

## GENERAL INSTRUCTIONS

Use this form to add or update information related to the beneficial owner(s) of an existing legal entity (corporation, partnership, limited liability company, or non-profit foundation)

### 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 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 with any of the following U.S. financial institutions: (i) a bank or credit union; (ii) a broker or dealer in securities; (iii) a mutual fund; (iv) a futures commission merchant; or (v) an introducing broker in commodities.

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 foreign persons) for the following individuals:

- (i) Each individual (“Beneficial Owner”), 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 (a “Control Person”) 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).

The number of individuals that satisfy this definition of “Beneficial Owner” may vary. Under section (i), depending on the factual circumstances, up to four individuals (but as few as zero) may need to be identified. Regardless of the number of individuals identified under section (i), you must provide the identifying information of one individual under section (ii). It is possible that in some circumstances the same individual might be identified under both sections (e.g., the President of Acme, Inc. who also holds a 30 percent equity interest). Thus, a completed form will contain the identifying information of at least one individual (under section (ii)), and up to five individuals (i.e., one individual under section (ii) and four 25 percent equity holders under section (i)). The financial institution may also ask to see a copy of a driver’s license or other identifying document for each beneficial owner listed on this form.

**Important:** You must provide all information for each Beneficial Owner listed in Section 3 and a Control Person listed in Section 4 in order for the form to be accepted. You must list all Beneficial Owners who currently own, directly or indirectly, 25% or more of the legal entity, and the current Control Person, even if you are only adding or updating information for one or more such persons.

# Certification of beneficial owners



**Return by mail:**  
Putnam Investor Services, Inc.  
P. O. Box 8383  
Boston, MA 02266-8383

**Return by express delivery:**  
Putnam Investor Services, Inc.  
30 Dan Road  
Canton, MA 02021-2809

**For more information:**  
Putnam Investments  
1-800-225-1581  
www.putnam.com

Please make checks payable to The Putnam Funds



## Section 1 Name and title of natural person completing this form

The person signing this form must provide the following information.

Name of natural person acting on the account

First	MI	Last	Suffix	Title of natural person acting on the account

## Section 2 Name and address of legal entity

Name of legal entity

Tax identification number

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Address of legal entity (street, city, state, ZIP code)

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## Section 3 Beneficial Owner information

Provide 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.

- For all U.S. persons:** The full name, Social Security number, date of birth, and residential address are required.
- For all foreign persons:** The full name, passport number, country of passport issuance, date of birth, and residential address are required. In lieu of a passport number, foreign persons may also provide 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 copy of the passport, alien identification card, or other government-issued identification document must be enclosed with this form.

**Important:** If no individual meets this definition you must check “Not applicable” below and proceed to Section 4.

Not applicable (no individual owns, directly or indirectly, 25 percent or more of the equity interests of the legal entity)

First	MI	Last	Suffix	Social Security / Passport number	Date of birth (mm/dd/yyyy)
Residential or business street address (street, city, state, ZIP code)				Passport country of issuance	

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Residential or business street address (street, city, state, ZIP code)				Passport country of issuance	

## Section 4 Control Person

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Provide 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 in Section 3 above may also be listed in this section).

First	MI	Last	Suffix	Social Security / Passport number	Date of birth (mm/dd/yyyy)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<i>Residential or business street address (street, city, state, ZIP code)</i>					<i>Passport country of issuance</i>
<input type="text"/>					<input type="text"/>

## Section 5 Certification

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I hereby certify, to the best of my knowledge, that the information provided above is complete and correct.

*Signature of natural person acting on the account*

*Date (mm/dd/yyyy)*

*Print name of signature above*

Legal Entity Identifier  (Optional)

**Important:** You must provide either an original or certified copy of one of the following documents appropriate to the legal entity in Section 2 to verify your capacity to act on behalf of the entity (see certification requirements below):

- Certificate of Incumbency
- Corporate Resolution
- Resolution of governing body
- Other

Certification may be obtained via a Medallion guarantee stamp or by an attorney or the attorney's letterhead, by the clerk of the court if filed in court, or the appropriate state agency if filed with that agency, **dated within 120 days of receipt.**