

INSTRUCTIONS FOR BENEFICIAL OWNERS OF LEGAL ENTITY CUSTOMERS [What's This?](#)

Required completion of this form when the total credit limit being established is either:

1. All credit limit requests \$50,000 or less and you have not applied at or directly through a dealer/merchant retail location
- Or**
2. All credit limit requests greater than \$50,000



Choose the link or Scan the QR to learn more

What is this form? To help the government fight financial crime, Federal regulation requires certain financial institutions to obtain, verify, and record information about the beneficial owners of legal entity customers. 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. For the purposes of this form, a **legal entity** includes a corporation, limited liability company, or other entity that is created by a filing of a public document with a Secretary of State or similar office, a general partnership, and any similar business entity formed in the United States or a foreign country. **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 of birth and Social Security number (or passport number or other similar information, in the case of Non-U.S. Persons) for the following individuals (i.e., the **beneficial owners**):

1. Each individual, if any, who owns, directly or indirectly, 25 percent or more of the equity interests of the legal entity customer (e.g., each natural person that owns 25 percent or more of the shares of a corporation), to be listed in section (c) of the form; **and**
2. 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 Treasurer), to be listed in section (d) of the form.

Under section (c) on the form, you will list anywhere from 0 individuals (every owner has less than a 25% equity interest in the legal entity) to 4 individuals (4 people with equal 25% equity interests in the legal entity), depending on the factual circumstances. Regardless of the number of individuals identified under section (c), you must also provide the identifying information of one individual under section (d) on the form. The individual identified in section (d) can also be listed in section (c), if applicable.

Entity Type	Description	Required Sections
Limited Liability	Limited partnership, a limited liability company or any other entity created by filing a public document with a state or a general partnership, that opens an account	A, B, C, D & Signature
Corporation	Corporation – Public	B & Signature
	Corporation – Private	A, B, C, D & Signature
Non-Profit	Non-profit	A, B, D & Signature
Private Schools	Private schools	A, B, C, D & Signature
Sole Proprietor	Sole proprietorships, unincorporated associations, natural persons opening account on their behalf	Form not Required
Government Agency	Government agencies, public schools, public universities	Form not Required
Trusts or Estates	Trusts or Estates	Form not Required
Banks	Banks, bank and savings and loan holding companies, and any 51% or more owned subsidiary of a listed corporation; SEC-registered investment companies and advisers; CFTC-registered entities; state-regulated insurance companies and legal entities with qualified private banking accounts (see 31 CFR 1010.605(m)) subject to FinCEN rules	Form not Required



JOHN DEERE
FINANCIAL

Certification of Beneficial Owner(s)

Email to: jdfcreditprocessing@JohnDeere.com

Fax: 1-800-732-0251 Mail to: John Deere Financial, P.O. Box 5328, Madison, WI 53705

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

- a. Name and Title of Natural Person Opening Account: Name: _____
Title: _____

- b. Publicly Traded? ☐ Yes ☐ No Enter Stock Symbol: _____

Name and Address of Legal Entity Organization for Which the Account is Being Opened:

Org Legal Name: _____ Physical Address: _____

City: _____ ST: _____ Zip+4 _____ Business Phone: _____

- 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: (If no individual meets this definition, please write "Not Applicable.")

1	OWNER NAME # 1	PHYSICAL ADDRESS	CITY	ST	ZIP+4
	____/____/____	OR	COUNTRY		
	OWNER # 1 DATE OF BIRTH	SOCIAL SECURITY # (U.S. PERSONS) PASSPORT # AND COUNTRY OF ISSUANCE (NON-U.S. PERSONS) ¹			
2	OWNER NAME # 2	PHYSICAL ADDRESS	CITY	ST	ZIP+4
	____/____/____	OR	COUNTRY		
	OWNER # 2 DATE OF BIRTH	SOCIAL SECURITY # (U.S. PERSONS) PASSPORT # AND COUNTRY OF ISSUANCE (NON-U.S. PERSONS) ¹			
3	OWNER NAME # 3	PHYSICAL ADDRESS	CITY	ST	ZIP+4
	____/____/____	OR	COUNTRY		
	OWNER # 3 DATE OF BIRTH	SOCIAL SECURITY # (U.S. PERSONS) PASSPORT # AND COUNTRY OF ISSUANCE (NON-U.S. PERSONS) ¹			
4	OWNER NAME # 4	PHYSICAL ADDRESS	CITY	ST	ZIP+4
	____/____/____	OR	COUNTRY		
	OWNER # 4 DATE OF BIRTH	SOCIAL SECURITY # (U.S. PERSONS) PASSPORT # AND COUNTRY OF ISSUANCE (NON-U.S. PERSONS) ¹			

- 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").

NAME/TITLE	PHYSICAL ADDRESS	CITY	ST	ZIP+4
____/____/____	OR	COUNTRY		
DATE OF BIRTH	SOCIAL SECURITY # (U.S. PERSONS) PASSPORT # AND COUNTRY OF ISSUANCE (NON-U.S. PERSONS) ¹			

I, _____ (name of natural person opening the Account), hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

Signature: _____ Date: _____ Legal Entity Identifier: _____ (Optional)

¹In lieu of a passport number, Non-U.S. Persons may also provide a Social Security Number, 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. A service of John Deere Financial, f.s.b. CR0317416 (24-06)