

BSA / CDD PROFILE FORM

Bank Secrecy Act — Customer Due Diligence
FinCEN Beneficial Ownership Requirements | 31 CFR 1010.230

SECTION 1: LEGAL ENTITY INFORMATION

Legal Entity Name: Doe Industries LLC
Entity Type: Limited Liability Company (LLC)
State of Organization: Delaware
Date of Establishment: 03/15/2018
Tax Identification Number (EIN): 82-1234567
Secretary of State Number: DE-7891234
NAICS Code: 541511 - Custom Computer Programming Services

Principal Place of Business:
Street Address: 1234 Innovation Drive, Suite 500
City: Austin
State: TX
ZIP Code: 78701
Country: United States

Mailing Address (if different):
Street Address: P.O. Box 5678
City: Austin
State: TX
ZIP Code: 78701

Business Phone: (512) 555-0142
Business Email: compliance@doeindustries.com
Website: www.doeindustries.com

SECTION 2: RISK ASSESSMENT

Customer Risk Rating:

Risk Level	Selected
LOW	
MEDIUM	<input checked="" type="checkbox"/>
HIGH	

Industry Classification: Technology / Software Development

Risk Factors Assessment:

Risk Factor	Applicable
Cash-intensive business	<input type="checkbox"/>
Foreign transactions or connections	<input type="checkbox"/>
High-volume wire transfers	<input checked="" type="checkbox"/>
Politically Exposed Person (PEP)	<input type="checkbox"/>
OFAC / Sanctions list match	<input type="checkbox"/>
Prior suspicious activity reports (SAR)	<input type="checkbox"/>
Complex ownership structure	<input checked="" type="checkbox"/>

Non-profit or charity	<input type="checkbox"/>
Money Services Business (MSB)	<input type="checkbox"/>
Marijuana-related business	<input type="checkbox"/>

Business Activities Description: Custom software development, cloud infrastructure consulting, and SaaS platform licensing for enterprise clients.

SECTION 3: BENEFICIAL OWNERSHIP DECLARATION

List all individuals who own 25% or more of the legal entity, and one individual with significant management responsibility (Control Person).

Beneficial Owner 1 (Control Person)

Full Legal Name: John Michael Doe
Date of Birth: 07/22/1985
Social Security Number: 123-45-6789
Ownership Percentage: 60%
Ownership Type: Direct
Title / Role: Managing Member / CEO
Residential Address:
Street: 5678 Maple Avenue
City: Austin
State: TX
ZIP: 78702
Government-Issued ID:
ID Type: Driver's License
ID Number: DL-98765432
Issuing State/Country: Texas
Expiration Date: 11/22/2028

Beneficial Owner 2

Full Legal Name: Jane Elizabeth Doe
Date of Birth: 03/14/1988
Social Security Number: 987-65-4321
Ownership Percentage: 40%
Ownership Type: Direct
Title / Role: Chief Financial Officer
Residential Address:
Street: 5678 Maple Avenue
City: Austin
State: TX
ZIP: 78702
Government-Issued ID:
ID Type: US Passport
ID Number: P-567891234
Issuing Country: United States
Expiration Date: 06/30/2030

SECTION 4: CERTIFICATION AND SIGNATURE

I hereby certify, to the best of my knowledge, that the information provided above is complete and correct. I understand that the information provided will be used to verify the identity of the above-named legal entity and its beneficial owners in accordance with the Bank Secrecy Act and FinCEN's Customer Due Diligence Rule (31 CFR 1010.230).

I acknowledge that providing false or misleading information may constitute a federal criminal offense under 18 U.S.C. § 1001.

Authorized Representative Name: John Michael Doe

Title: Managing Member / CEO

Signature: _____ John M. Doe _____

Date Signed: 01/15/2026

Bank Officer Certification:

Certifier Name: Sarah K. Williams

Title: VP, BSA/AML Compliance Officer

Attestation Date: 01/15/2026