



TIAA TRUST, N.A.

**CERTIFICATION REGARDING BENEFICIAL OWNERS
AND CONTROLLING PERSON OF LEGAL ENTITY CUSTOMERS**

Use this form to capture beneficial ownership and control information for TIAA Trust, N.A. ("TIAA Trust") to comply with the FinCEN Customer Due Diligence Final Rule.

The Customer Due Diligence Final Rule was put in place to provide transparency into the nature/purpose of customer relationships for the purpose of developing customer risk profiles and conducting ongoing monitoring, that incorporates beneficial ownership information, for unusual activity.

TIAA is required to identify, collect and verify the identity or personal information of individuals (also known as "beneficial owners" or "BO") who own either equity or control (or both) of an impacted legal entity client, subject to certain exclusions and exemptions.

"Ownership" is defined as an individual who has 25% or more equity, interest in the legal entity and "control" is defined as an individual with significant responsibility to manage, control, or direct a legal entity.

STEP 1: LEGAL ENTITY INFORMATION

Please print using black ink. NOTE: "For-profit" or "Nonprofit" status determines the information required per the Customer Due Diligence Final Rule.

Account Number

Full Name of Legal Entity

Address

City

State

Zip Code

Entity is for profit

OR

Entity is nonprofit

If your legal entity is listed below and is structured as a nonprofit, skip Step 3 because the rule only requires control information.

- NFP/charity/foundation
- Religious organization
- Healthcare
- Teaching hospital
- Nonprofit college, university or private K-12 institution
- Botanical garden
- Economic development organization
- Environmental organization
- Library
- Museum
- Performing arts
- Public broadcasting
- Research/scientific organization
- Social agency
- Support organization
- Trade association





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STEP 2: CONTROLLING PERSON

Fill out the following information for one individual with significant responsibility for managing the legal entity listed in Step 1, such as a) an executive officer or senior manager (such as chief executive officer, chief financial officer, chief operating officer, managing member, general partner, president, vice president, treasurer); or b) any other individual who regularly performs similar functions. Please attach articles of incorporation, Secretary's Certificates and/or other applicable entity documentation.

Name (First Name, Middle Initial, Last Name, Suffix)

<input type="checkbox"/> Use data currently on file.	Social Security Number/ Taxpayer Identification Number ¹ <input style="width: 100%; height: 20px;" type="text"/>	Date of Birth (mm/dd/yyyy) <input style="width: 20px; height: 20px;" type="text"/> / <input style="width: 20px; height: 20px;" type="text"/> / <input style="width: 40px; height: 20px;" type="text"/>
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Address

City	State	Zip Code
<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 40px; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>

Passport Number ²	Country of Issuance	Significant Responsibility
<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>

NOTE: If appropriate, an individual listed in Step 3 may also be listed in this section.

STEP 3: OWNERSHIP—EQUITY INTEREST

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 legal entity listed in Step 1. *(If no individual meets this definition, please write "Not Applicable.")*

1. Name (First Name, Middle Initial, Last Name, Suffix)	Ownership Percentage
<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 40px; height: 20px;" type="text"/> %

<input type="checkbox"/> Use data currently on file.	Social Security Number/ Taxpayer Identification Number ¹ <input style="width: 100%; height: 20px;" type="text"/>	Date of Birth (mm/dd/yyyy) <input style="width: 20px; height: 20px;" type="text"/> / <input style="width: 20px; height: 20px;" type="text"/> / <input style="width: 40px; height: 20px;" type="text"/>
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Address

City	State	Zip Code
<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 40px; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>

Passport Number ²	Issued by (State/Country/Province)
<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>





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2. Name (First Name, Middle Initial, Last Name, Suffix) Percentage
 %

Use data currently on file. Social Security Number/
Taxpayer Identification Number¹ Date of Birth (mm/dd/yyyy)
 / /

Address

City State Zip Code

Passport Number² Issued by (State/Country/Province)

3. Name (First Name, Middle Initial, Last Name, Suffix) Ownership
Percentage
 %

Use data currently on file. Social Security Number/
Taxpayer Identification Number¹ Date of Birth (mm/dd/yyyy)
 / /

Address

City State Zip Code

Passport Number² Issued by (State/Country/Province)





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4. Name (First Name, Middle Initial, Last Name, Suffix) Percentage
 %

Use data currently on file.
 Social Security Number/
Taxpayer Identification Number¹
Date of Birth (mm/dd/yyyy)

/

/

Address

City State Zip Code

Passport Number² Issued by (State/Country/Province)

¹ U.S. person: Provide Social Security Number

Foreign person: Provide Tax Identification Number if available

² Foreign person who is not a U.S. citizen: Provide passport number and country of issuance, or other similar identification number.

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

STEP 4: CERTIFICATION

I hereby certify, to the best of my knowledge, that the information provided in this form is complete and correct, as of the date of signature.

Individual's Name (First Name, Middle Initial and Last Name) Title

Your Signature Today's Date (mm/dd/yyyy)

/

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RETURN COMPLETED FORM(S) TO:

STANDARD MAIL:
 TIAA Trust
 Attn: Account Services
 211 N. Broadway, Suite 1000
 St. Louis, MO 63102-2733

