

PART IV

Risk Assessment

Internet gambling questions

Does your company have any games or financial activities on its website? Yes or No

Do you provide services to companies who provide internet gambling? Yes or No

MSB Questions

Does your company cash checks for other people? Yes or No

If yes, could it be greater than \$1000 per person/day? Yes or No

Does your company issue cashier's checks or money orders? Yes or No

If yes, could it be greater than \$1000 per person/day? Yes or No

Does your company exchange any minted currency (foreign or domestic)? Yes or No

If yes, could it be greater than \$1000 per person/day? Yes or No

Do you transmit currency, even virtual currency, at any dollar amount? Yes or No

Example: Processing wire transfers for your customers

Do you sell or provide prepaid cards? Yes or No

Does your business own any ATM machines? Yes or No

Is this business a marijuana-related business? Yes or No

Nonprofit Organizations

What is the purpose of your nonprofit organization? _____

Where do the donations come from? _____

- Copy of 501C paperwork required.

PART V

Documentation on Structure of the Business

The following documentary and non-documentary items are required based on the business type:

- Sole proprietorship:** Business Resolution, if doing business under a Fictitious Name a Registration of Trade or Fictitious name is required with the Secretary of State. (SKIP PART VI)
- Corporation:** Articles of Incorporation, Business Resolution, as well as, registration with Secretary of State.
- Limited Liability Company (LLC):** Articles of Organization, Business Resolution, as well as, registration with Secretary of State.
- Partnership:** Certificate of Partnership, Business Resolution, as well as, registration with Secretary of State (excluding General Partnership)
- Club/Team/Organization/Etc:** Business Resolution
- Multi-Tier Business:** Multi-Tier Business Form, Business Resolution for every business, as well as, registration with Secretary of State.

PART VI

Beneficial Ownership

Persons opening an account on behalf of a legal entity must provide the following information:

a. Name & Title of Person Opening Account:

b. Name & Type of Legal Entity for Which the Account is Being Opened:

c. The following information for each individual, if any, 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. Do not put entities.

Not Applicable- No individual meets this definition

1. Copy of ID obtained

Name

Date of Birth

Address

Social Security Number

2. Copy of ID obtained

Name

Date of Birth

Address

Social Security Number

3. Copy of ID obtained

Name

Date of Birth

Address

Social Security Number

4. Copy of ID obtained

Name

Date of Birth

Address

Social Security Number

d. 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).

1. Copy of ID obtained

Name

Date of Birth

Address

Social Security Number

I, _____ (*name of person opening account*), hereby certify, to the best of my knowledge, that the information provided herein is complete and correct. I also agree to notify _____ of any change in the information provided within this Certification.

Signature: _____ Date: _____

PART VII

Authorized Signer Info

The following information and documentation is needed for each Authorized Signer:

- Completed Customer Information Form
- Copy of Driver's License
- Proof of address if address on Driver's License is not accurate