P.O. Box 9762  
 Providence, RI 02940-9762

**Overnight shipping:**  
 Sterling Capital Funds  
 4400 Computer Drive  
 Westborough, MA 01581-1722  
**For assistance, call (800) 228-1872**



**STERLING**  
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## Retail Account Application

### 1. Account Registration *Do not use this form for a retirement account. Contact (800) 228-1872 to obtain the appropriate forms.*

#### A. Type of Registration (check one)

- Individual**
- Joint Tenants** Are the account holders married to each other?  Yes  No  
 Tenancy State: \_\_\_\_\_ Number of Tenants: \_\_\_\_\_  
 Tenancy Clause:  
 Joint Tenants with Rights of Survivorship  Community Property  
 Tenants in Common  Tenants by Entirety
- Custodian for Minor**  
 Uniform Gift to Minors Account (UGMA)  Uniform Transfer to Minors Account (UTMA)
- Trust\***  **Limited Partnership\***  **Estate\***
- Legal Entity \* & \*\*** (Also complete the **Legal Entity Addendum**)  
 S-Corporation  C-Corporation  LLC  General Partnership  Other Legal Entity (Specify) \_\_\_\_\_
- Financial Institution regulated by a federal functional regulator, or a bank regulated by a state regulator\***  
 Bank\*  Investment Company (1940 Act)\*  Investment Adviser (1940 Act)\*  
 Entity registered/reporting under the 1934 Act\*  Pooled Investment Vehicle managed by one of the foregoing\*

\*Attach a copy of the appropriate bylaws, charter, corporate resolutions, list of authorized persons, trust documents, or short certificate establishing authority to open this account. In addition, provide a copy of the IRS Issuance Letter for the Employer Identification or Tax Identification Number. If any such agreements or resolutions are not in existence, please contact Sterling Capital Funds at (800) 228-1872 for further assistance.

\*\* Legal entity means 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 entity formed under the laws of a foreign jurisdiction that opens an account. Mutual Funds are required to identify beneficial owners, and the individual with significant responsibility for managing the Legal Entity **BEFORE** opening an account.

#### B. Account Name

**Individual** (Legal Name: First/Middle/Last)

**Joint Owner--if any** (Legal Name: First/Middle/Last)

**Name of Custodian** (only one) as custodian for

**Name of Minor** (only one)

Minor's State of Residence

**Name of Trust / Corporation / Partnership / LLC / Other Entity**

**Name of Trustee / Authorized Signer**

M M D D Y Y Y Y Date of Birth	Social Security Number
Date of Birth	Social Security Number
Custodian's Date of Birth	Custodian's Social Security Number
Minor's Date of Birth	Minor's Social Security Number
Date of Trust	Tax ID Number
Date of Birth	Social Security Number
Date of Birth	Social Security Number
Date of Birth	Social Security Number
Date of Birth	Social Security Number

### C. Other Account Information

Primary Street Address (Business/Residential, Number & Street) Apt/Suite \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Mailing Address (if different from above) \_\_\_\_\_

Daytime Telephone Number \_\_\_\_\_ Evening Telephone Number \_\_\_\_\_ Email Address \_\_\_\_\_

(Please provide the street address for joint tenants, trustees or authorized signers if different from the primary street address listed above.)

#### Trustee's/Authorized Signers

Street Address \_\_\_\_\_ Apt/Suite \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Mailing Address (if different from above) \_\_\_\_\_

Daytime Telephone Number \_\_\_\_\_ Evening Telephone Number \_\_\_\_\_ Email Address \_\_\_\_\_

#### Trustee's/Authorized Signers

Street Address \_\_\_\_\_ Apt/Suite \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Mailing Address (if different from above) \_\_\_\_\_

Daytime Telephone Number \_\_\_\_\_ Evening Telephone Number \_\_\_\_\_ Email Address \_\_\_\_\_

#### Trustee's/Authorized Signers

Street Address \_\_\_\_\_ Apt/Suite \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Mailing Address (if different from above) \_\_\_\_\_

Daytime Telephone Number \_\_\_\_\_ Evening Telephone Number \_\_\_\_\_ Email Address \_\_\_\_\_

#### Trustee's/Authorized Signers

Street Address \_\_\_\_\_ Apt/Suite \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Mailing Address (if different from above) \_\_\_\_\_

Daytime Telephone Number \_\_\_\_\_ Evening Telephone Number \_\_\_\_\_ Email Address \_\_\_\_\_

### Citizenship

U.S. Citizen

Non-Resident Alien (Attach IRS Form W-8,  
Dividends are subject to tax withholding.)

Resident Alien

Note: For non-resident aliens, in addition to submitting an IRS Form W-8, the following is required: a taxpayer identification number, passport number and country of issuance, 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 and a copy of the document. Please indicate form of identification:

Alien ID Card

Passport

Other (Specify) \_\_\_\_\_

Are you or an immediate family member affiliated with or working for a member firm or a stock exchange of FINRA (Financial Industry Regulatory Authority)?  No  Yes Name of Institution \_\_\_\_\_

**Political Official or Government Entity**

Are you a state or municipal political official or government entity?  No  Yes

If yes, will any Sterling Capital Fund be an investment option for a participant-directed plan or program of a government entity?  No  Yes

If yes, please identify the type of plan or program:

- 529 College savings plan
- 403(b) Retirement plan
- 457 Retirement plan
- Other (Specify) \_\_\_\_\_

**2. Fund Selection**

If you wish to invest in more than one Fund, be sure to indicate the amount you wish to invest. Please make check payable to the Sterling Capital Funds. Refer to the prospectus for acceptable forms of payment and minimum initial investment amounts. If no share class is selected, you will automatically be invested in the Class A Shares. You may invest only in a Fund for which you have a current prospectus.

	Select a Share Class		Amount			
	A	C				
Behavioral International Equity Fund (25, 225).....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Behavioral Large Cap Value Equity Fund (010, 210) .....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Mid Value Fund (012, 212).....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Behavioral Small Cap Value Equity Fund (015, 215).....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Special Opportunities Fund (021, 221).....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Equity Income Fund (022, 222) .....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Stratton Mid Cap Value Fund (026, 226)	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Stratton Real Estate Fund (027, 227)	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Stratton Small Cap Value Fund (028, 228)	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
SMID Opportunities Fund (064, 264)	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Short Duration Bond Fund (040, 240) .....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Intermediate U.S. Government Fund (041, 241) .....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Total Return Bond Fund (042, 242) .....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Corporate Fund (080, 280) .....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Quality Income Fund (081, 281) .....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Ultra Short Bond Fund (039) .....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
North Carolina Intermediate Tax-Free Fund (045, 245).....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
South Carolina Intermediate Tax-Free Fund (046, 246).....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Virginia Intermediate Tax-Free Fund (047, 247).....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
West Virginia Intermediate Tax-Free Fund (048, 248).....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
Sterling Capital Deposit Account* (055, 255) .....	<input type="checkbox"/>	<input type="checkbox"/>	\$ _____	or _____		%
	<b>Total</b>		<b>\$ _____</b>	<b>or _____</b>		<b>100%</b>

\* Please note that you will be able to access your money in the Sterling Capital Deposit Account at Truist Bank only through Sterling Capital Funds. Sterling Capital Management will act as your agent for the purpose of making deposits to and withdrawals from the Sterling Capital Deposit Account at Truist Bank and will maintain the records of your account. You will not be able to access your money in the Sterling Capital Deposit Account at Truist Bank locations or obtain balance information by contacting the bank directly. Please call Sterling Capital Funds Shareholder Services at 800-228-1872 for information about your account. The Sterling Capital Deposit Account is made available through an arrangement with Truist Bank, member FDIC. FDIC deposit insurance is available for your deposits up to the FDIC standard maximum deposit insurance amount of \$250,000. Any money you hold on deposit with Truist Bank outside of your Sterling Capital Fund (SCF) account may impact the insurance coverage available as neither SCF, BNY, nor Truist Bank monitors or takes any responsibility for money you have on deposit with Truist Bank that is outside of your SCF account. As such, you should regularly monitor any such balances. The deposit option is not a registered money market fund, however, it is a deposit program regulated by the FDIC.

**3. Account Options**

**A. Rights of Accumulation** (Class A Shares only. See the prospectus for qualifications.)

A family member or I own shares of more than one Fund in Sterling Capital Funds, which may entitle me to a reduced sales charge.

The shareholder account numbers are:

Fund Name \_\_\_\_\_ Fund Name \_\_\_\_\_ Fund Name \_\_\_\_\_

Account # \_\_\_\_\_ Account # \_\_\_\_\_ Account # \_\_\_\_\_

**B. Letter of Intent** (Class A Shares only.)

I understand that through accumulated investments I can reduce my sales charges as outlined in the prospectus. I understand that I may include my accumulated holdings (as described under Rights of Accumulation) for purposes of meeting the LOI and plan to invest over a 13-month period following the date of this application an aggregate amount of at least:  \$50,000  \$100,000  \$250,000  \$500,000  \$1,000,000

**C. Sales Charge Waivers** (See current prospectus under "Sales Charge Waivers" for qualified purchaser types.)

Qualified Purchaser Category and Explanation \_\_\_\_\_

**D. Telephone Redemption and Exchange** (If left blank, you will automatically receive telephone privileges.)

I elect the telephone privileges as described in the prospectus.  Yes  No

**E. Banking Services**

For your convenience, you may authorize Sterling Capital Funds to transfer funds between your bank account and your Sterling Capital Funds account. We will establish your banking instructions using the investment check you submitted. However, if you wish to establish banking instructions with another bank account, please provide a preprinted voided check or alternate banking instructions. Note: One or more of the name(s) in the Bank Registration must match the name(s) in the Account Registration in Section 1 of this application.

I authorize you to establish banking services.  Yes  No

Bank Name \_\_\_\_\_

ABA Routing Number \_\_\_\_\_

Account Name \_\_\_\_\_

Account Number \_\_\_\_\_



**F. Cost Basis Method Selection**

Internal Revenue Service (IRS) rules require us to report cost basis on mutual fund shares acquired after January 1, 2012. In order to provide you and the IRS with accurate cost basis accounting, you are being asked to select a cost basis method for your new account.

**If you do not elect a method, the Fund's default method, Average Cost, will be applied.**

Please select one of the following cost basis methods:

- Average Cost Single Category (ACSC)** -- Shares are depleted on a first in/first out basis with cost basis calculated by taking the shares redeemed multiplied by the average cost per share.
- First In, First Out (FIFO)** -- Oldest shares purchased are first redeemed.
- Last In, First Out (LIFO)** -- Most recent shares purchased are first redeemed.
- Highest Cost, First Out (HIFO)** -- Shares with the highest cost basis are redeemed first.

**We strongly suggest that you consult your tax adviser if you have any questions about your cost basis reporting options.**

To find out more about Cost Basis visit our website, [www.sterlingcapitalfunds.com](http://www.sterlingcapitalfunds.com) or contact our customer service representatives at (800) 228-1872.

**G. Distribution Selection** (Your dividends and capital gains will automatically be reinvested into your account unless you indicate otherwise.) (If you choose the Cash Payment Option and do not specify, a check will be sent to your address of record.)

Distribution Options: Reinvest Cash Directed Cash Payment Method

Dividends:    Account # \_\_\_\_\_  ACH (Bank of record)  Check (Sent to address of record)

Capital Gains:    Account # \_\_\_\_\_

**H. Checkwriting** Please be sure to fill out a signature card. (Checkwriting is only available for the Deposit Account.)

Yes. I want to be able to write checks from my Sterling Capital Deposit Account (minimum check redemption amount of \$100).

**I. Automatic Investment Plan**

Beginning \_\_\_\_\_, I would like to have the amounts indicated below withdrawn from my bank account and invested on the following day(s)\*\* \_\_\_\_\_ and \_\_\_\_\_ as follows (Minimum \$25 per transaction.):

Fund \_\_\_\_\_ Fund \_\_\_\_\_
Amount \$ \_\_\_\_\_ Amount \$ \_\_\_\_\_
 Bi-Monthly  Bi-Monthly
 Monthly  Monthly
 Quarterly  Quarterly
 Semi-Annually  Semi-Annually
 Annually  Annually

\*\*If you do not indicate a frequency, we will invest assets monthly. If you do not specify a day of the month, we will schedule your bank withdrawal on the 15th.

**J. Automatic Withdrawal Plan** This is available to shareholders with an account value of \$5,000 or more (minimum payment \$25). Please have the amount(s) indicated below  Deposited to my bank account.  Mailed to me by check at the address indicated in Section 1.

Beginning \_\_\_\_\_, I would like to have the amounts withdrawn from my Sterling Capital Funds account on the following day(s)\*\* \_\_\_\_\_ and \_\_\_\_\_ as follows:

Fund \_\_\_\_\_ Fund \_\_\_\_\_
Amount \$ \_\_\_\_\_ Amount \$ \_\_\_\_\_
 Bi-Monthly  Bi-Monthly
 Monthly  Monthly
 Quarterly  Quarterly
 Semi-Annually  Semi-Annually
 Annually  Annually

\*\*If you do not indicate a frequency, we will withdraw assets monthly. If you do not specify a day of the month, we will schedule your bank withdrawal on the 15th.

**K. Systematic Exchange Program** (A and C Shares only) You may use the Fund's Systematic Exchange feature to purchase shares at regular intervals by exchanging shares for one Sterling Capital Fund for shares of the same class of another Sterling Capital Fund. Keep a minimum of \$10,000 in your Sterling Capital Funds account and \$1,000 in the Fund whose shares you are buying.

Beginning \_\_\_\_\_, I would like to have the amounts indicated below withdrawn from my Sterling Capital Fund and invested into the selected fund(s) below on the following day(s)\*\* \_\_\_\_\_ and \_\_\_\_\_ as follows:

From: Fund Name \_\_\_\_\_ Acct. Number (or New) \_\_\_\_\_ Amount \$ \_\_\_\_\_
To: Fund Name \_\_\_\_\_ Acct. Number (or New) \_\_\_\_\_ Amount \$ \_\_\_\_\_
 Bi-Monthly
 Monthly
 Quarterly
 Semi-Annually
 Annually

\*\*If you do not indicate a frequency, we will exchange assets monthly. If you do not specify a day of the month, we will schedule your exchange on the 15th.

**L. Duplicate Statements & Confirmations** (If indicated, duplicate statements and confirmations will be sent to the address below.) Please send duplicate  statements and/or  confirmations to:

Name \_\_\_\_\_ Company \_\_\_\_\_

Address

City

State

Zip

## 4 Signatures

I have received and read the current prospectus(es) and privacy notice for the Fund(s) selected, and this Account Registration Form, and agree to be bound by the following terms:

■ I authorize Sterling Capital Funds, the Transfer Agent, affiliates thereof, and the directors and employees of such entities to act on any instructions or inquiries reasonably believed to be genuine and agree that they will not be liable for a resulting loss or expense from such instructions or inquiries. I appoint Sterling Capital Management as agent for the purpose of making deposits to and withdrawals from the Sterling Capital Deposit Account at Truist Bank.

■ Upon any telephone order, which may be taped recorded for share purchases or redemptions received from me or any person so representing him or herself, the Transfer Agent is authorized, without the giving of any notice regardless of the amount of any preceding transaction, to debit or credit my account at my bank indicated in Section 3E. (There are limitations as to amount and frequency of transactions permissible through the Wire Redemption Privilege. In order to determine current limitations, please call 1-800-228-1872.) Further, I certify that by authorizing the Transfer Agent to debit or credit my bank account pursuant to my instructions or those of any person so representing him or her, that I am waiving any and all rights to have my bank account recredited in the event of an unauthorized debit entry. Further, I certify that I understand that this service may be terminated at any time without notice, and that the Transfer Agent is not obligated to advise me of the nonpayment of any debit or credit. Further, I certify that I understand that I may terminate this authorization at any time by written notification to the Transfer Agent, and that any such notification will be effective only as to entries initiated later than three business days following receipt of such notification.

■ I understand that Sterling Capital Funds are not insured or guaranteed by the FDIC (with exception of Sterling Capital Deposit Account) or any other governmental agency, are not deposits or obligations of Truist Bank, its affiliates, or any bank, and are not guaranteed by Truist Bank, its affiliates, or any bank, and involve investment risk, including possible loss of principal.

■ I understand that all of the terms I agree to in this application apply to any fund into which I may exchange.

■ Required by Federal tax law to avoid backup

withholding: Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen (including a U.S. resident Alien).
4. The FATCA code(s) entered on this form (if any – see below) indicating that I am exempt from Foreign Account Tax Compliance Act ("FATCA") reporting is correct. If you are exempt from FATCA reporting, please refer to [www.irs.gov](http://www.irs.gov) and enter the appropriate FATCA Exemption Code(s) found on IRS Form W9 and enter them here\_\_\_\_\_.

**What is FATCA reporting?** The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. **Please note: FATCA does not apply to accounts held within the United States. You may leave this field blank.**

**Certification instructions: You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.**

The Internal Revenue Service (IRS) does not require your consent to any provision of this document other than certifications required to avoid backup withholding.



# Legal Entity<sup>1</sup> Addendum

## Must be fully completed and signed or Account will NOT be opened

Mutual Funds are required to identify beneficial owners, and control persons of Legal Entity Customers **BEFORE** opening an account.

<sup>1</sup>“Legal Entity” means “a corporation, a 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 entity formed under the laws of a foreign jurisdiction that opens an account.”

*Excluded from this definition are: financial institutions regulated by a federal functional regulator, or banks regulated by a state bank regulator; issuers of a class of securities registered under section 12 of the Securities Exchange Act of 1934 (the “1934 Act”) or that are required to file reports under section 15(d) of that Act; any other entities registered with the SEC under the 1934 Act; investment companies registered under the Investment Company Act of 1940; investment advisers registered under the Investment Advisers Act of 1940; and pooled investment vehicles that are operated or advised by excluded legal entity customers.*

“Beneficial owner” means:

1. Each individual (natural person), if any, who, directly or indirectly, owns 25% or more of the equity interests of a legal entity customer; and
2. A single individual with significant responsibility to control, manage, or direct a legal entity customer, including an executive officer or senior manager, or any other individual who regularly performs similar functions.

Persons opening an account on behalf of a Legal Entity must provide the following information:

### 1. Legal Name(s) and Title(s) of Natural Person(s) Opening the Account:

<i>First Name</i>	<i>Middle Initial</i>	<i>Last Name</i>	<i>Title</i>
<i>First Name</i>	<i>Middle Initial</i>	<i>Last Name</i>	<i>Title</i>
<i>First Name</i>	<i>Middle Initial</i>	<i>Last Name</i>	<i>Title</i>
<i>First Name</i>	<i>Middle Initial</i>	<i>Last Name</i>	<i>Title</i>

### 2. Name, Street Address, and Type of Legal Entity for Which the Account is Being Opened:

Name of Legal Entity	Type of Legal Entity <input type="checkbox"/> S-Corporation <input type="checkbox"/> C-Corporation <input type="checkbox"/> LLC <input type="checkbox"/> General Partnership <input type="checkbox"/> Other Legal Entity (Specify) _____		
Legal Entity Address	City	State	ZIP/Postal code

### 3. The following information for each natural person, 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 of natural person	Date of Birth	Street Address	For US persons -- Social Security Number	For non US persons -- Social Security Number, Passport Number and country of issuance, or other similar identification number*

\* 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 evidencing nationality or residence and bearing a photograph or similar safeguard.

4. 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 (c) above may also be listed in this section (d)).

Name of natural person	Date of Birth	Street Address (Residential or Business)	For US persons -- Social Security Number	For non US persons -- Social Security Number, Passport Number and country of issuance, or other similar identification number*

*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 evidencing nationality or residence and bearing a photograph or similar safeguard.*

**5. Signatures:**

I/(We), \_\_\_\_\_, \_\_\_\_\_ (name(s) of natural persons opening account), hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Legal Entity Identifier Number (if applicable) \_\_\_\_\_