

CERTIFICATION REGARDING BENEFICIAL OWNERS OF LEGAL ENTITY CUSTOMERS

NEUBERGER BERMAN

• Please return this application to:

Regular Mail:

Neuberger Berman Funds
PO Box 219189
Kansas City, MO 64121-9189

Overnight Mail:

Neuberger Berman Funds
430 West 7th Street, Suite 219189
Kansas City, MO 64105-1407

- If you have any questions about completing this Application, please call Neuberger Berman Retail Services at 800.877.9700, Monday-Friday, from 9AM to 6PM Eastern Time.
- This application can be faxed to 816-218-0478.

NB Account Number _____

To assist the government's fight of financial crimes, Federal regulation requires certain financial institutions to obtain, verify and record information about the beneficial owners of legal entity customers. This form must be completed by the person opening the new account on behalf of a legal entity.

Name and Address of Legal Entity* for Which Account is Being Opened

Entity Name _____ Entity Type _____ Entity Tax ID _____

Entity Address _____

Name and Title of Natural Person Opening Account

First, Middle Initial, Last Name of Natural Person Opening Account _____ Title _____

You are required to provide the: **name, address, date of birth, Social Security number, and driver's license number** (or passport number in the case of non-United States persons) **and a copy of a passport** in the case of non-United States persons for the following individuals:

1. Beneficial Owner(s) (Equity Stakeholder):**

Persons opening an account on behalf of a legal entity must provide the following information for each individual, if any, who directly or indirectly, through any contract, arrangement, understanding or relationship or otherwise owns 25 percent or more of the equity interests of the legal entity listed above:

First, Middle Initial, Last Name & Title	Date of Birth	Legal Address	Social Security Number (For U.S. Persons)	Driver's License or Passport Number & Country of Issuance (Passport required for Non-U.S.)

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

2. Beneficial Owner(s) (Executive or Senior Officer or Senior Manager):**

Please note the following information is **required** for **one** individual with significant responsibility for managing the legal entity listed above, such as an (e.g., a Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President or Treasurer); **or** any other individual who regularly performs similar functions. (If appropriate, an individual listed under section above may also be listed in this section).

First, Middle Initial, Last Name & Title	Date of Birth	Legal Address	Social Security Number (For U.S. Persons)	Driver's License or Passport Number & Country of Issuance (Passport required for Non-U.S.)

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: _____

* 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.

**** A beneficial owner is defined by the following:**

- a. 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 share of a corporation); **and**
- b. 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). Regardless of the number of individuals identified under section(i), you must provide the identifying information of one individual in section (ii).

The number of individuals that satisfy this requirement may vary. Under (a), depending on factual circumstances, up to four individuals, but as few as zero, may need to be identified. It is possible that in some circumstances the same individual might be identified under both (a) and (b) (e.g., the President of Acme Corp. also holds 30% equity interest).