

# Legal Entity Beneficial Ownership Certification Form



For assistance call 1.888.335.3417.

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, a limited liability company, a general partnership, statutory trust, a non-profit and any similar business entity formed in the United States.

## 1 Account Information

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

Name of Natural Person Opening Account on Behalf of Legal Entity:  
(First Middle Last) \_\_\_\_\_

Title \_\_\_\_\_

## 2 Beneficial Owner(s)

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 (**Note:** Non-profits do not have to complete this section.):

Name/Title \_\_\_\_\_

Address \_\_\_\_\_  
(Residential or Business)

Street or P.O. Box \_\_\_\_\_  
If mailing address is a post office box (other than an army post office box or a fleet post office box), then a physical address is also required by the USA Patriot Act.

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Social Security/Tax ID \_\_\_\_\_ Date of Birth \_\_\_\_\_

Name/Title \_\_\_\_\_

Address \_\_\_\_\_  
(Residential or Business)

Street or P.O. Box \_\_\_\_\_  
If mailing address is a post office box (other than an army post office box or a fleet post office box), then a physical address is also required by the USA Patriot Act.

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Social Security/Tax ID \_\_\_\_\_ Date of Birth \_\_\_\_\_

Name/Title \_\_\_\_\_

Address \_\_\_\_\_  
(Residential or Business)

Street or P.O. Box \_\_\_\_\_  
If mailing address is a post office box (other than an army post office box or a fleet post office box), then a physical address is also required by the USA Patriot Act.

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Social Security/Tax ID \_\_\_\_\_ Date of Birth \_\_\_\_\_

Name/Title \_\_\_\_\_

Address \_\_\_\_\_  
(Residential or Business)

Street or P.O. Box \_\_\_\_\_  
If mailing address is a post office box (other than an army post office box or a fleet post office box), then a physical address is also required by the USA Patriot Act.

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Social Security/Tax ID \_\_\_\_\_ Date of Birth \_\_\_\_\_

### 3 Control Person

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 in section 2 above may also be listed in this section.)

Name/Title

Address   
 (Residential or Business)

Street or P.O. Box   
 If mailing address is a post office box (other than an army post office box or a fleet post office box), then a physical address is also required by the USA Patriot Act.

City  State  Zip Code

Social Security/Tax ID  Date of Birth

### 4 Certification

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

Signature  Date

### 5 Final Checklist

Return to the address below with the following:

Completed Mutual Fund application  This completed form

**Send to:** Mirae Asset Discovery Funds  
 P.O. Box 183165, Columbus, OH 43218-3165

**For overnight packages:** Mirae Asset Discovery Funds  
 4249 Easton Way, Suite 400, Columbus, OH 43219

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## IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. **What this means to you:** When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may ask to see your driver's license or other identifying documents.

This form requires you to provide the name, address, date of birth and Social Security number for the following individuals:

- I. 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); 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 Treasurer).

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## USA PATRIOT Act

### Our Commitment to Money Laundering Prevention

Mirae Asset Global Investments (USA) LLC is fully committed to complying with all statutory and regulatory requirements designed to combat money laundering and any activity which facilitates the funding of terrorist or criminal activities.

### Money Laundering Prevention Policies and Procedures

The Firm is committed to educating and training employees in money laundering prevention and has adopted specific policies and procedures to prevent and detect money laundering. Some of the initiatives and procedures currently being undertaken by Mirae Asset Global Investments (USA) LLC include:

- the development and establishment of a comprehensive money laundering prevention compliance program;
- the development and utilization of technology to assist in the monitoring of transactions for the purpose of identifying and reporting suspicious activity and/or transactions;
- the designation of a money laundering prevention compliance officer to oversee the money laundering prevention efforts of the Firm;
- the establishment of screening procedures;
- the establishment of an independent audit function to evaluate the Firm's money laundering prevention program; and
- training employees to:
  - be aware of, and comply with, the Firm's policies and procedures to prevent money laundering and other financial crimes, and to assist in the prevention of terrorist financing;
  - ability to recognize and report any suspicious activity and/or transactions.