

Please return this application to:

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

Overnight Mail
 Neuberger Berman Funds
 801 Pennsylvania Ave, Suite 219189
 Kansas City, MO 64105-1307

Email
 nbffundsCS@sscinc.com

If you have any questions about completing this application, please call Neuberger Berman Shareholder Services at 800.877.9700, Monday–Friday, from 9AM to 5PM Eastern Time.

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.

Legal Entity* Name	Legal Entity Type	Legal Entity Tax ID
Legal Entity Address		
Natural Person Opening Account’s First Name and Title	Middle	Last

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 provide the following information for **one** individual with significant responsibility for managing the legal entity listed above, such as 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 in 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.)

Name of natural person opening account

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

Signature	Date
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* 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). 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).