

# BUSINESS CIP/CDD WORKSHEET

## BUSINESS OWNERSHIP TYPE

### CORPORATION

Please check with applies, C-CORP S-CORP

- SS-4 Letter/W-9 FORM
  - ARTICLES OF INCORPORATION/CERTIFICATE OF FORMATION-STATE OF
  - CERTIFICATE OF GOOD STANDING/FRANCHISE ACCOUNT STATUS
  - \*\*CERTIFICATE OF AUTHORITY-STATE OF (OUT OF STATE ENTITY TRANSACTING BUSINESS IN TEXAS)
  - \*\*ASSUMED NAME CERTIFICATE
  - \*\*IRS RULING LETTER AWARDDING TAX EXEMPTION OF NON-PROFIT STATUS
- NOTE: CERTIFICATION OF BENEFICIAL OWNERSHIP REQUIRED*

### LIMITED LIABILITY COMPANY – LLC

Please check with applies, C-CORP S-CORP PARTNERSHIP SINGLE-MEMBER

- SS-4 Letter/W-9 FORM
  - ARTICLES OF ORGANIZATION/CERTIFICATE OF FORMATION-STATE OF
  - CERTIFICATE OF GOOD STANDING/FRANCHISE ACCOUNT STATUS
  - \*\*CERTIFICATE OF AUTHORITY-STATE OF (OUT OF STATE ENTITY TRANSACTING BUSINESS IN TEXAS)
  - \*\*ASSUMED NAME CERTIFICATE
- NOTE: CERTIFICATION OF BENEFICIAL OWNERSHIP REQUIRED*

### PROFESSIONAL ASSOCIATION – PA

- SS-4 Letter/W-9 FORM
  - ARTICLES OF ASSOCIATION/CERTIFICATE OF FORMATION-STATE OF
  - CERTIFICATE OF GOOD STANDING/FRANCHISE ACCOUNT STATUS
  - \*\*CERTIFICATE OF AUTHORITY-STATE OF (OUT OF STATE ENTITY TRANSACTING BUSINESS IN TEXAS)
  - \*\*ASSUMED NAME CERTIFICATE
- NOTE: CERTIFICATION OF BENEFICIAL OWNERSHIP REQUIRED*

### UNINCORPORATED ASSOCIATION

- SS-4 Letter/W-9 FORM
  - ARTICLES OF ASSOCIATION/CERTIFICATE OF FORMATION-STATE OF
  - CERTIFICATE OF GOOD STANDING/FRANCHISE ACCOUNT STATUS
  - \*\*CERTIFICATE OF AUTHORITY-STATE OF (OUT OF STATE ENTITY TRANSACTING BUSINESS IN TEXAS)
  - \*\*ASSUMED NAME CERTIFICATE
- NOTE: CERTIFICATION OF BENEFICIAL OWNERSHIP REQUIRED (CONTROL PRONG ONLY)*

### PARTNERSHIP – GENERAL

- SS-4 Letter/W-9 FORM
  - PARTNERSHIP AGREEMENT
  - CERTIFICATE OF GOOD STANDING/FRANCHISE ACCOUNT STATUS
  - \*\*CERTIFICATE OF AUTHORITY-STATE OF (OUT OF STATE ENTITY TRANSACTING BUSINESS IN TEXAS)
  - \*\*ASSUMED NAME CERTIFICATE
- NOTE: CERTIFICATION OF BENEFICIAL OWNERSHIP REQUIRED*

### PARTNERSHIP – LTD/LP (LIMITED PARTNERSHIP)

- SS-4 Letter/W-9 FORM
  - PARTNERSHIP AGREEMENT
  - CERTIFICATE OF LIMITED PARTNERSHIP/CERTIFICATE OF FORMATION STATE OF
  - CERTIFICATE OF GOOD STANDING/FRANCHISE ACCOUNT STATUS (OUT OF STATE ENTITY TRANSACTING BUSINESS IN TEXAS)
  - \*\*CERTIFICATE OF AUTHORITY-STATE OF
  - \*\*ASSUMED NAME CERTIFICATE
  - \*\*GENERAL PARTNER ENTITY DOCUMENTS (IF GP IS A NON-INDIVIDUAL)
- NOTE: CERTIFICATION OF BENEFICIAL OWNERSHIP REQUIRED*

### PARTNERSHIP – LLP (LIMITED LIABILITY PARTNERSHIP)

- SS-4 Letter/W-9 FORM
- PARTNERSHIP AGREEMENT
- CERTIFICATE OF LIMITED PARTNERSHIP/CERTIFICATE OF FORMATION STATE OF
- CERTIFICATE OF GOOD STANDING/FRANCHISE ACCOUNT STATUS
- \*\*CERTIFICATE OF AUTHORITY-STATE OF (OUT OF STATE ENTITY TRANSACTING BUSINESS IN TEXAS)

### NON-PROFIT ASSOCIATION

- SS-4 Letter/W-9 FORM
- COPY OF RECENT MINUTES
- \*\*ASSUMED NAME CERTIFICATE
- \*\*IRS RULING LETTER AWARDDING TAX EXEMPTION OF NON-PROFIT STATUS

- \*\*ASSUMED NAME CERTIFICATE
- \*\*GENERAL PARTNER ENTITY DOCUMENTS  
(IF GP IS A NON-INDIVIDUAL)

NOTE: CERTIFICATION OF BENEFICIAL OWNERSHIP REQUIRED

NOTE: CERTIFICATION OF BENEFICIAL OWNERSHIP REQUIRED  
(CONTROL PRONG ONLY)

**UNINCORPORATED ORGANIZATION**  
**(SOCIAL/RECREATIONAL CLUBS OR CIVIC GROUPS)**

**SOLE PROPRIETORSHIP OR DBA**

- SS-4 Letter/W-9 FORM
- COPY OF RECENT MINUTES
- RESOLUTION  
(IF NOT PROVIDED BY ENTITY, SYSTEM GENERATED RESOLUTION REQUIRED)

NOTE: CERTIFICATION OF BENEFICIAL OWNERSHIP REQUIRED  
(CONTROL PRONG ONLY)

- \*\*SS-4 Letter/W-9 FORM (IF TIN # IS SEPARATE FROM DBA SSN #)
  - \*\*DBA ASSUMED NAME CERTIFICATE - COUNTRY/STATE:
- NOTE: REASON FOR NOT NEEDING CERTIFICATION OF BENEFICIAL OWNERS  
✓ (NOT A LEGAL ENTITY AS DEFINED IN RULE)

IN THE EVENT ENTITY IS DBA OF ANOTHER ENTITY, FOLLOW CERTIFICATION OF BENEFICIAL OWNERSHIP GUIDANCE FOR OWNERSHIP PROFILE (Corp., LLC, ETC.)

**ESTATE**

**TRUST (REVOCABLE & IRREVOCABLE)**

- SS-4 Letter/W-9 FORM
- LETTER OF TESTAMENTARY WILL (ADMINISTRATION WITH NAMED REP)
- DEATH CERTIFICATE (FOR NON-PROBATE ESTATES)

NOTE: REASON FOR NOT NEEDING CERTIFICATION OF BENEFICIAL OWNERS  
✓ (NOT A LEGAL ENTITY AS DEFINED IN R ULE)

- \*\*SS-4 Letter/W-9 FORM (SSN # OR EIN ID #)
- TRUST AGREEMENT
- TRUST AUTHORIZATION

NOTE: REASON FOR NOT NEEDING CERTIFICATION OF BENEFICIAL OWNERS  
✓ (NOT A LEGAL ENTITY AS DEFINED IN RULE)

HOWEVER IF THE TRUST IS AN ENTITY AND TRUST IS REGISTERED THRU SOS, THE CERTIFICATION OF BENEFICIAL OWNERSHIP IS REQUIRED.

**IOLTA**

**PUBLIC FUNDS**

- SS-4 Letter/W-9 FORM (LAW FIRM TIN # ENTERED AS PRIMARY)
- IOLTA NOTICE TO FI & FOUNDATION  
(COMPLETED BY LAW FIRM OR FORM PROVIDED BY FI)  
(ENSURE TIN # ENTERED AS ALTERNATE)

- \*\*ENTITY DOCUMENTS FOR LAW FIRM

NOTE: CERTIFICATION OF BENEFICIAL OWNERSHIP REQUIRED  
(CONTROL PRONG ONLY)

- \*\*SS-4 Letter/W-9 FORM
- INVESTMENT POLICY
- RESOLUTION  
(IF NOT PROVIDED BY ENTITY, SYSTEM GENERATED RESOLUTION REQUIRED)

NOTE: REASON FOR NOT NEEDING CERTIFICATION OF BENEFICIAL OWNERS  
(NOT A LEGAL ENTITY AS DEFINED IN RULE)