

BENEFICIAL OWNERSHIP CERTIFICATION FORM

What is this form?

To help the government fight financial crime, the Sultanate of Oman's regulation requires financial institutions to obtain, verify, and record information about the beneficial owners of legal entity customers. This requirement applies also to accounts opened by lawyers or law offices on behalf of their clients or any person acting on behalf of a customer. 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 (i.e., the beneficial owners) 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 financial institution.

If a customer is a company listed on a stock exchange, a financial institution is not required to identify and verify the identity of any shareholder or beneficial owner of the company provided that the company is subject to adequate disclosure requirements to ensure transparency of beneficial owners. **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 and place of birth, ID/Passport number, Nationality and percentage ownership for the following individuals (i.e., the **beneficial owners**):

- i. Each individual, if any, who owns, directly or indirectly, 10 percent or more of the equity interests of the legal entity customer (e.g., each natural person that owns 10 percent or more of the shares of a corporation); **and**
- ii. 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 Trustees).

The number of individuals that satisfy this definition of #beneficial owner# may vary. Under section (i), depending on the factual circumstances, up to ten 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 Chief Executive Officer of Company A 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 ten individuals (i.e., one individual under section (ii) and Ten 10 percent equity holders under section (i)). The financial institution will also ask to keep a copy of an identification card or other identifying document for each beneficial owner listed on this form.

CERTIFICATION OF BENEFICIAL OWNER(S)

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

I. Name and Title of Natural Person opening account: _____Abdul_____

II. Name, Type, and Address of Legal Entity for which the account is being opened _____sample legal entity_____

III. The following information for each individual*, if any, who directly or indirectly, through any contract, arrangement, understanding, relationship, or otherwise, owns 10% or more of the equity interests of the Legal Entity listed above:

| Name | ID / Passport Number | Address (Residential / Business) | Nationality | Date and place of Birth | % of Ownership |
|-------|----------------------|----------------------------------|-------------|-------------------------|----------------|
| Abdul | 124532 | A123544 | India | CTR | 60% |
| Abdul | 124532 | A123544 | India | CTR | 60% |
| Abdul | 124532 | A123544 | India | CTR | 60% |

* If no individual meets this definition, please enter #Not Applicable# above and **explain below** (i.e. All <10%; Charity/Non-Profit; etc.):

_____my explanation_____

IV. The following information for **one** individual with significant responsibility for managing the Legal Entity listed above:

- ☐ An executive officer, senior managers or signatories (e.g. Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, Trustees); or,
- ☒ Any other individual who regularly performs similar functions. (If appropriate, an individual listed under section (III) above may also be listed in this section (IV)).

| Name | ID / Passport Number | Address (Residential / Business) | Nationality | Date and place of Birth |
|-------|----------------------|----------------------------------|-------------|-------------------------|
| Abdul | 124532 | A123544 | India | CTR |
| Abdul | 124532 | A123544 | India | CTR |
| Abdul | 124532 | A123544 | India | CTR |

V. Attestation:

I, Abdul, (*Name of natural person opening account*), hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

Signature: nassir Date: 1/12/2020