

DECISION STEPS

Determine a Legal Person's Registerable Beneficial Owners ("RBOs")

August 2024

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Decision steps to determine a Legal Person's Registerable Beneficial Owners (“RBOs”)

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests.
See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

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See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 2.

Step 2

Indirect ownership or control

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See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



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Yes.

No.



Go to Step 2.

Step 2

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See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

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See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes. No.



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Indirect ownership or control

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See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes. No.



Any such individual is a Beneficial Owner.
Go to Step 3.

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes. No.



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Yes. No.



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Yes. No.



Go to Step 3.

Step 3

Ultimate effective control

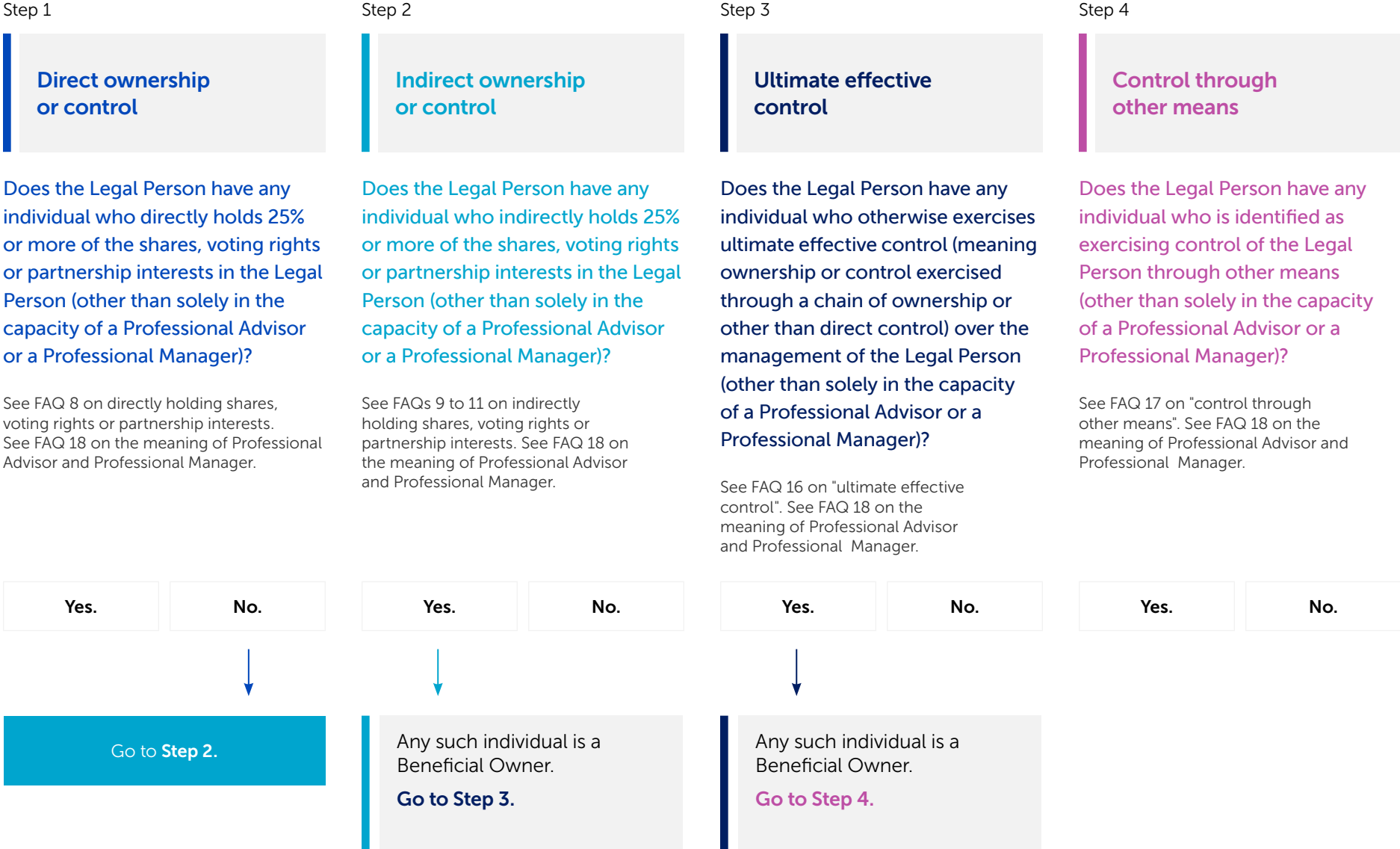
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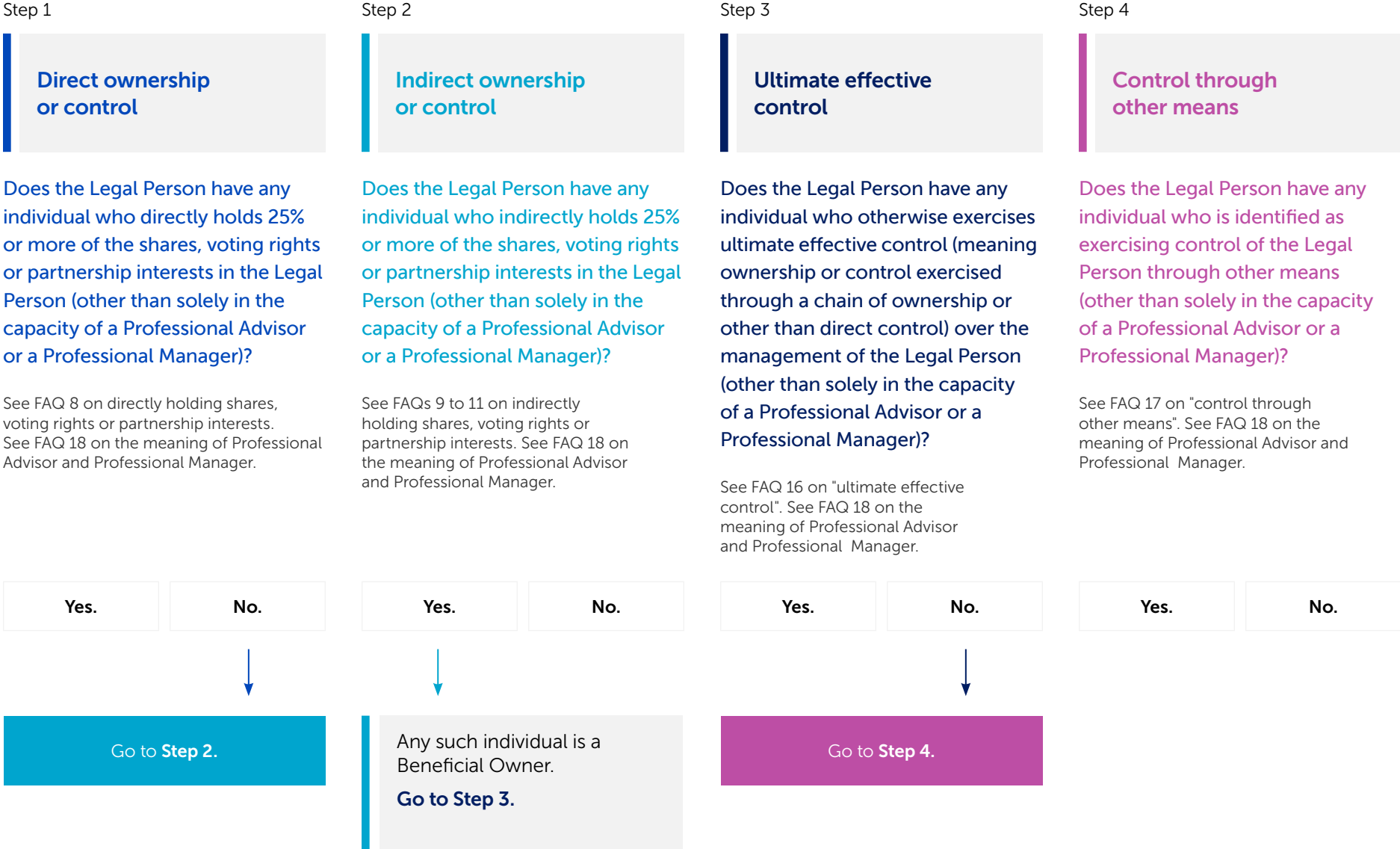
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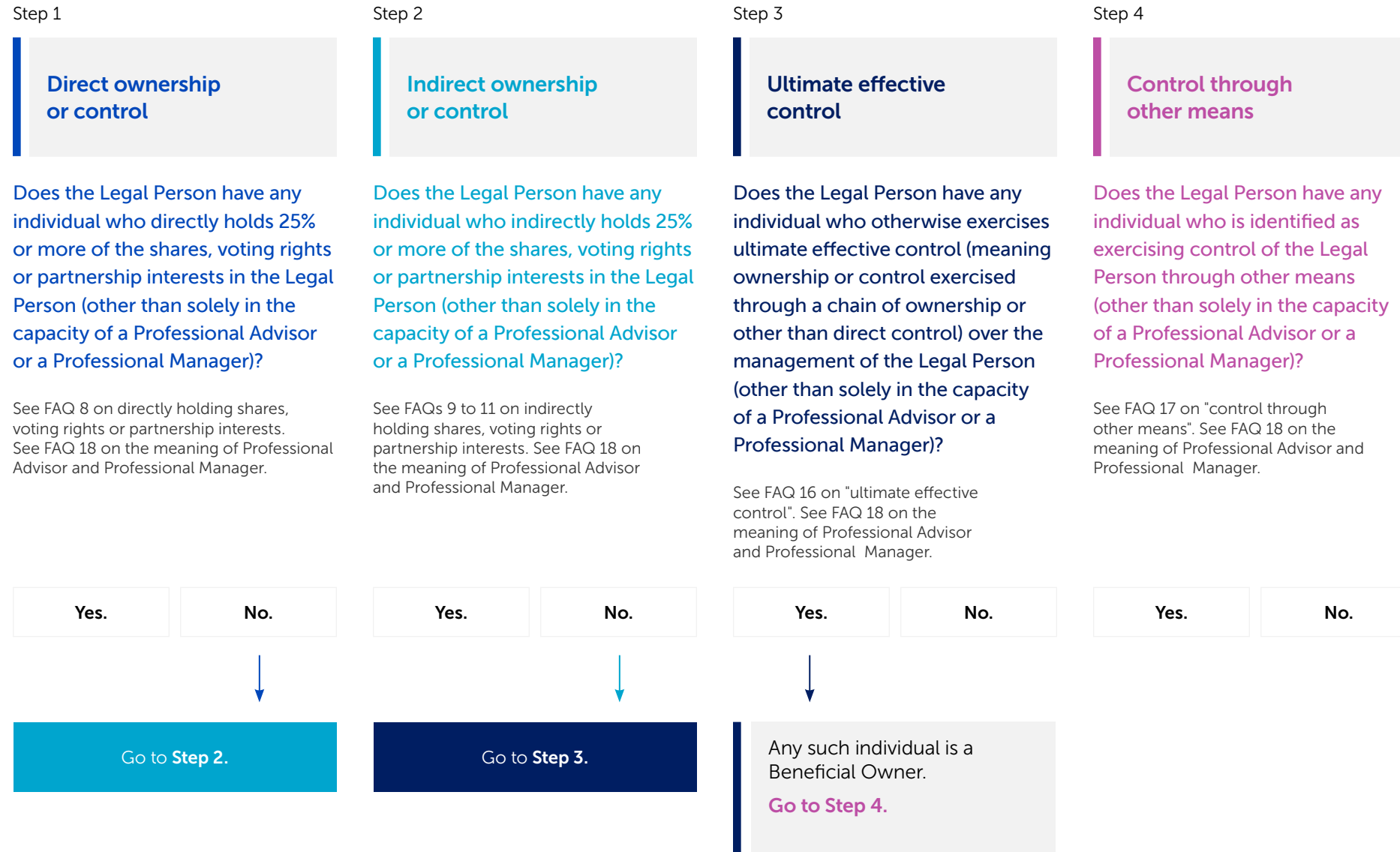
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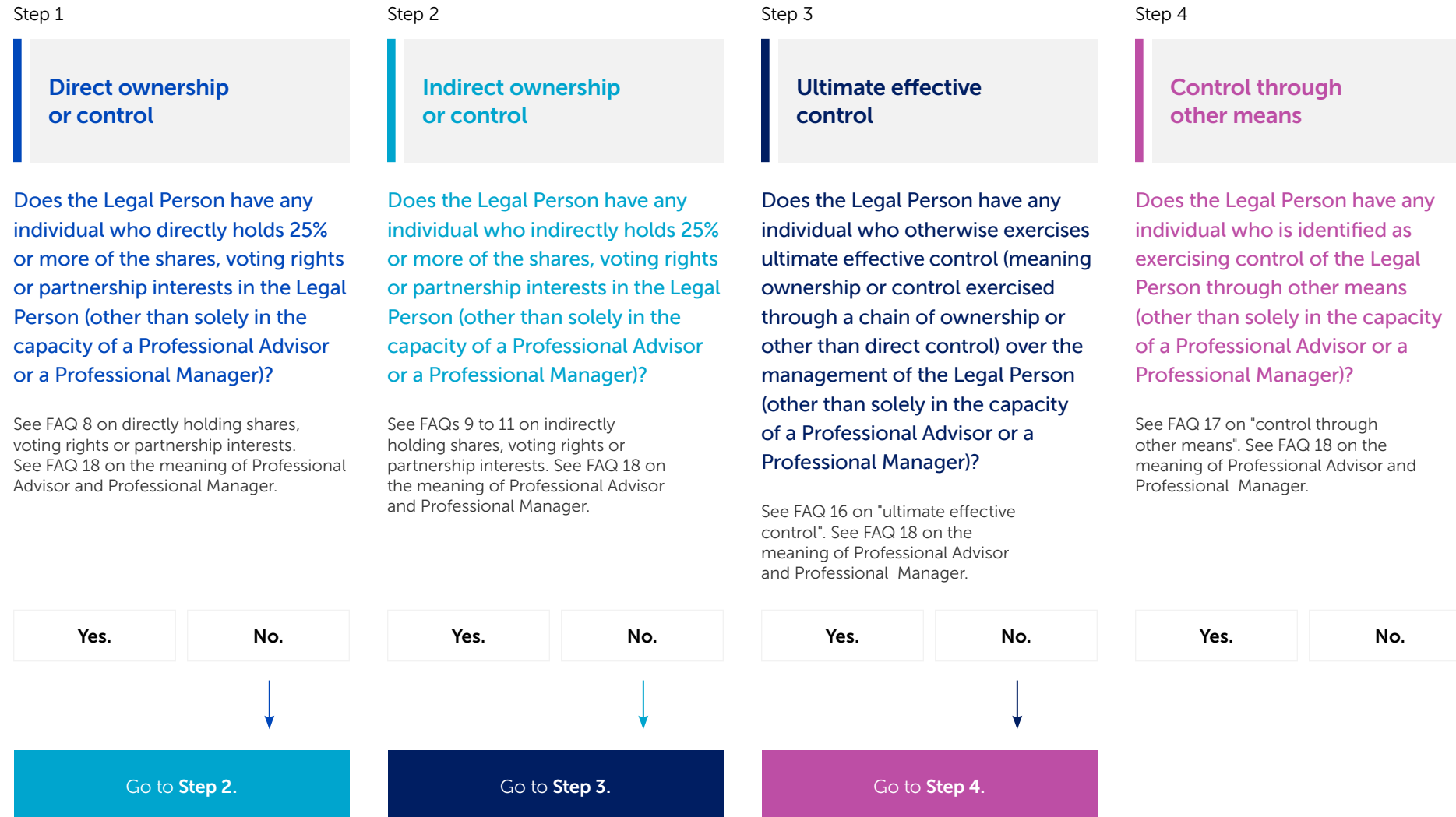
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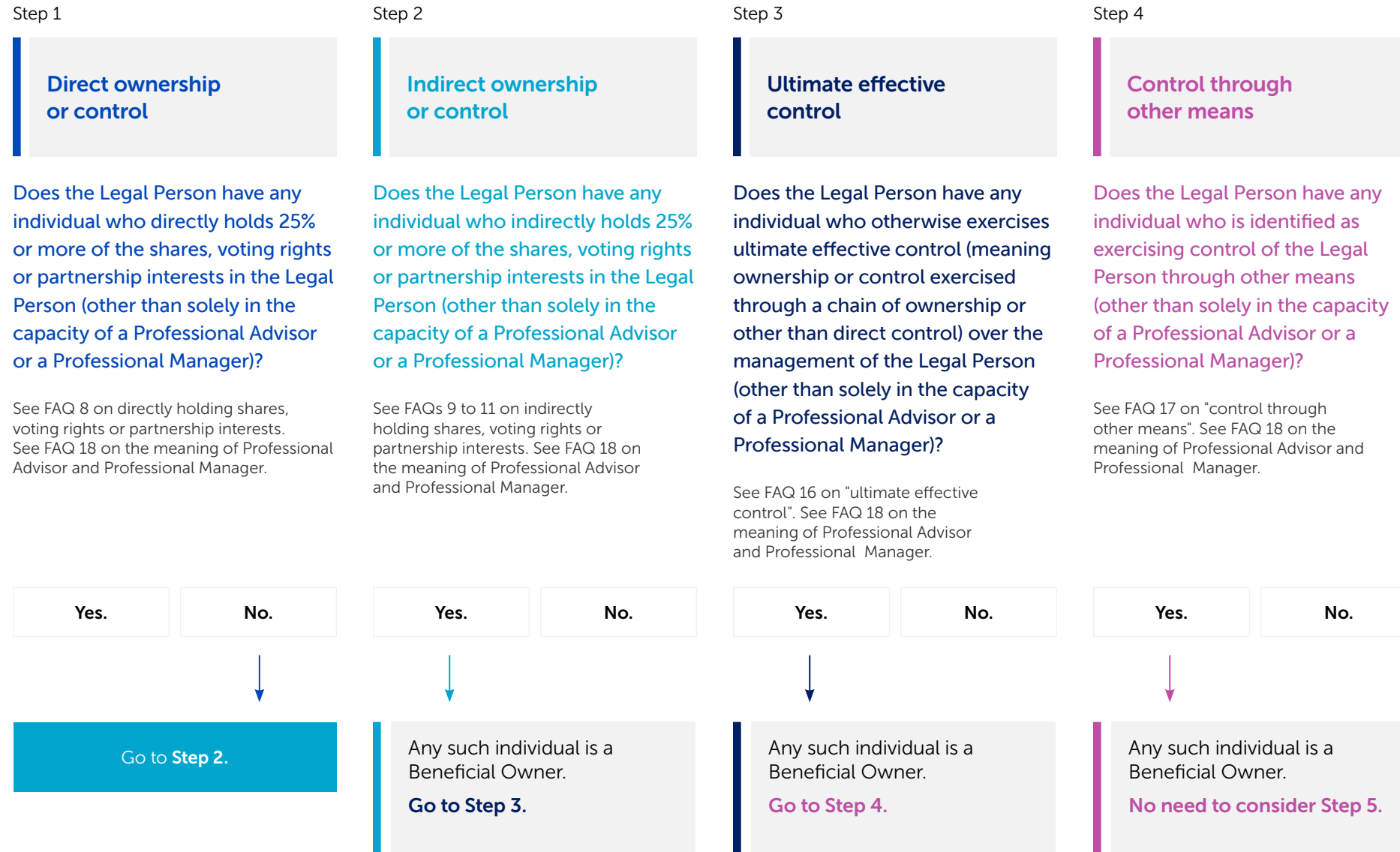
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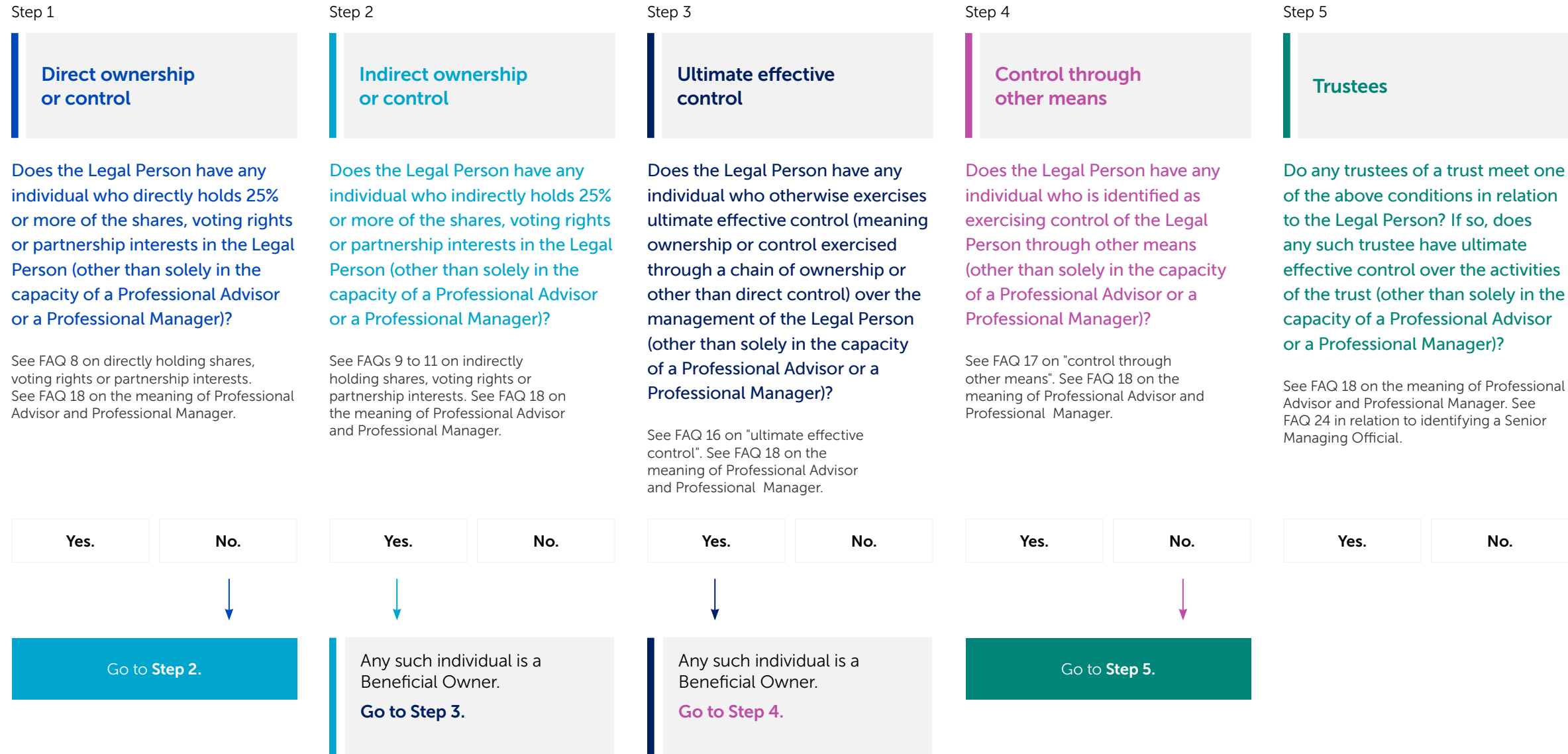
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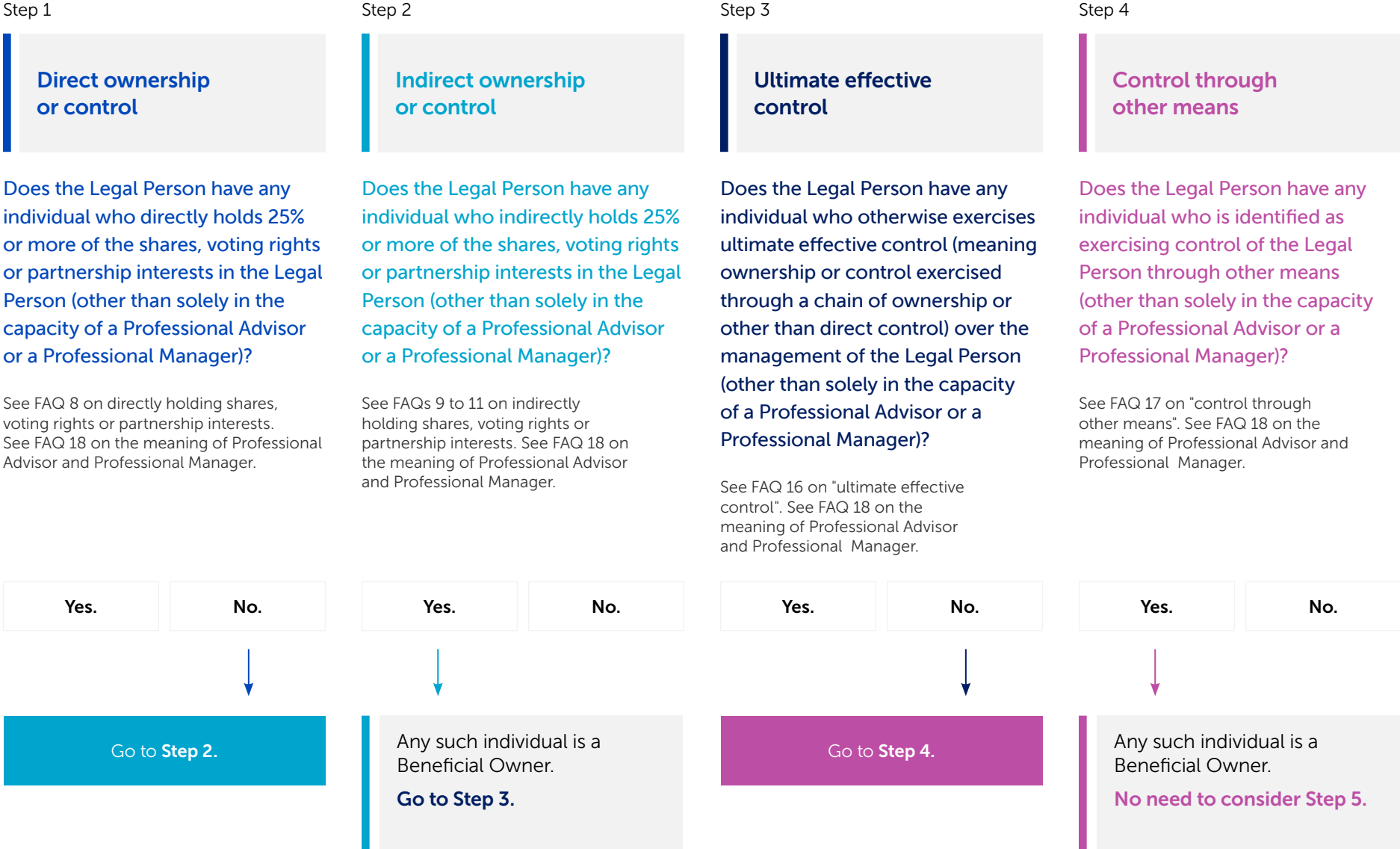
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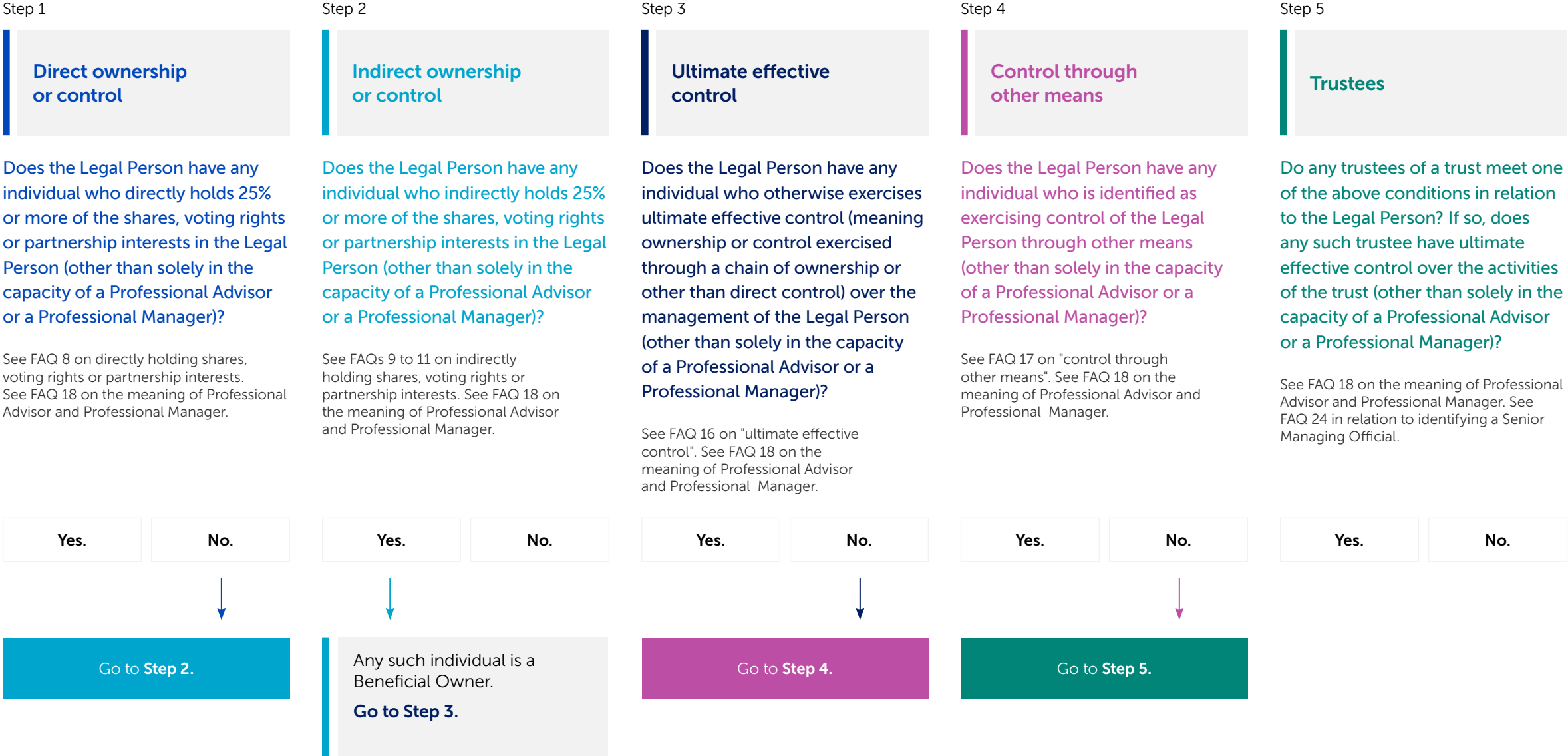
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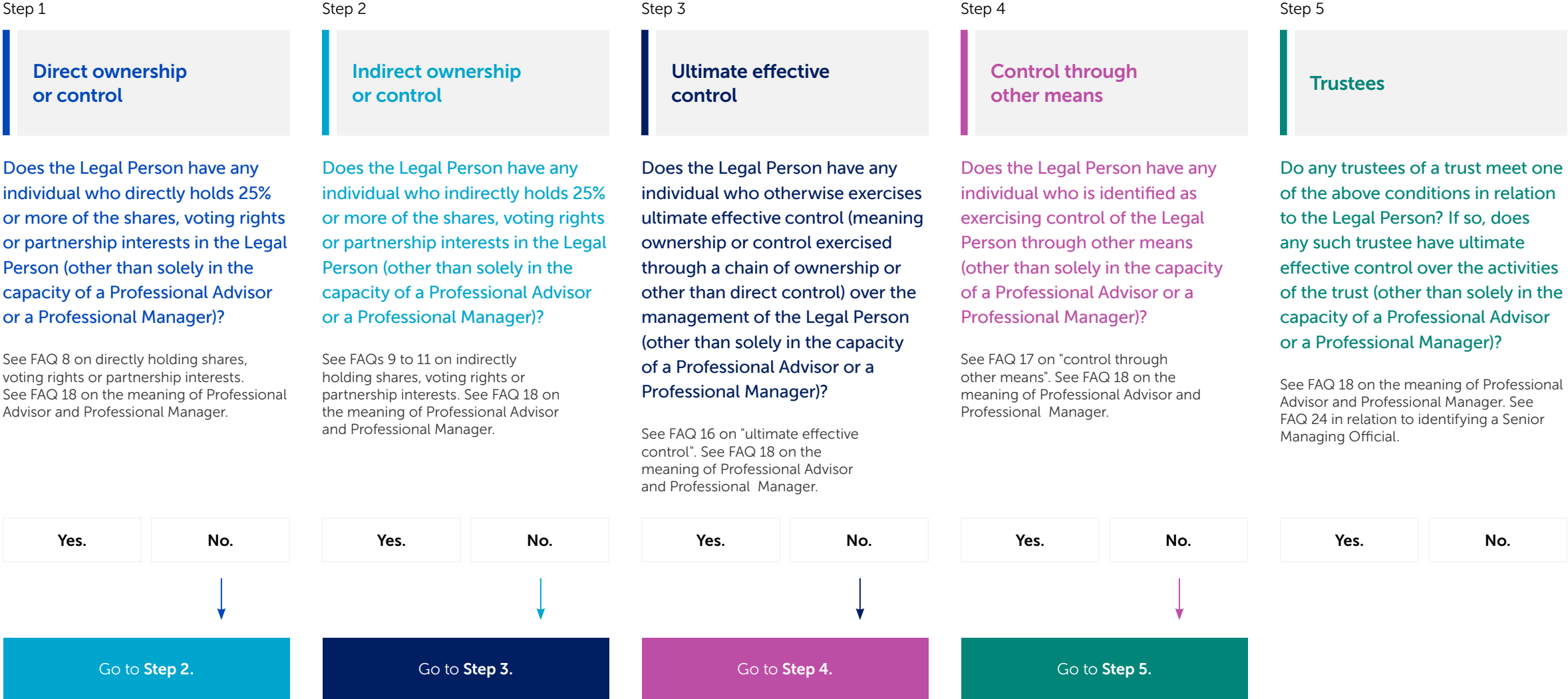
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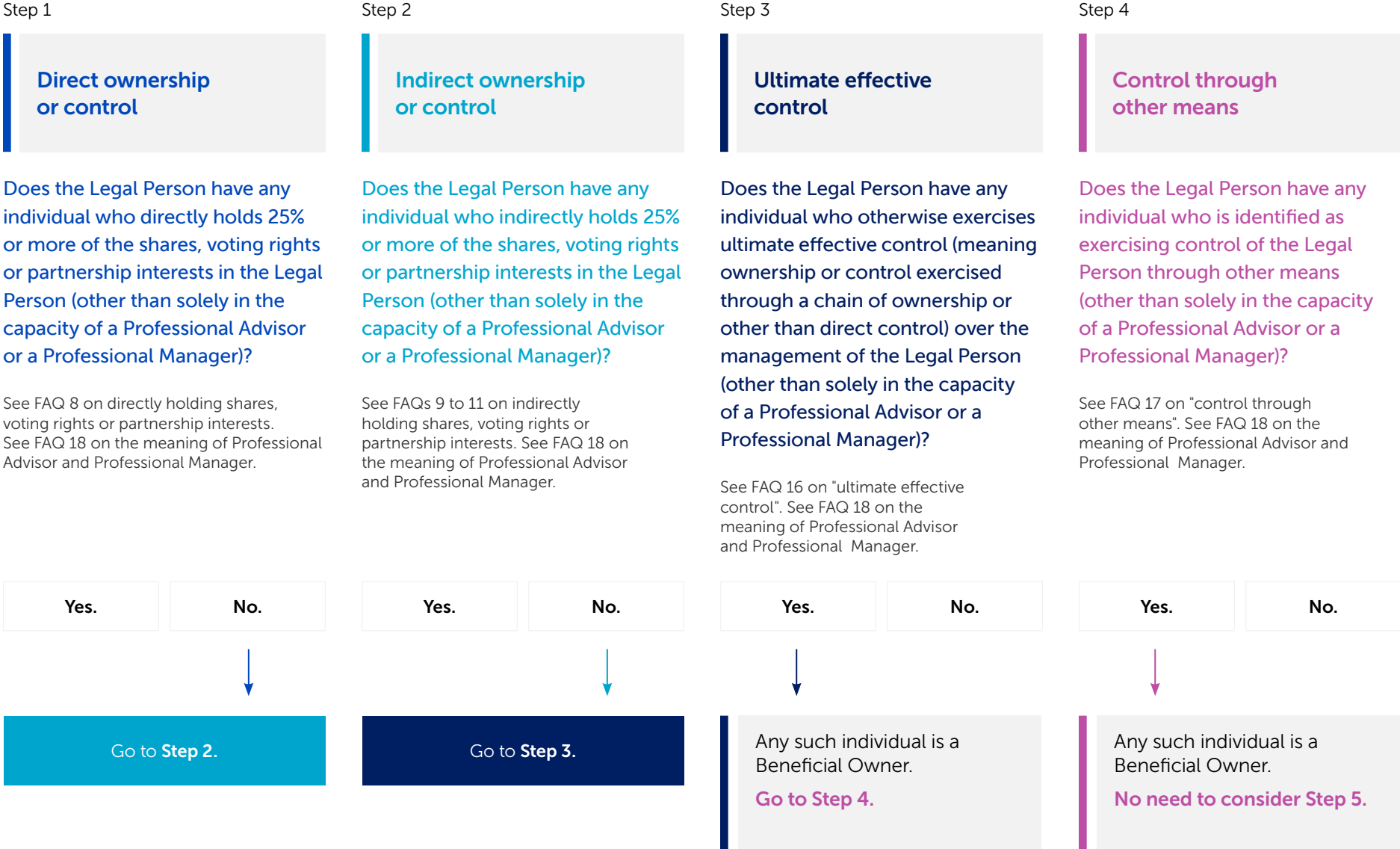
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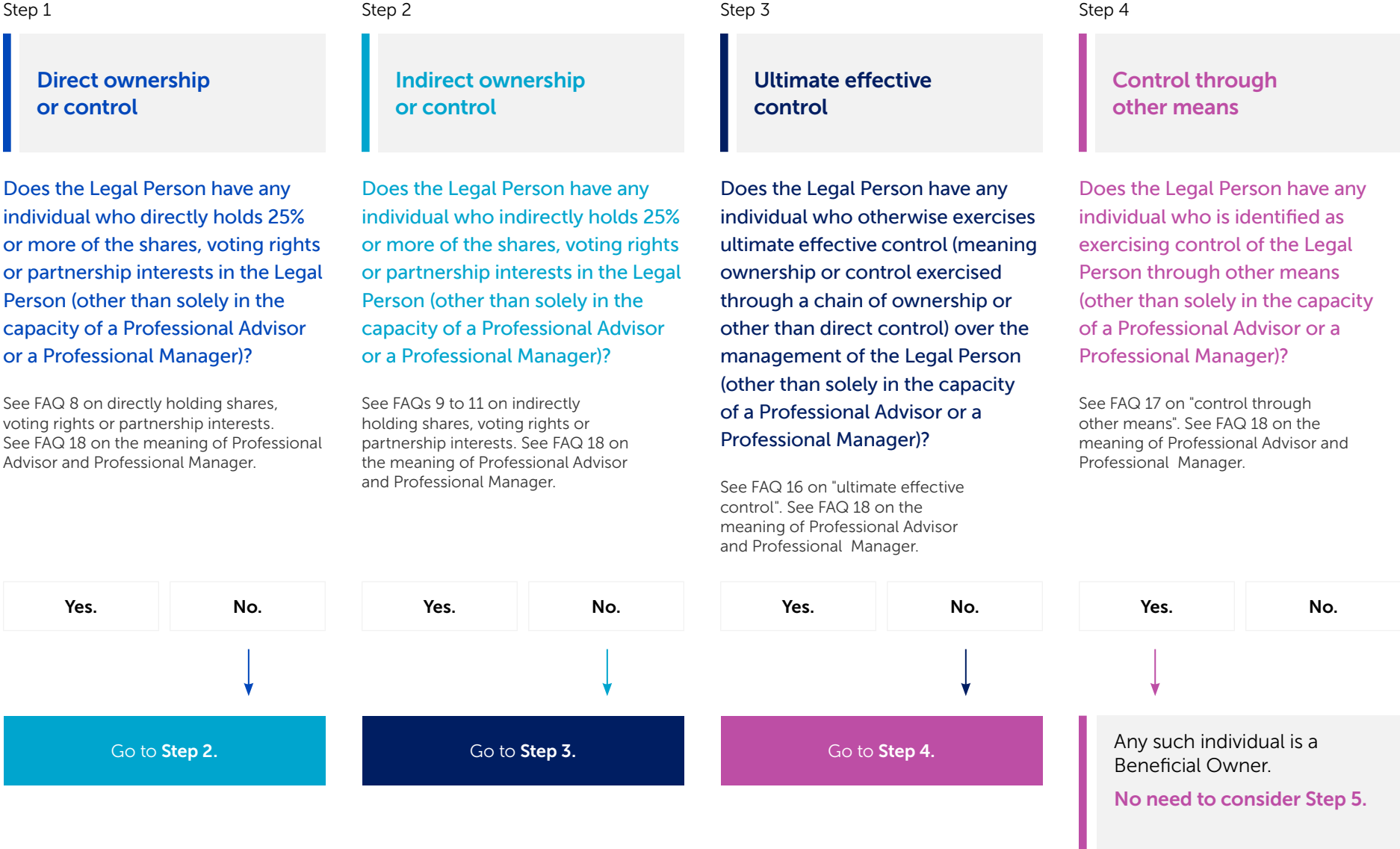
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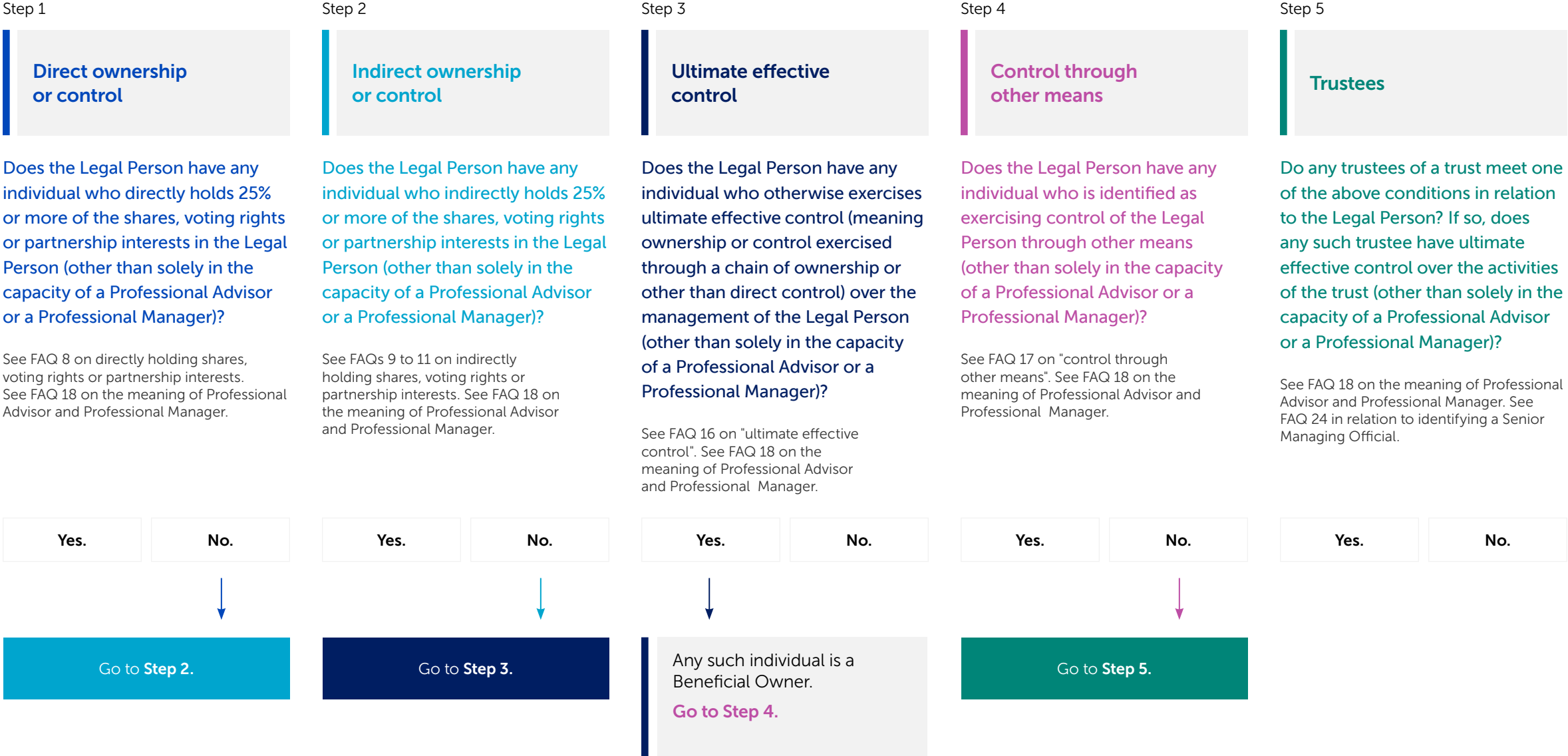
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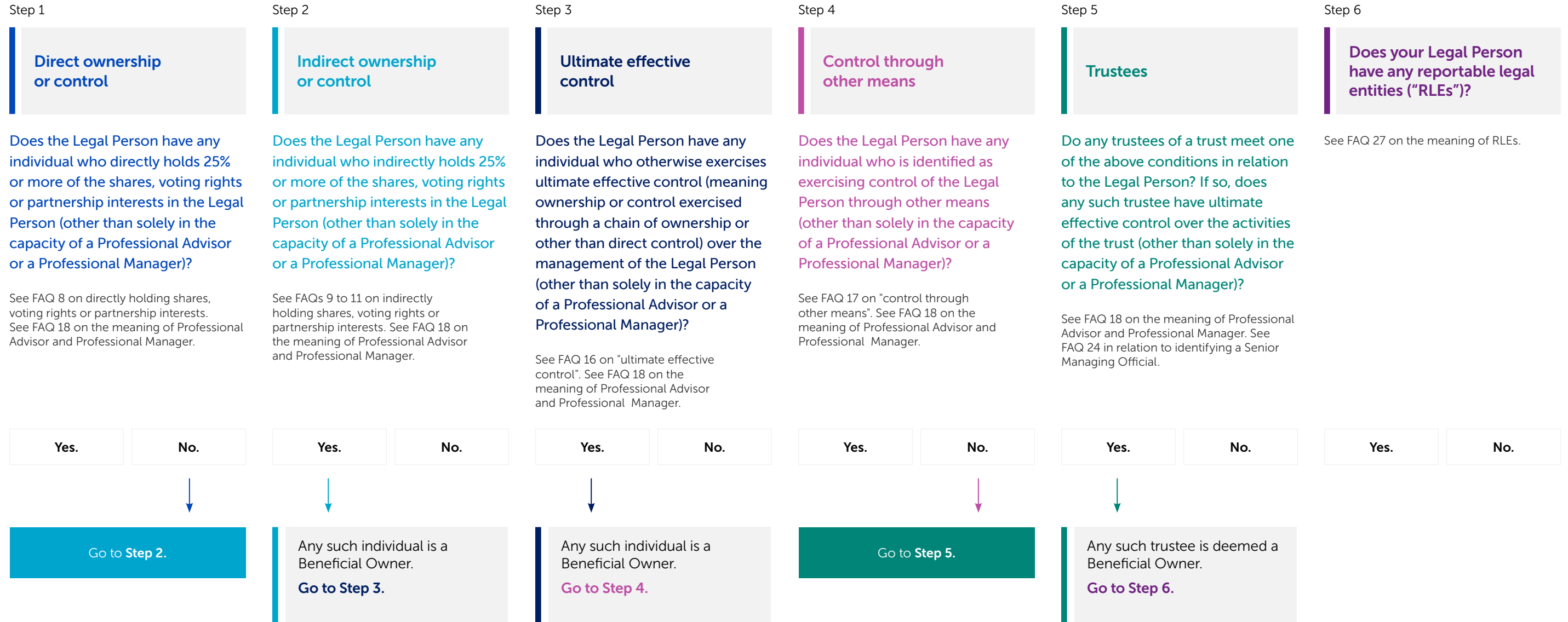
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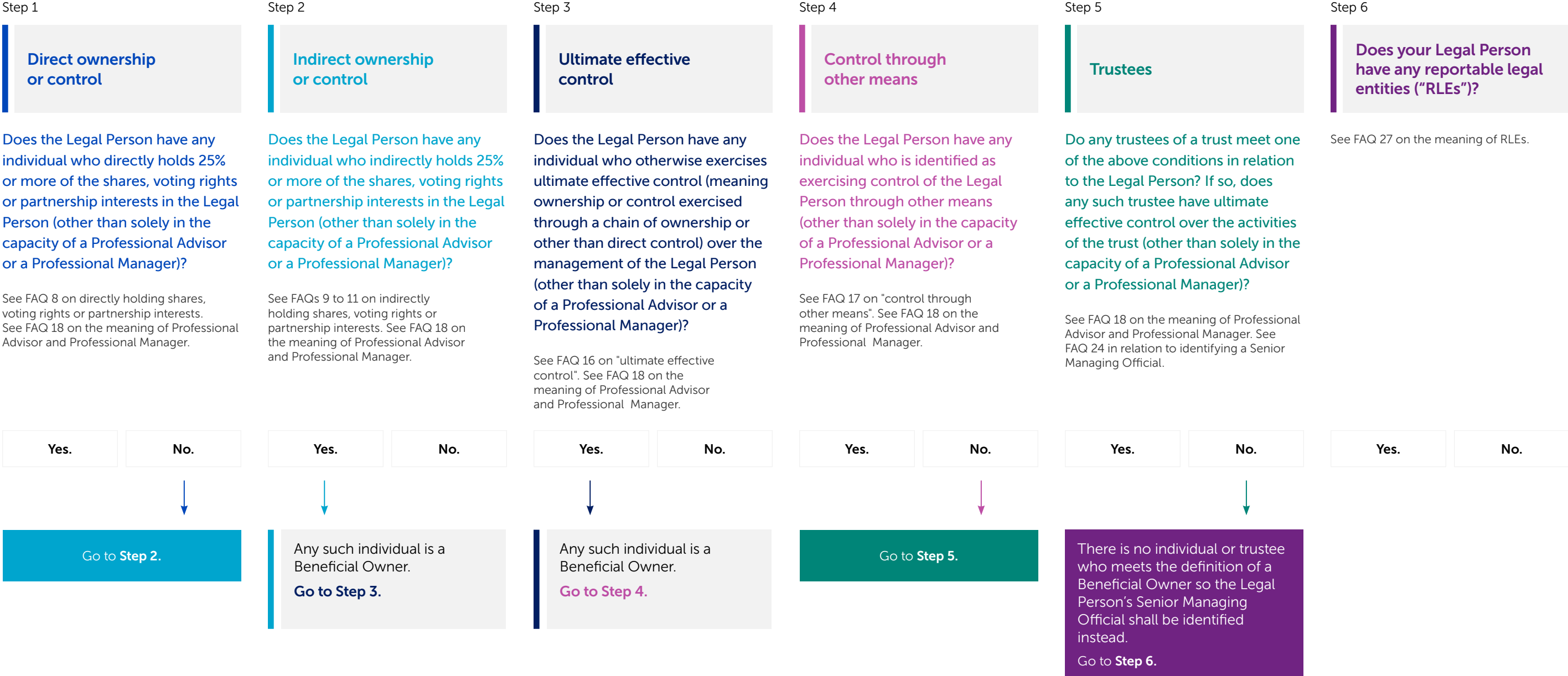
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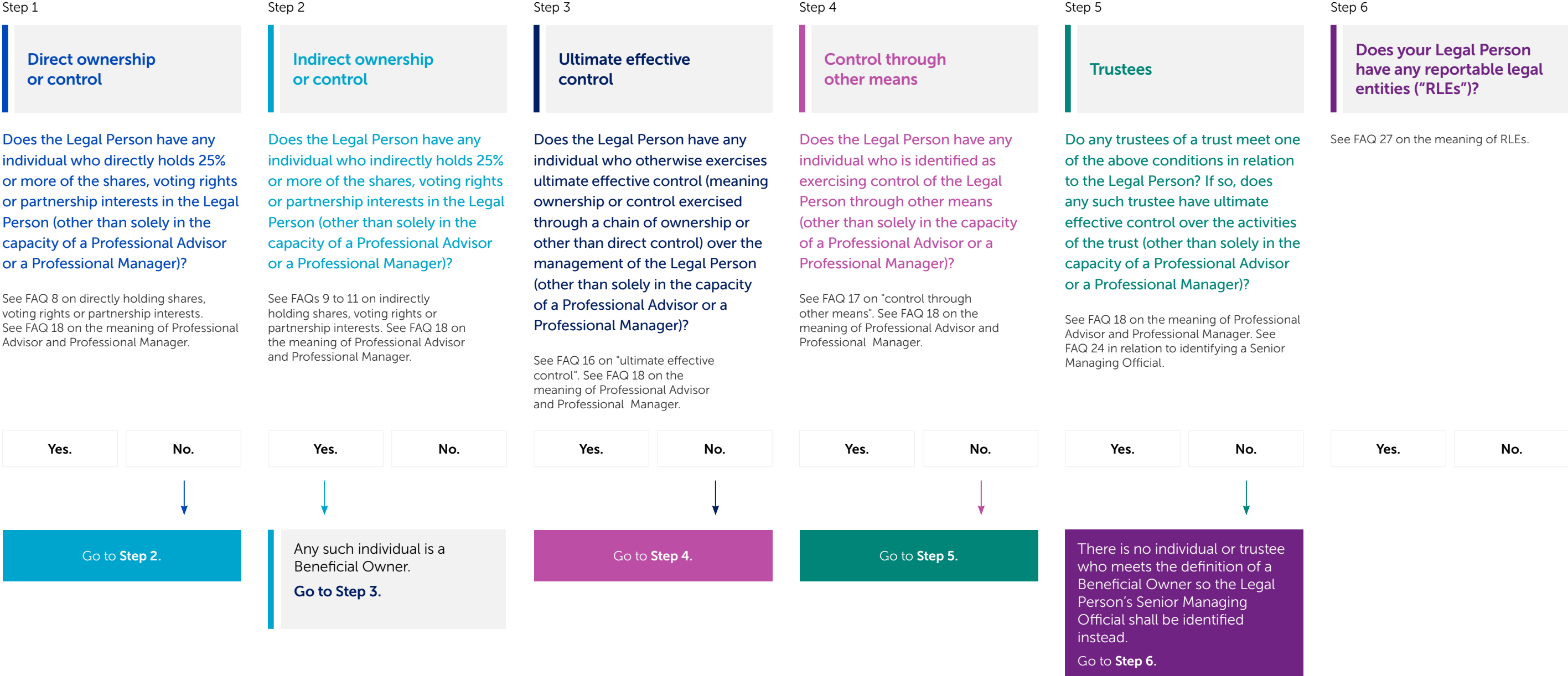
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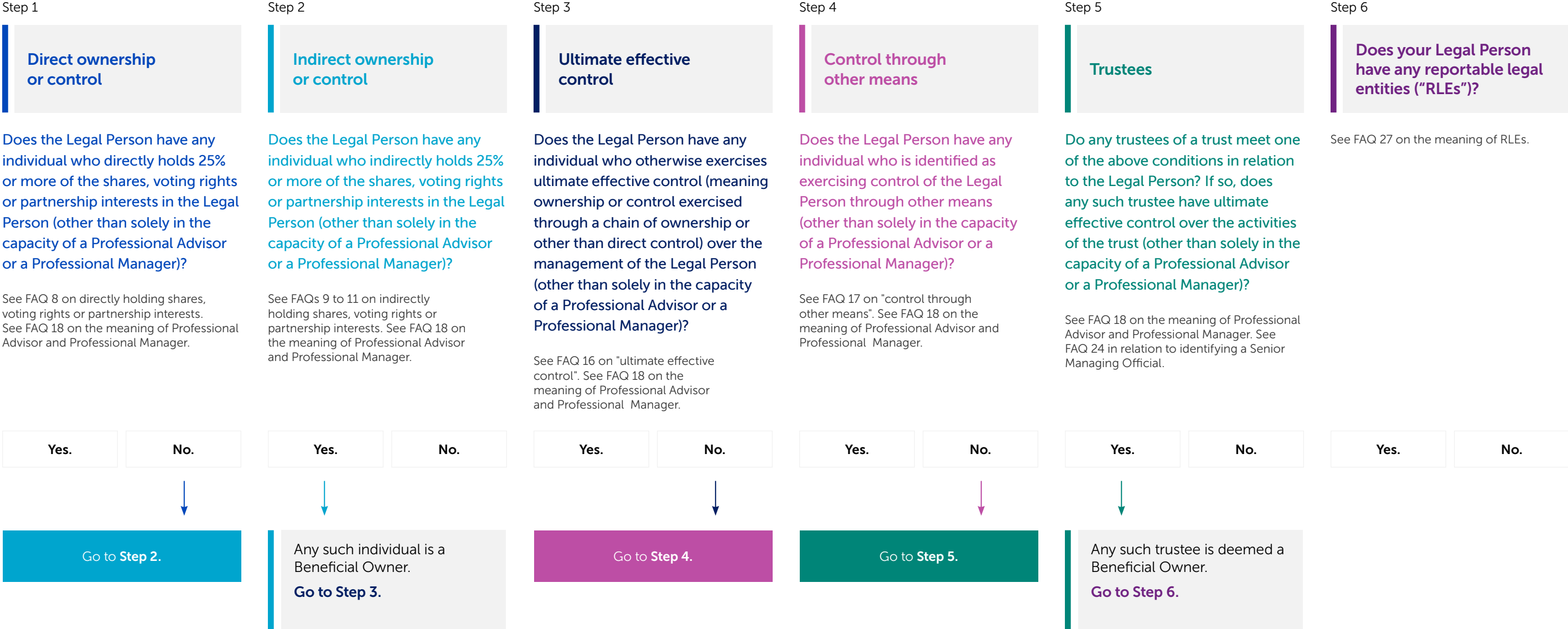
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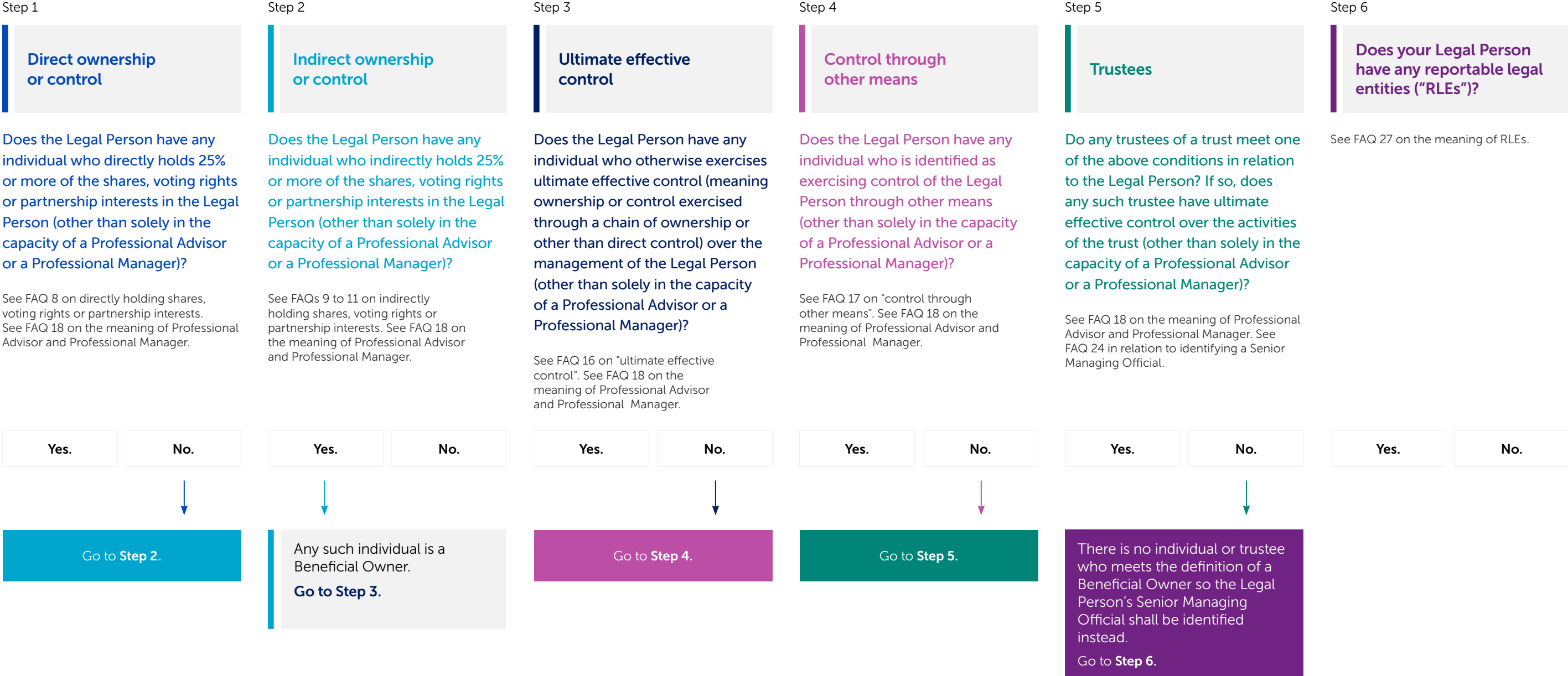
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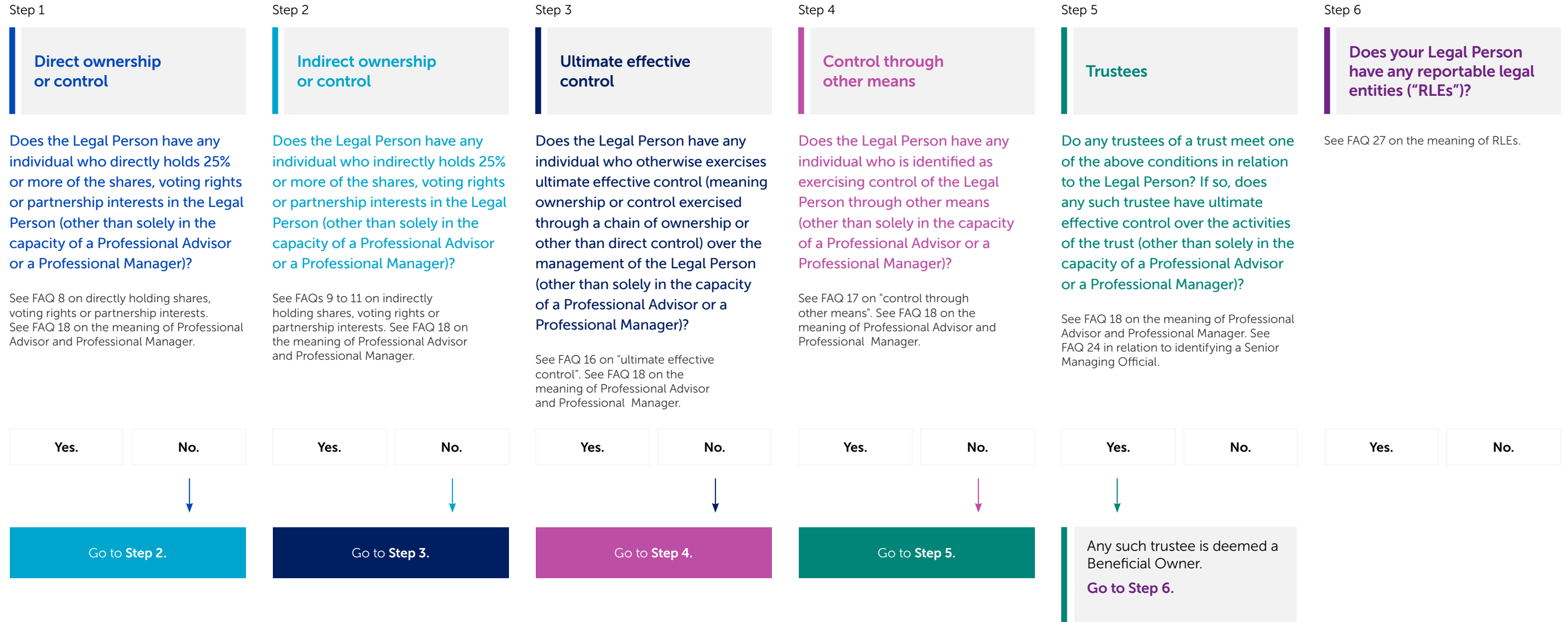
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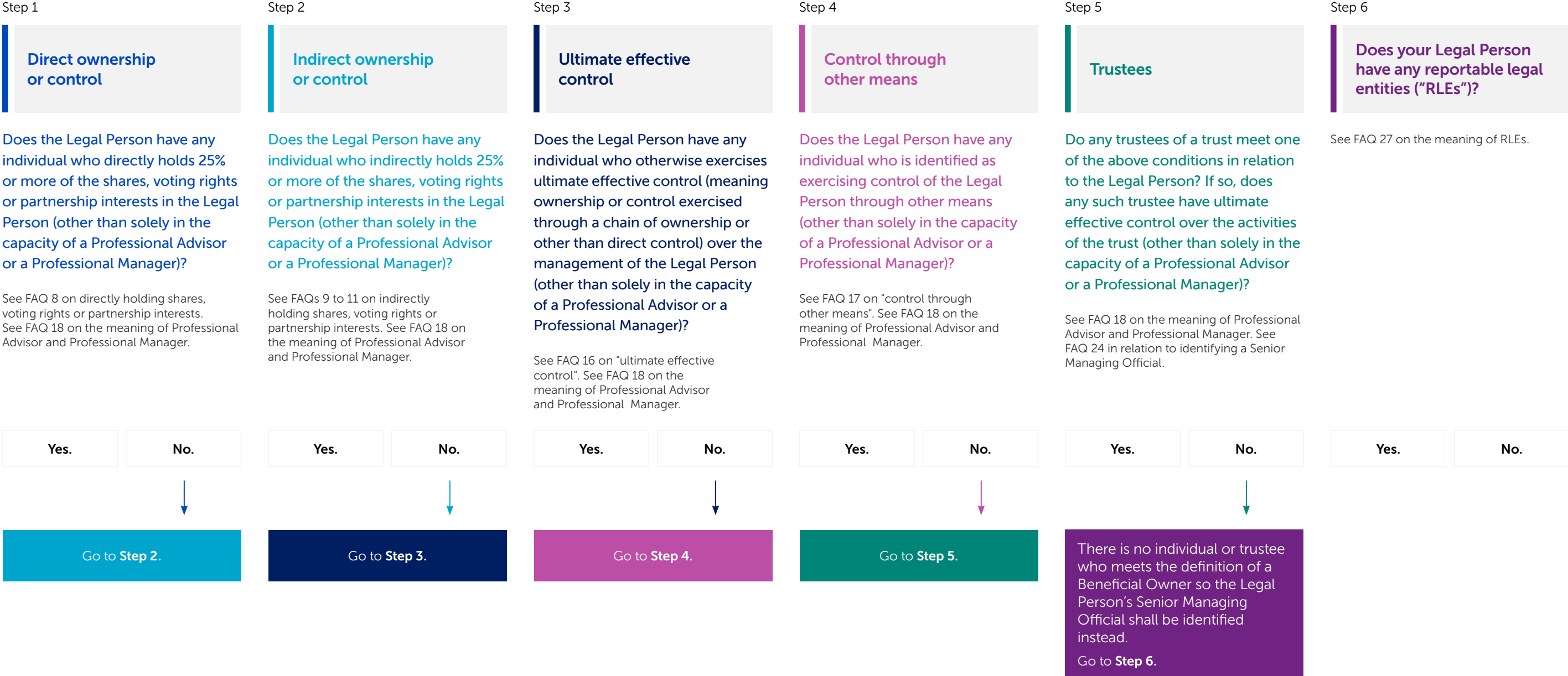
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Yes.

No.



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Yes.

No.



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Step 3

Ultimate effective control

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See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 4.

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



There is no individual or trustee who meets the definition of a Beneficial Owner so the Legal Person's Senior Managing Official shall be identified instead.
Go to Step 6.

Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

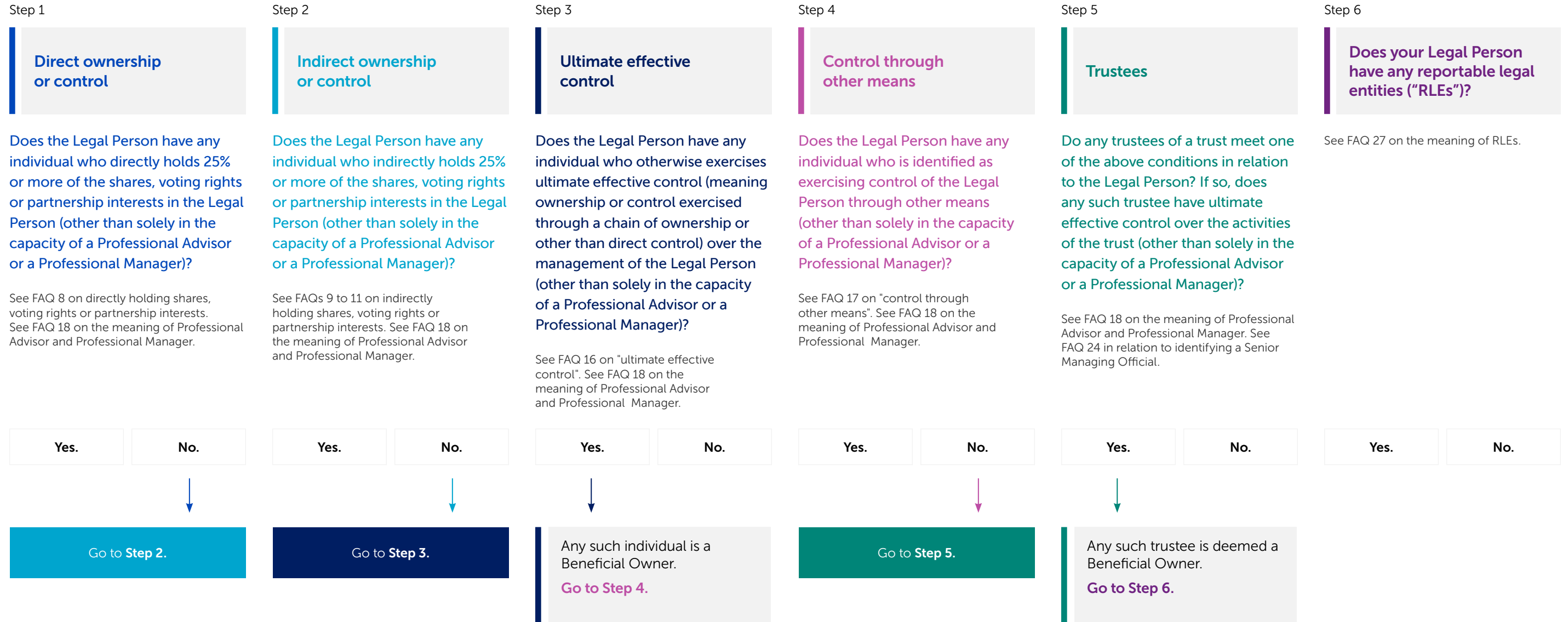
See FAQ 27 on the meaning of RLEs.

Yes.

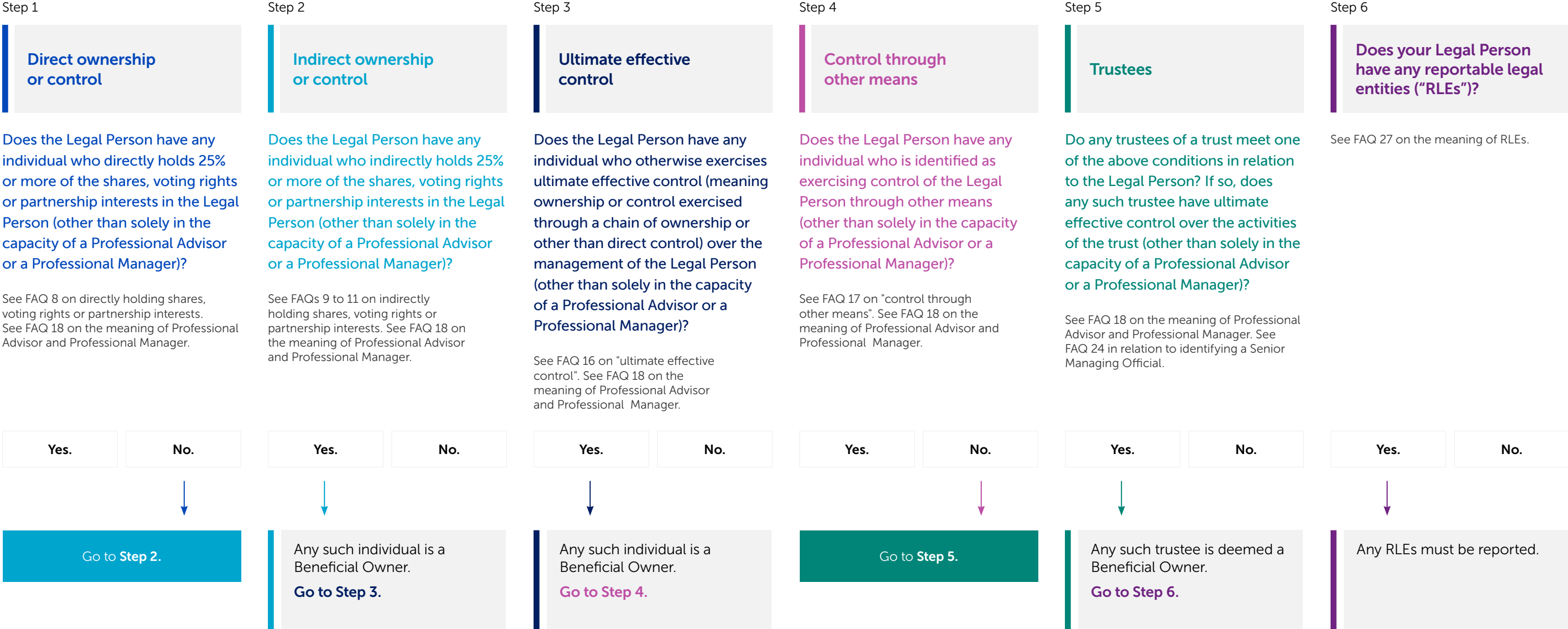
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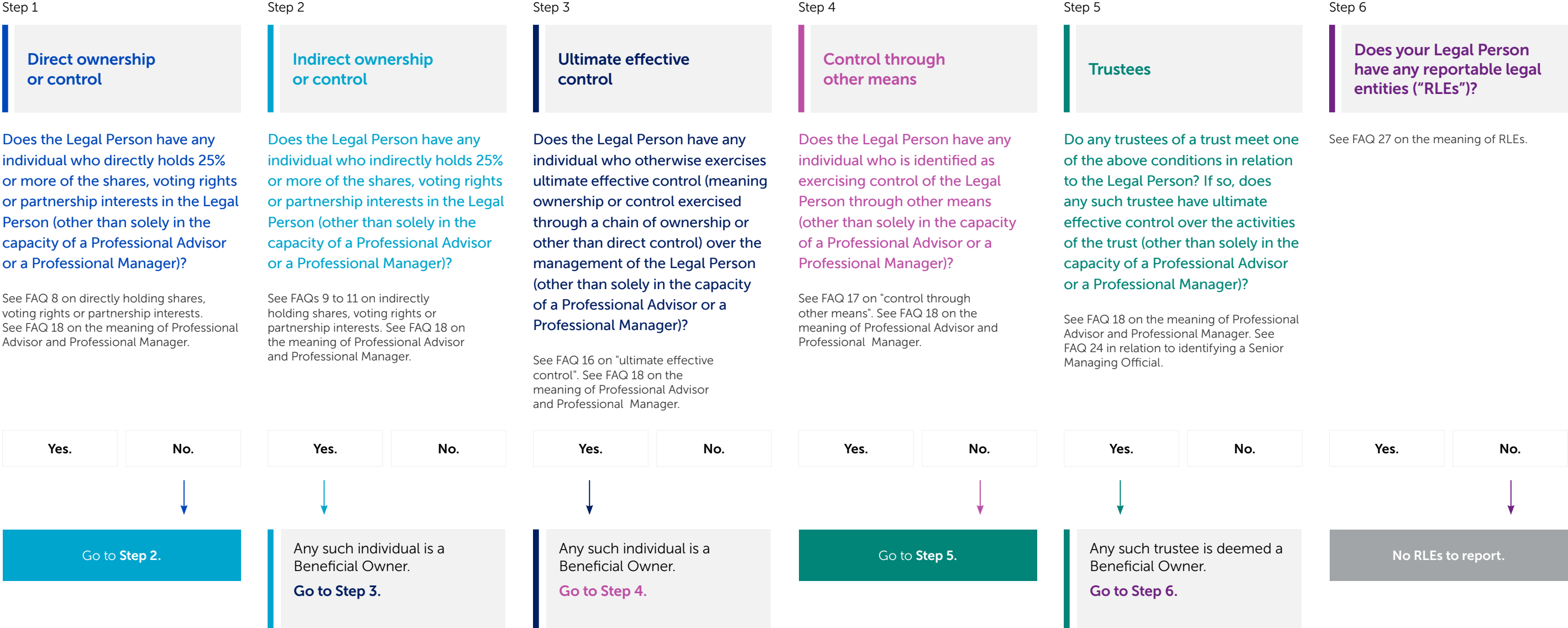
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Yes.

No.



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Step 5

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Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



There is no individual or trustee who meets the definition of a Beneficial Owner so the Legal Person's Senior Managing Official shall be identified instead.
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Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

See FAQ 27 on the meaning of RLEs.

Yes.

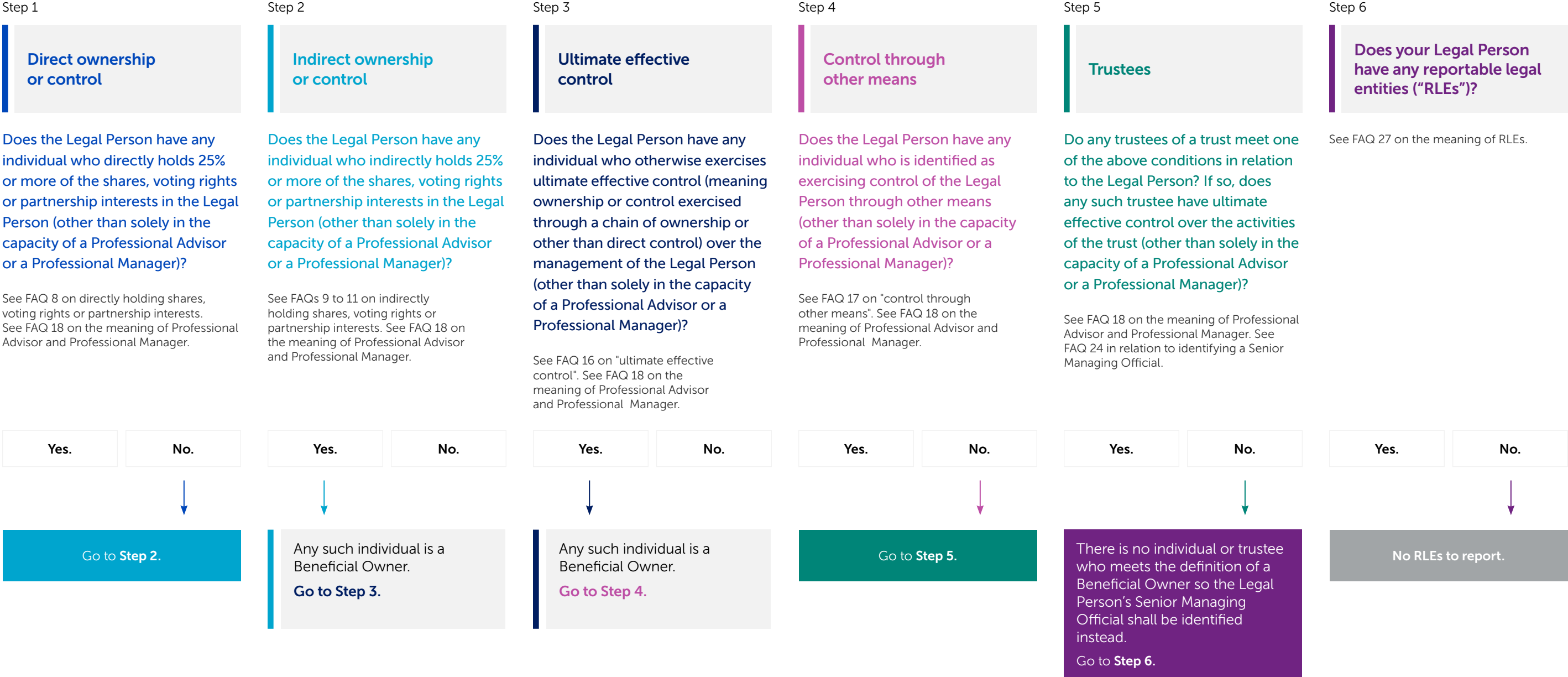
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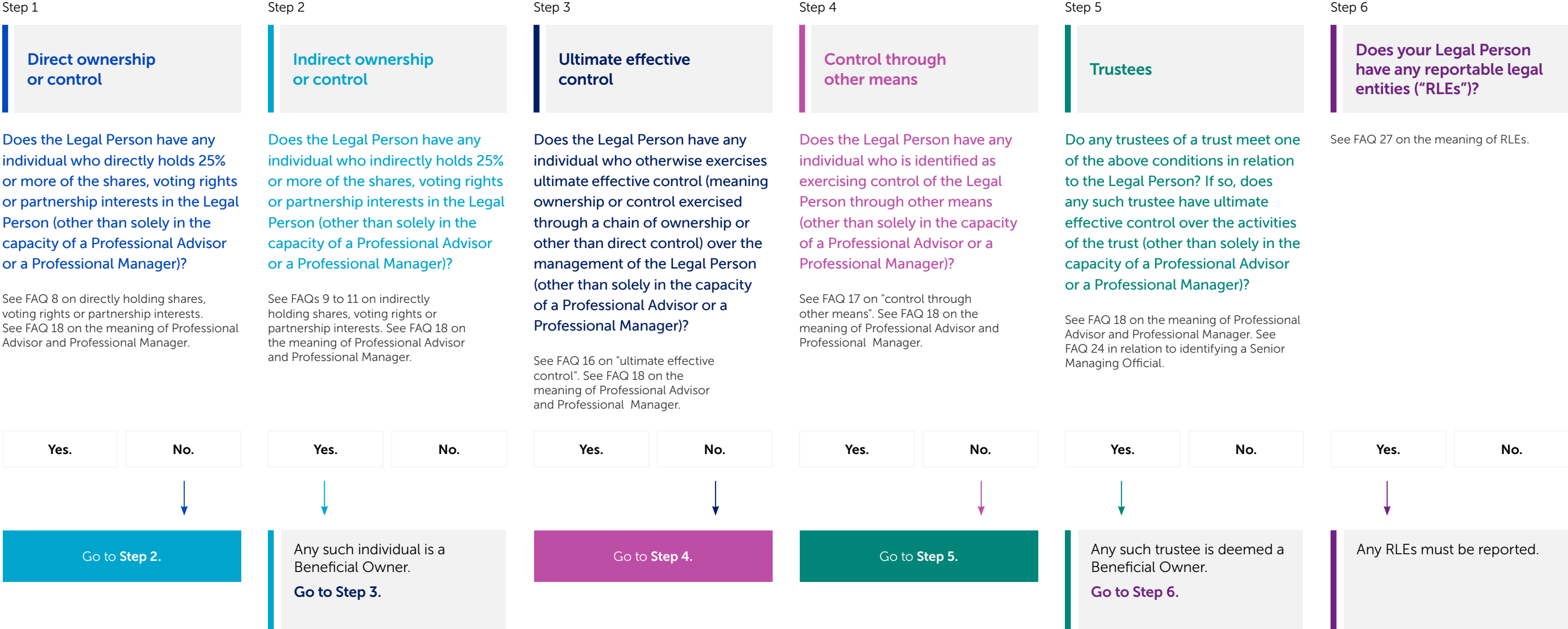
Any RLEs must be reported.



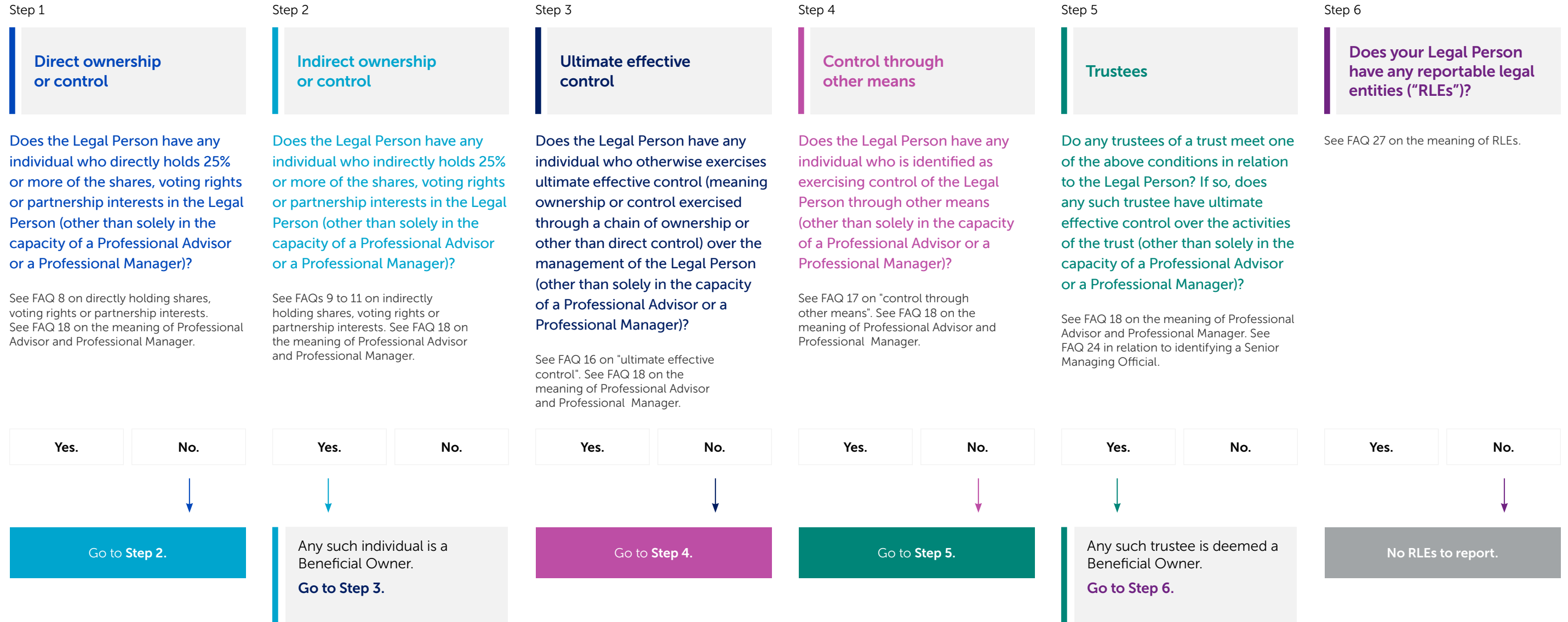
Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



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Yes.

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Yes.

No.



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Step 4

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See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



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Step 5

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Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



There is no individual or trustee who meets the definition of a Beneficial Owner so the Legal Person's Senior Managing Official shall be identified instead.
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Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

See FAQ 27 on the meaning of RLEs.

Yes.

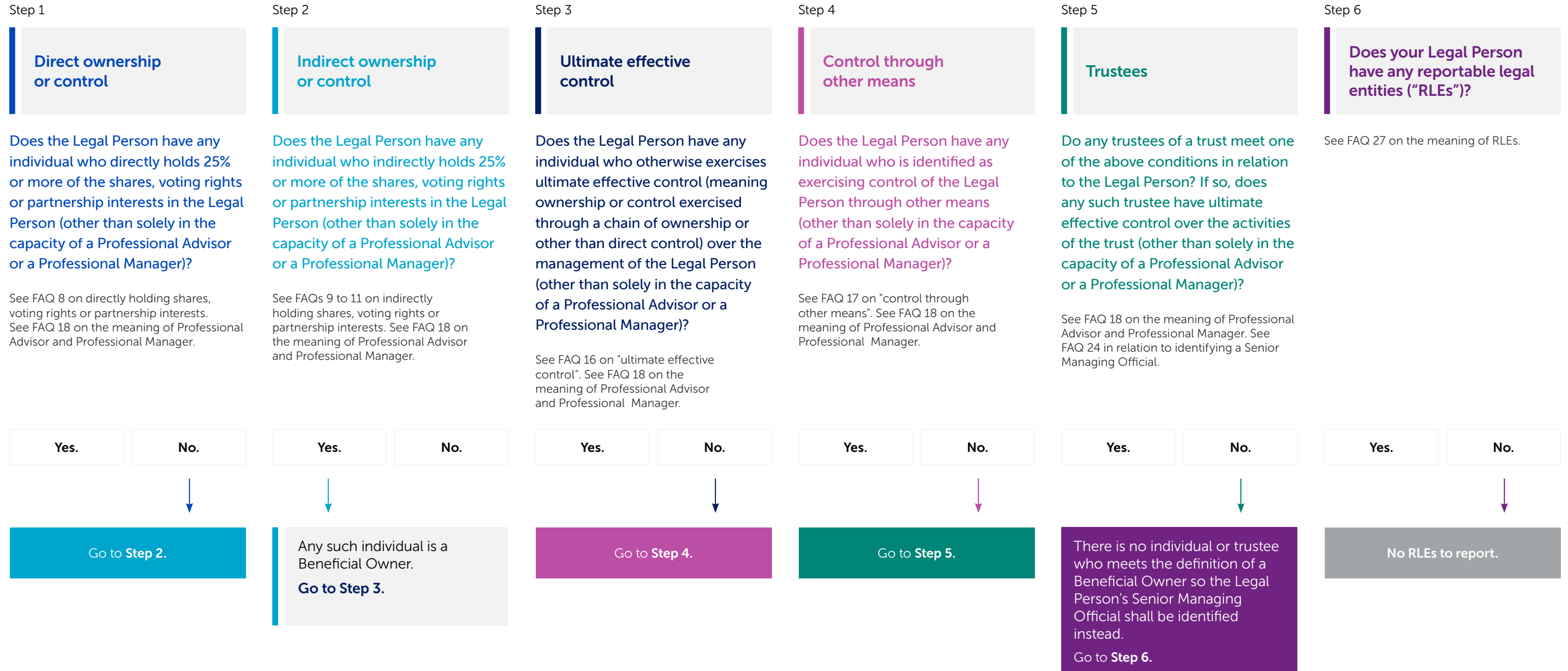
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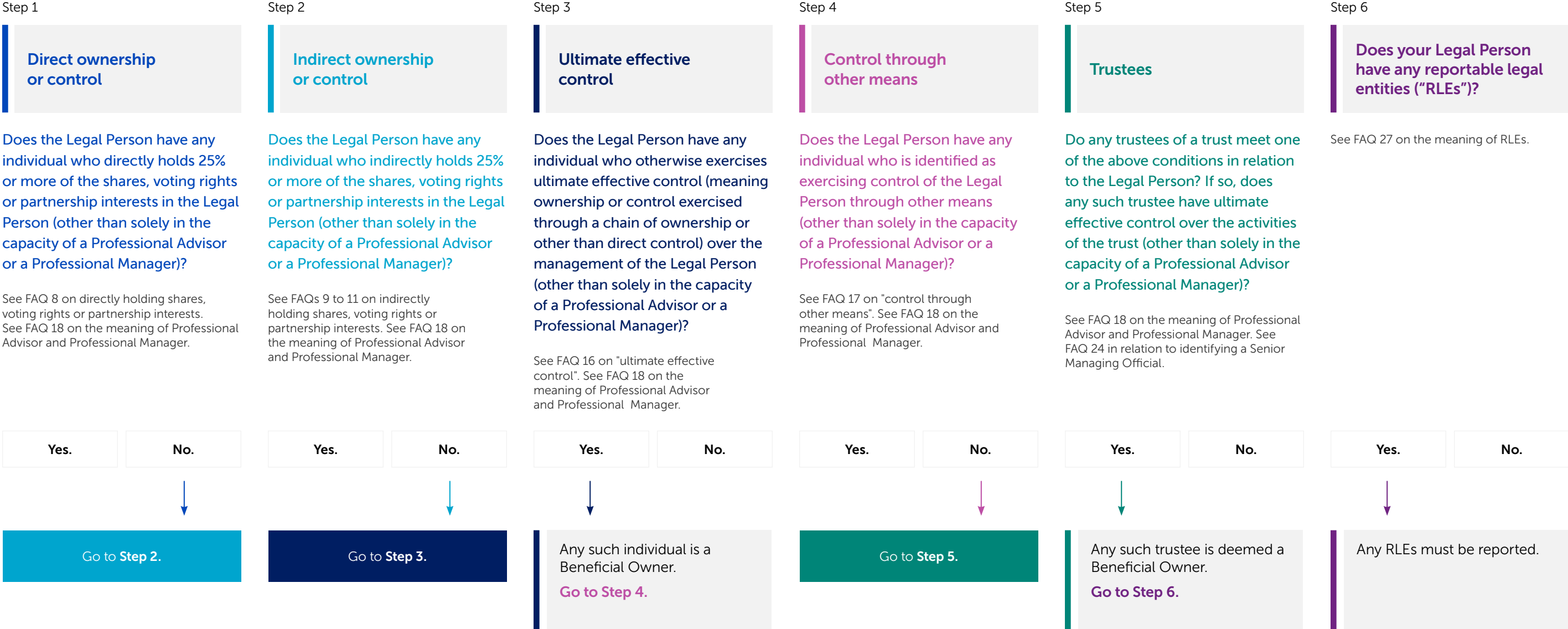
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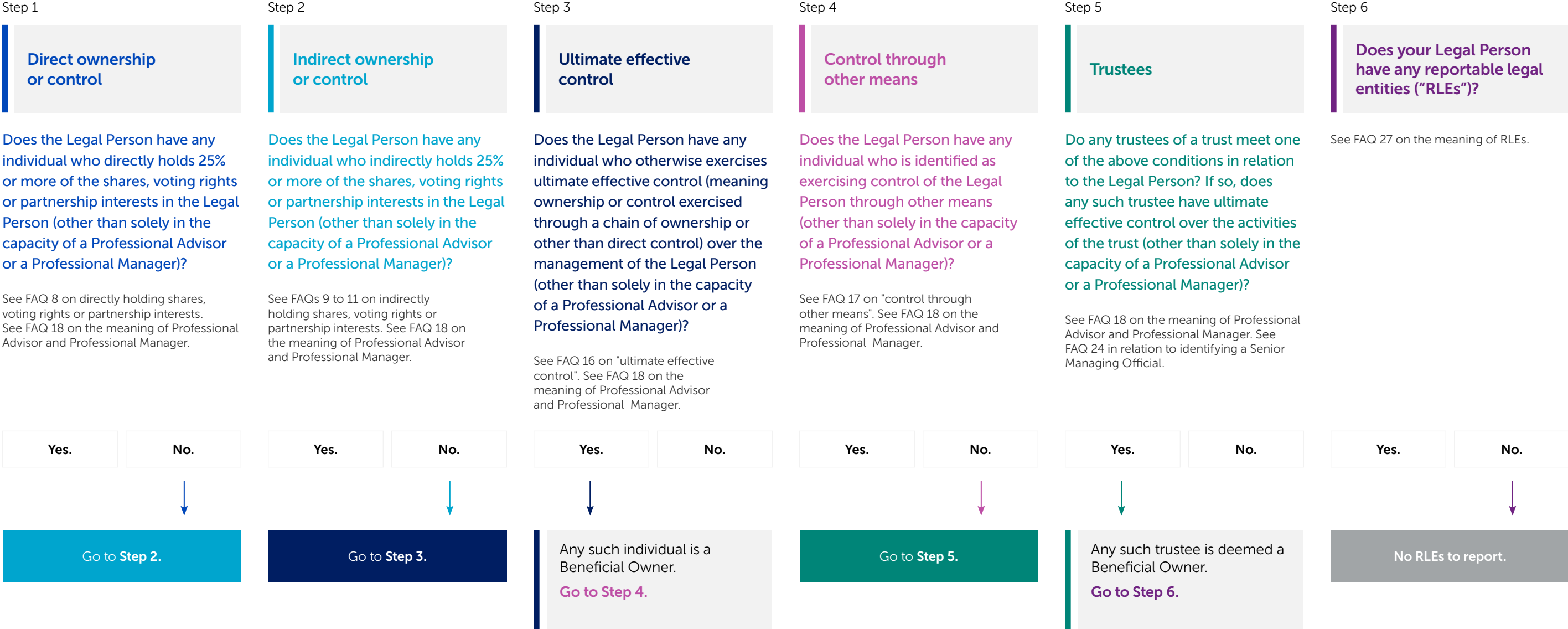
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Yes.

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Any such individual is a Beneficial Owner.
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Yes.

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Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

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Yes.

No.



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Yes.

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Yes.

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Yes.

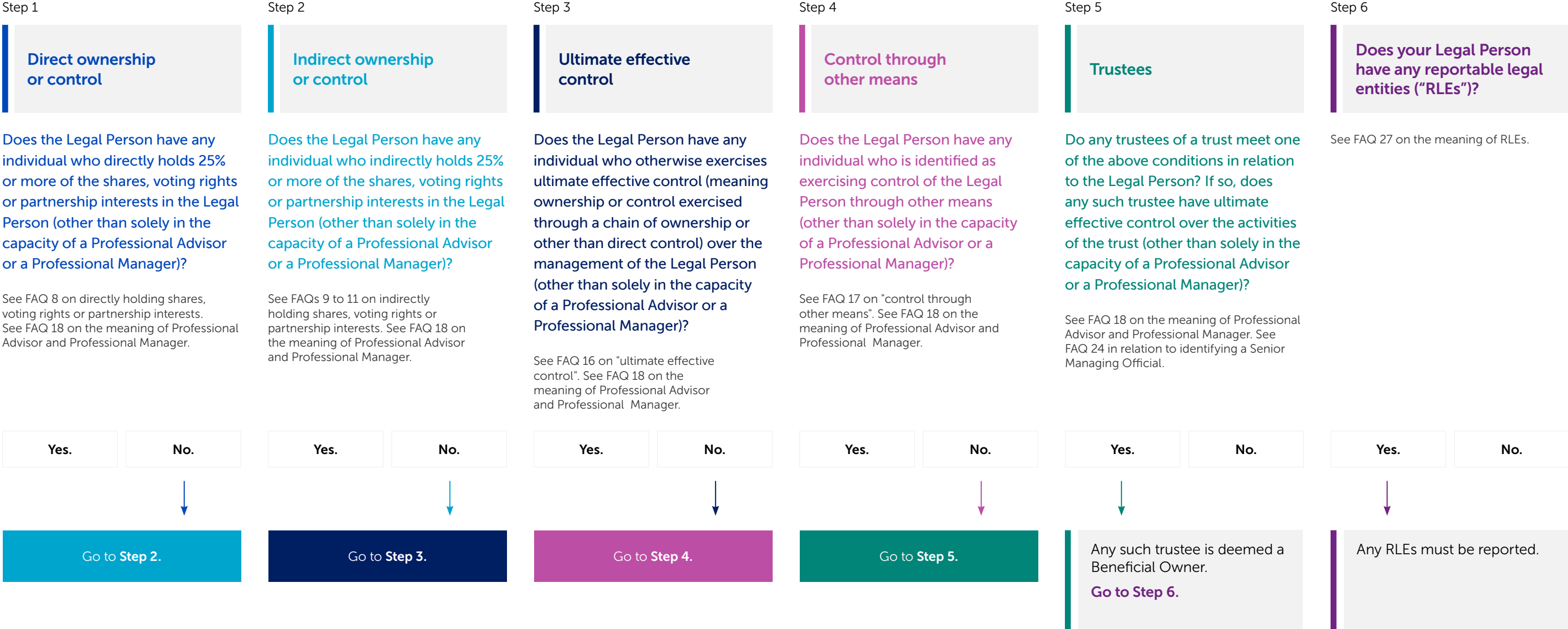
No.



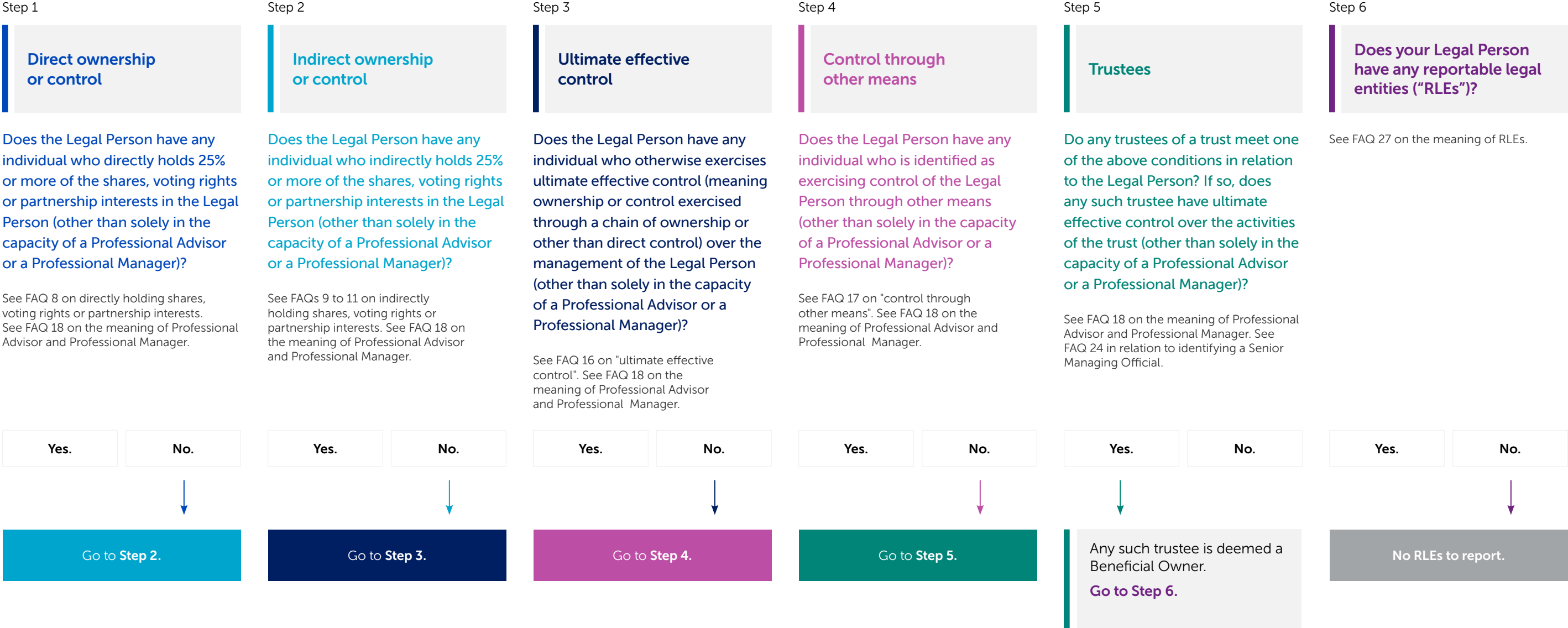
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Yes.

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Yes.

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See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



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Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

See FAQ 27 on the meaning of RLEs.

Yes.

No.



Any RLEs must be reported.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 2.

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 3.

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 4.

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



There is no individual or trustee who meets the definition of a Beneficial Owner so the Legal Person's Senior Managing Official shall be identified instead.

Go to Step 6.

Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

See FAQ 27 on the meaning of RLEs.

Yes.

No.



No RLEs to report.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.

[Go to Step 2.](#)

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.

[Go to Step 3.](#)

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

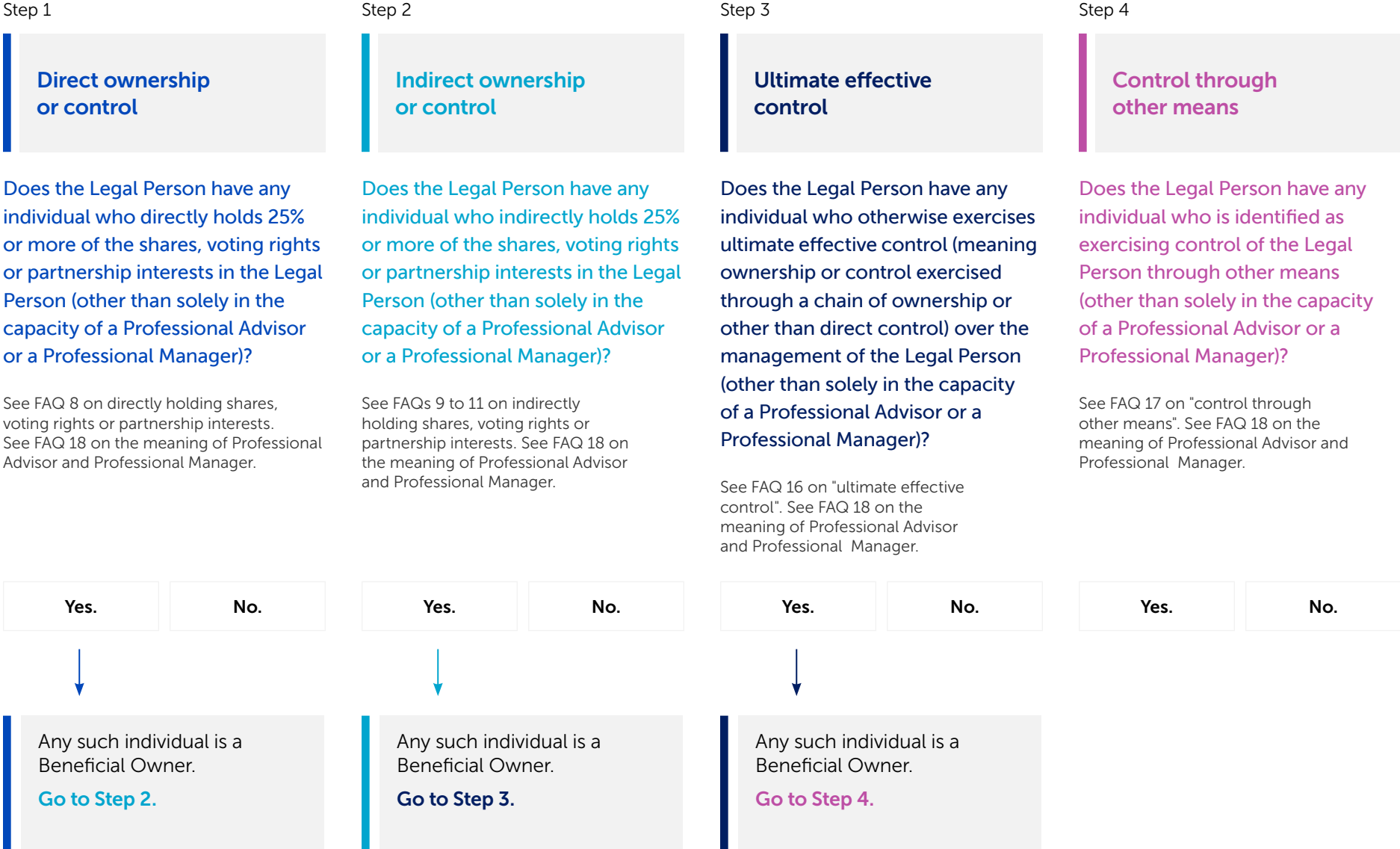
See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

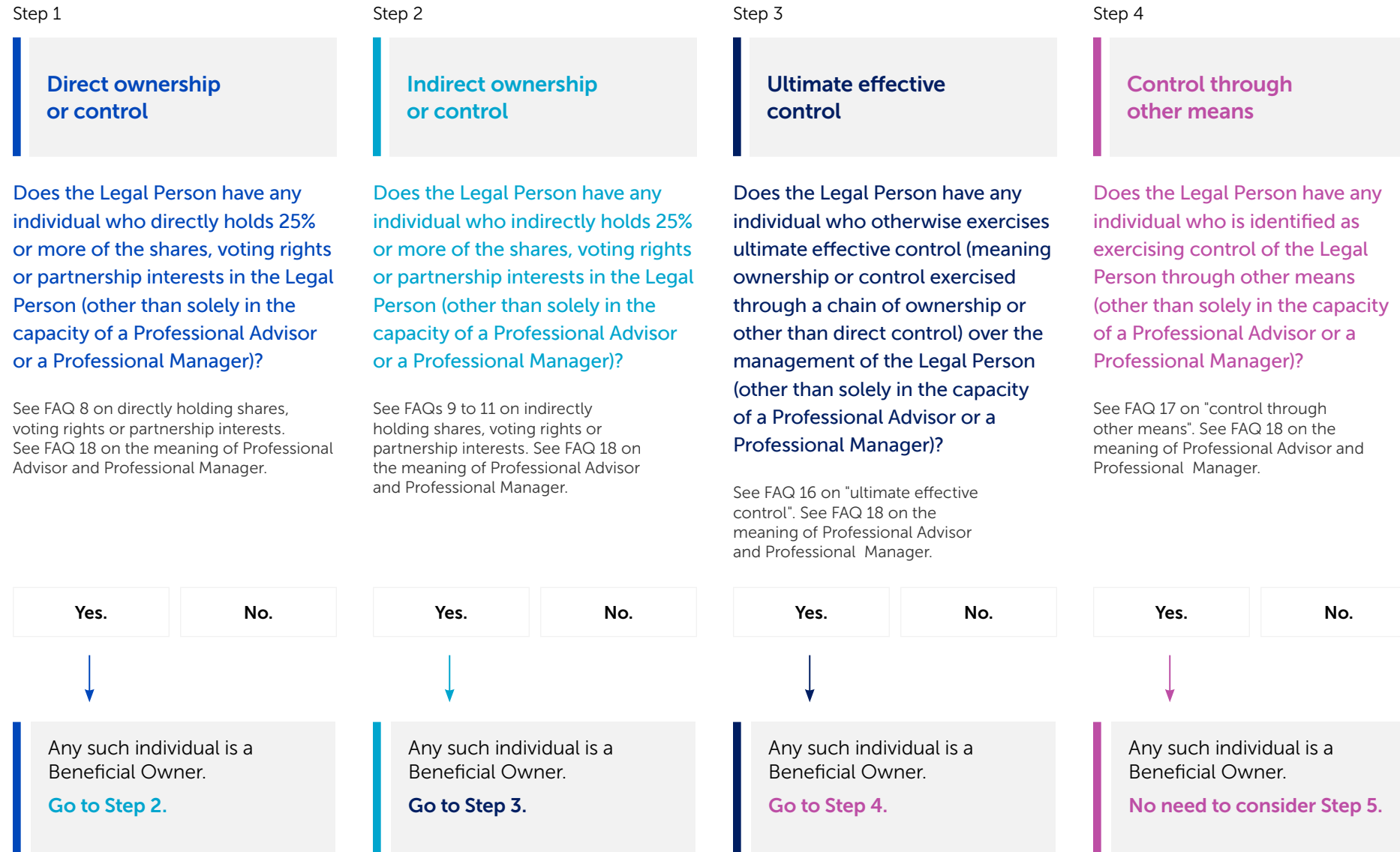
No.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes. **No.**



Any such individual is a Beneficial Owner.
Go to Step 2.

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes. **No.**



Go to Step 3.

Step 3

Ultimate effective control

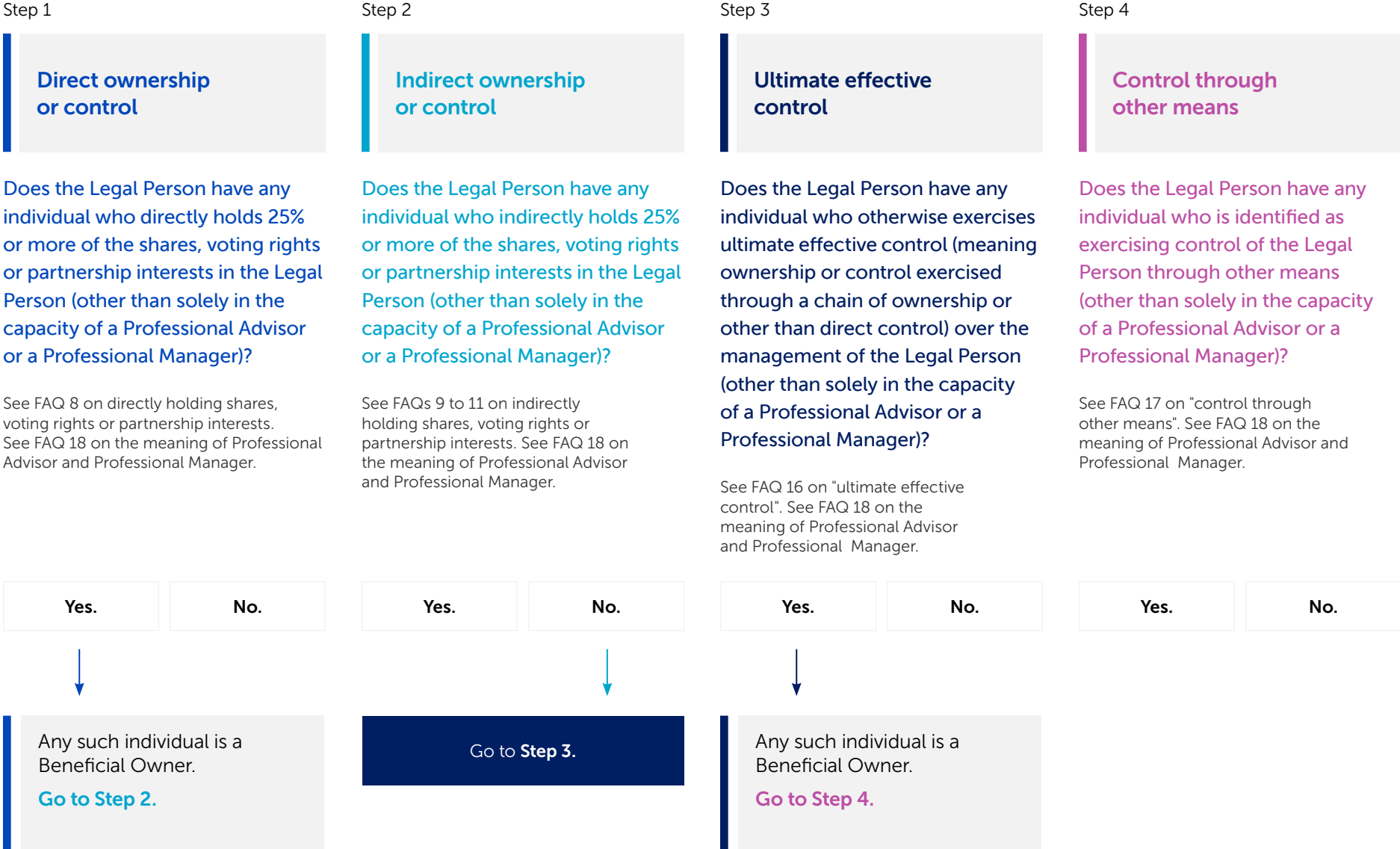
Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

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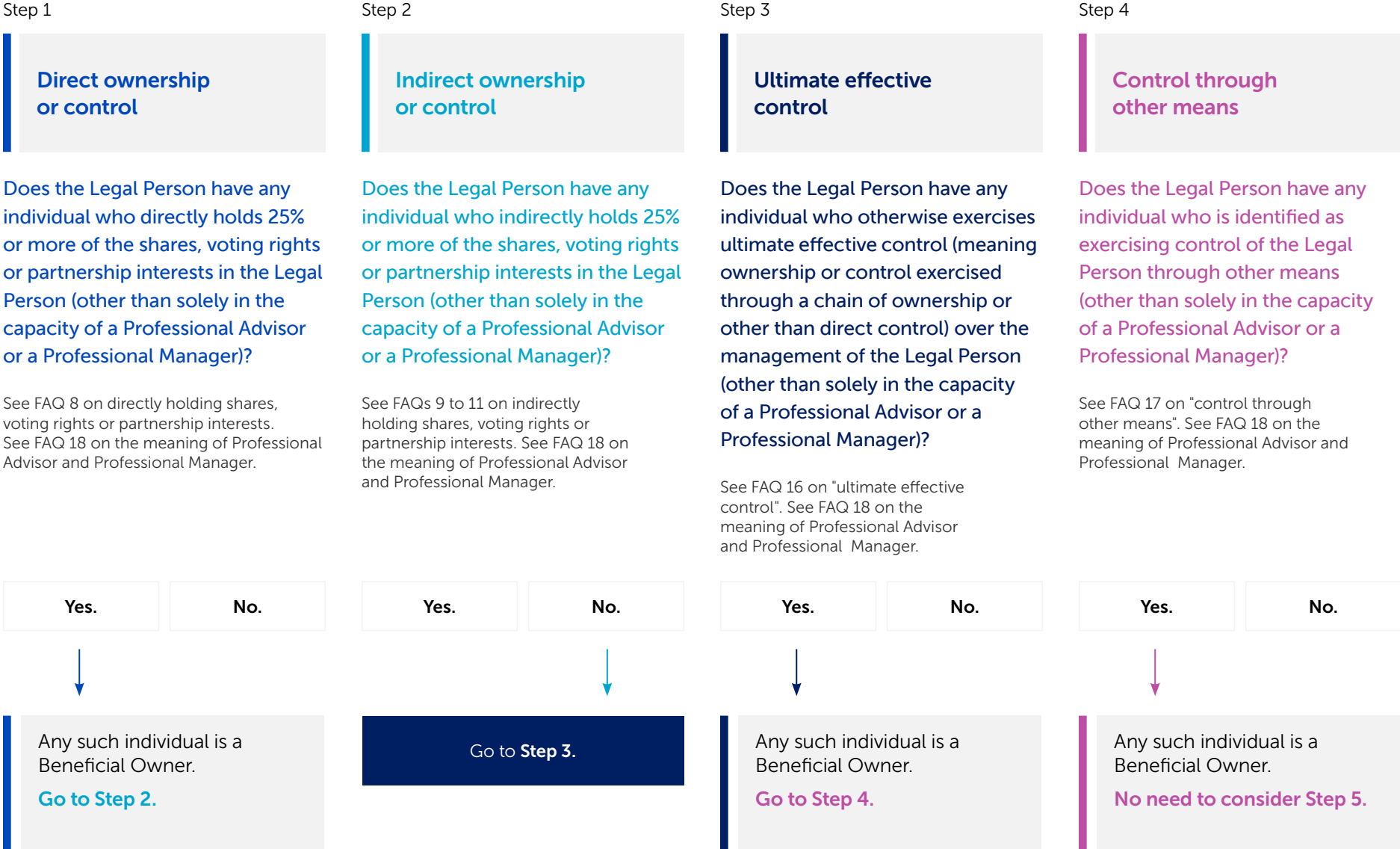
Yes. **No.**



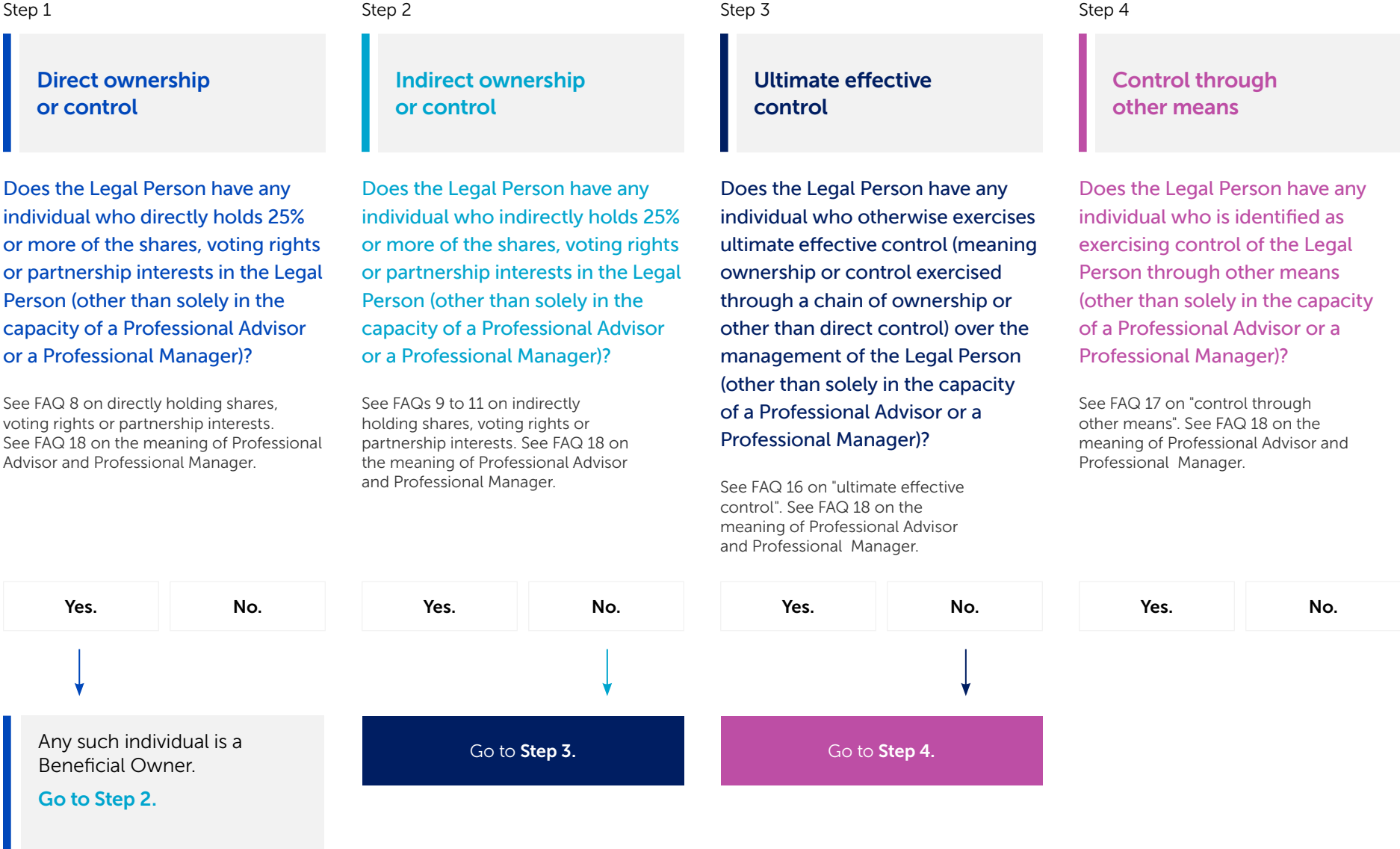
Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



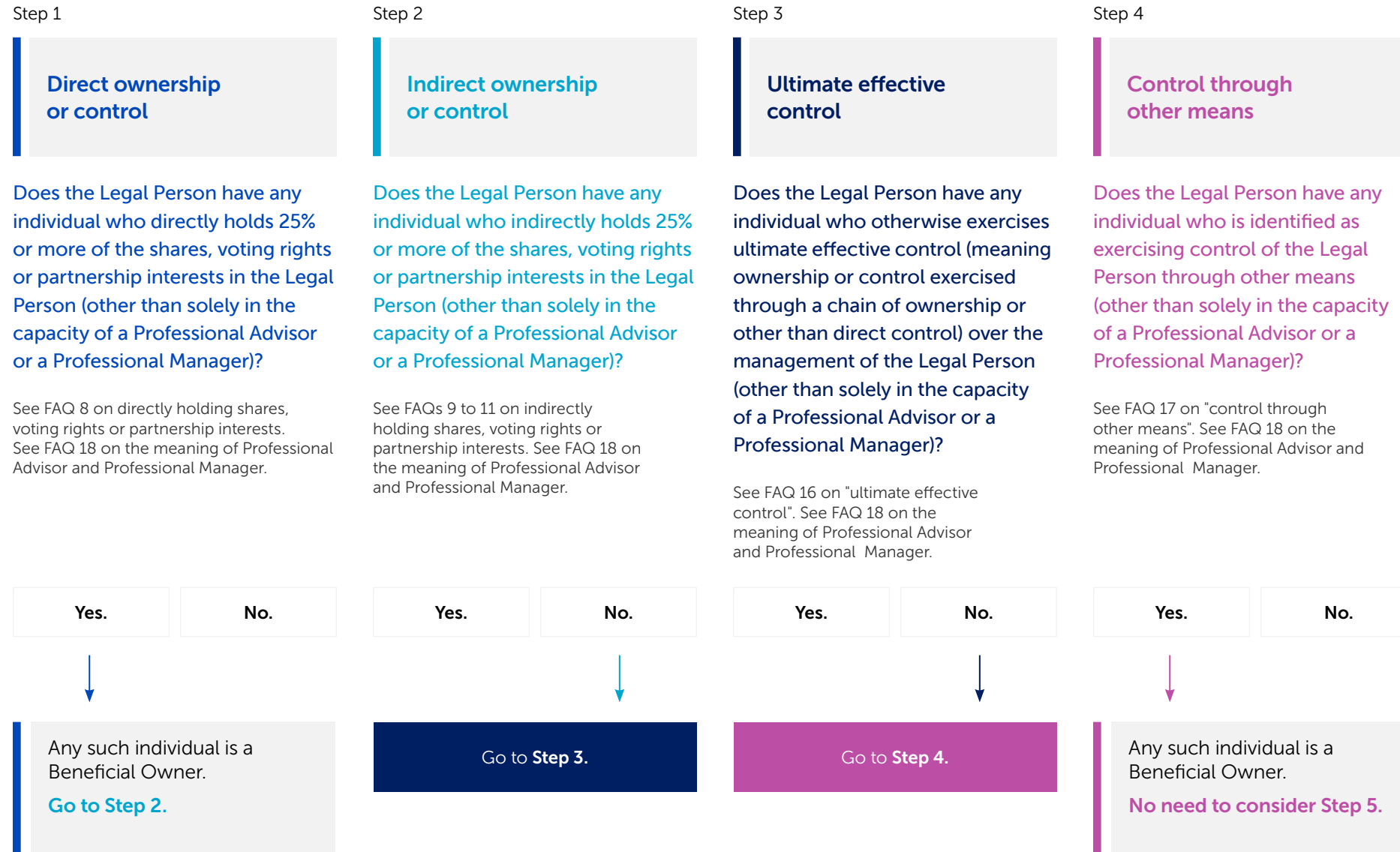
Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

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See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 2.

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 3.

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 4.

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

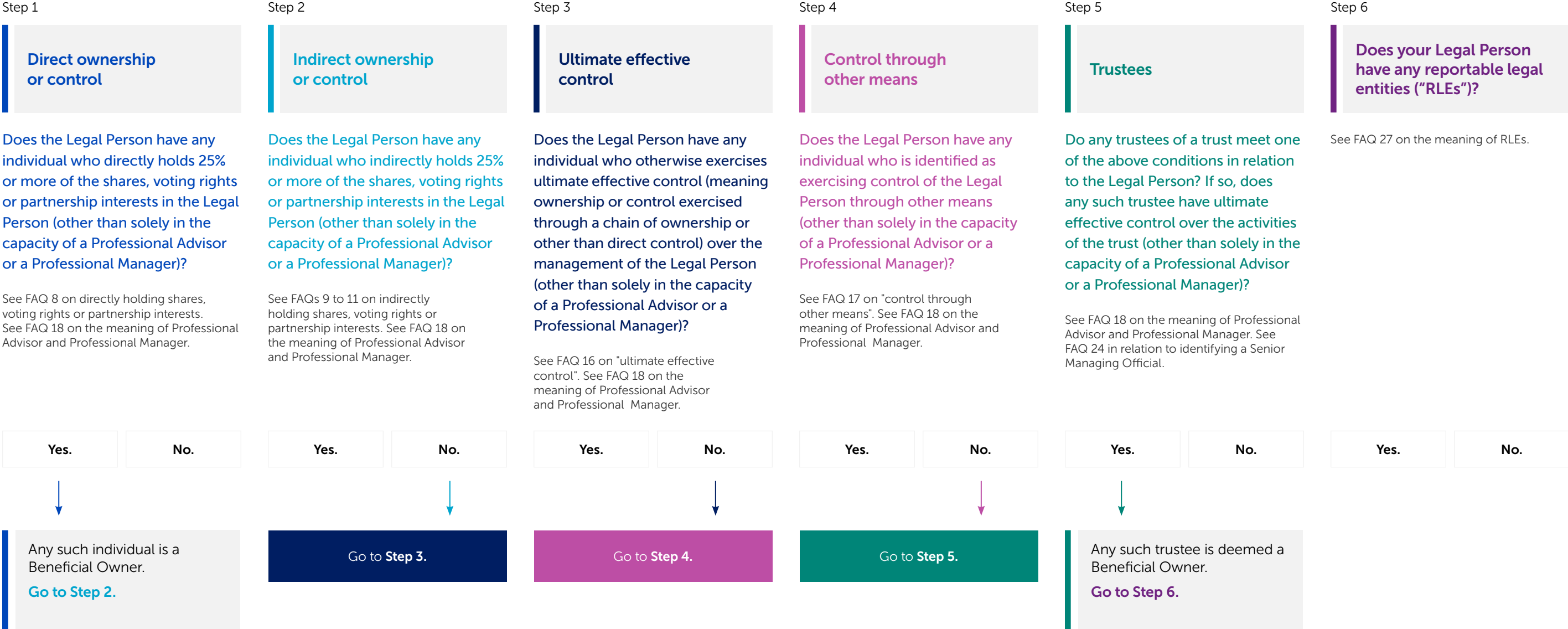
See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 2.

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 3.

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 4.

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



There is no individual or trustee who meets the definition of a Beneficial Owner so the Legal Person's Senior Managing Official shall be identified instead.
Go to Step 6.

Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

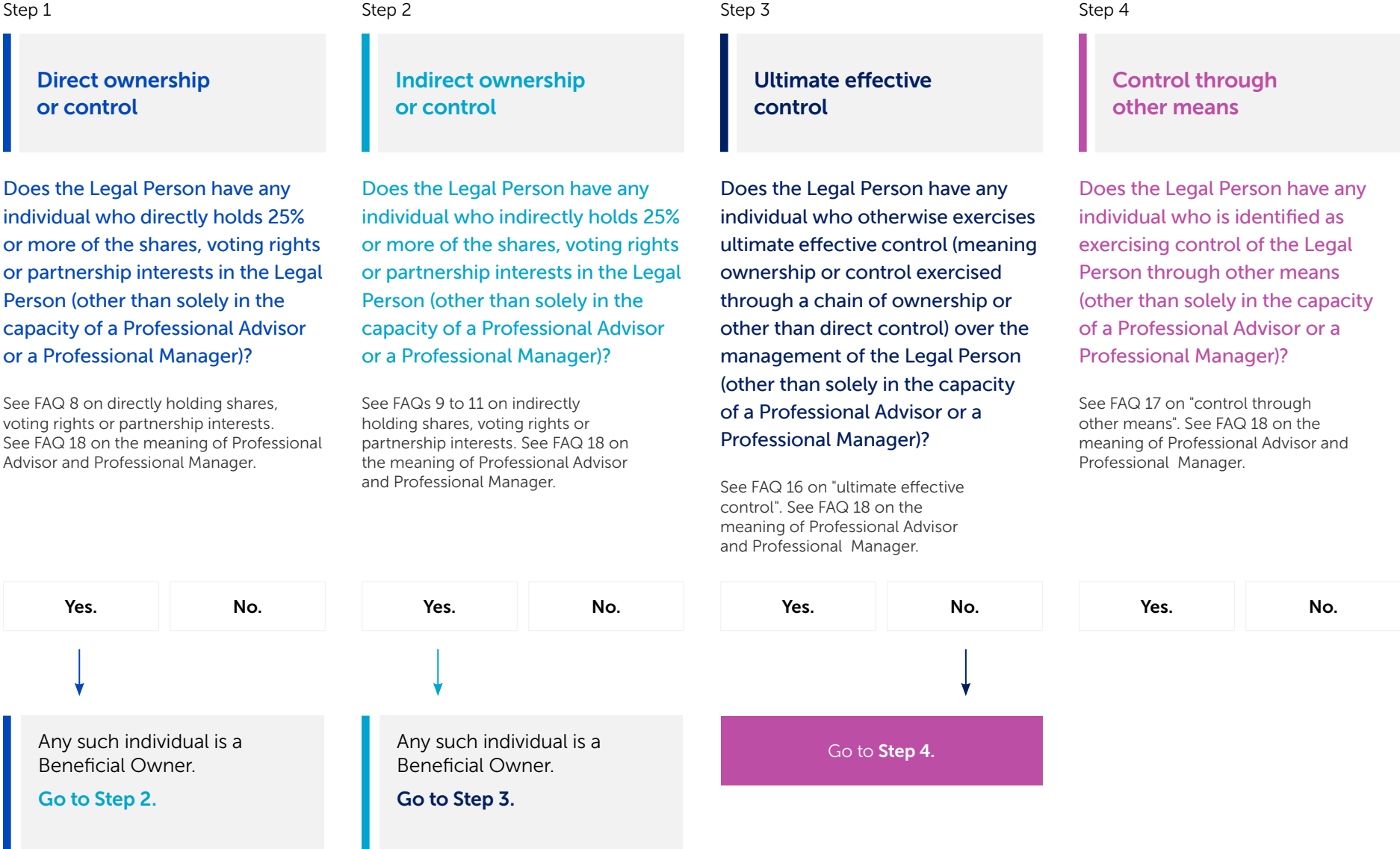
See FAQ 27 on the meaning of RLEs.

Yes.

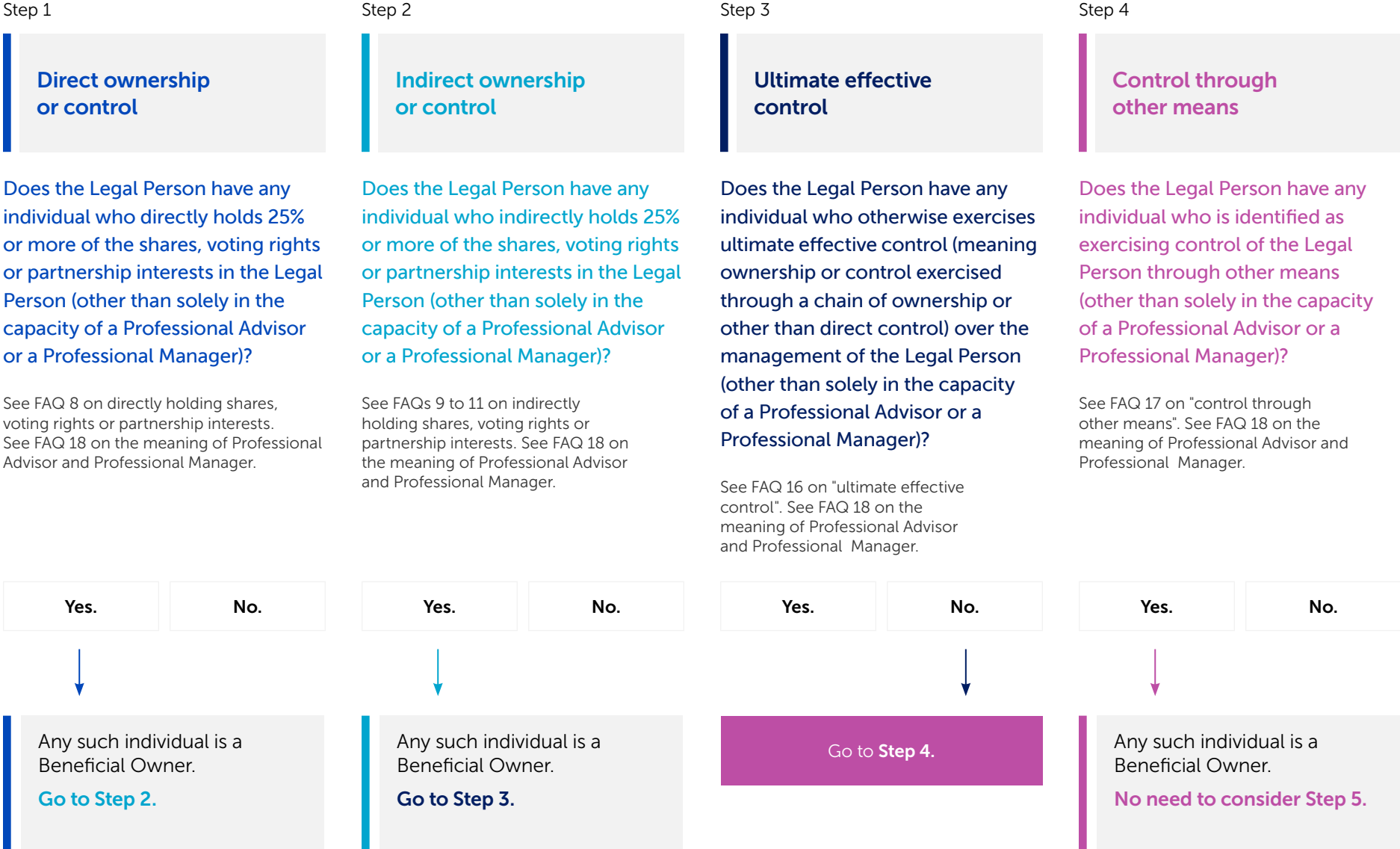
No.



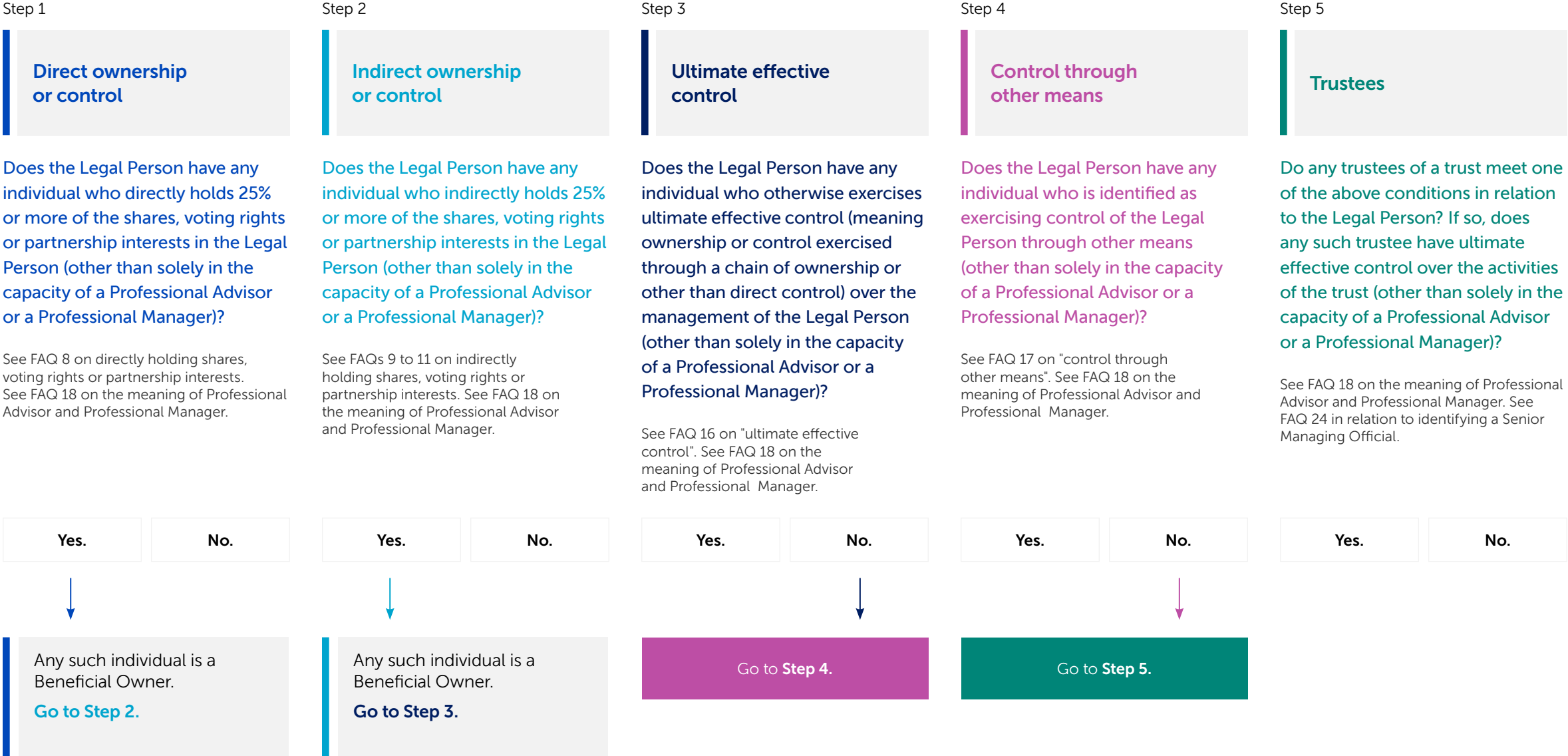
Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



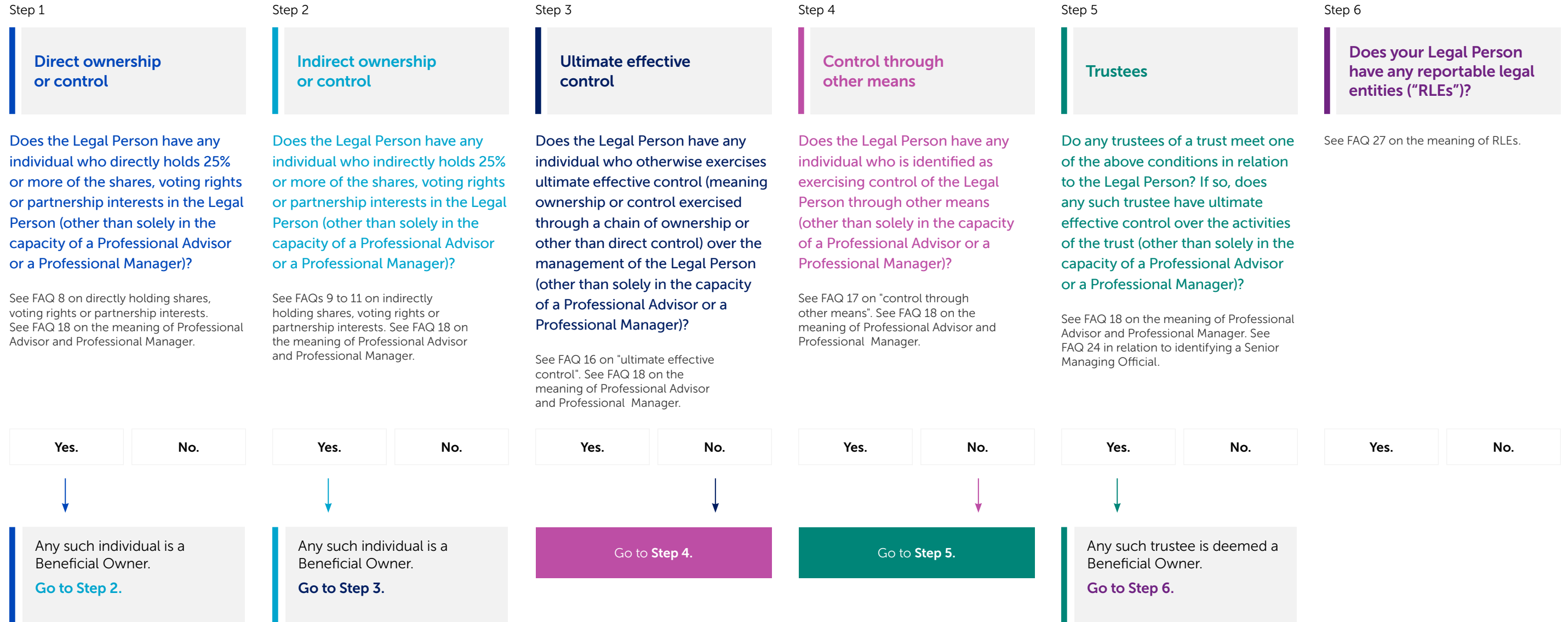
Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



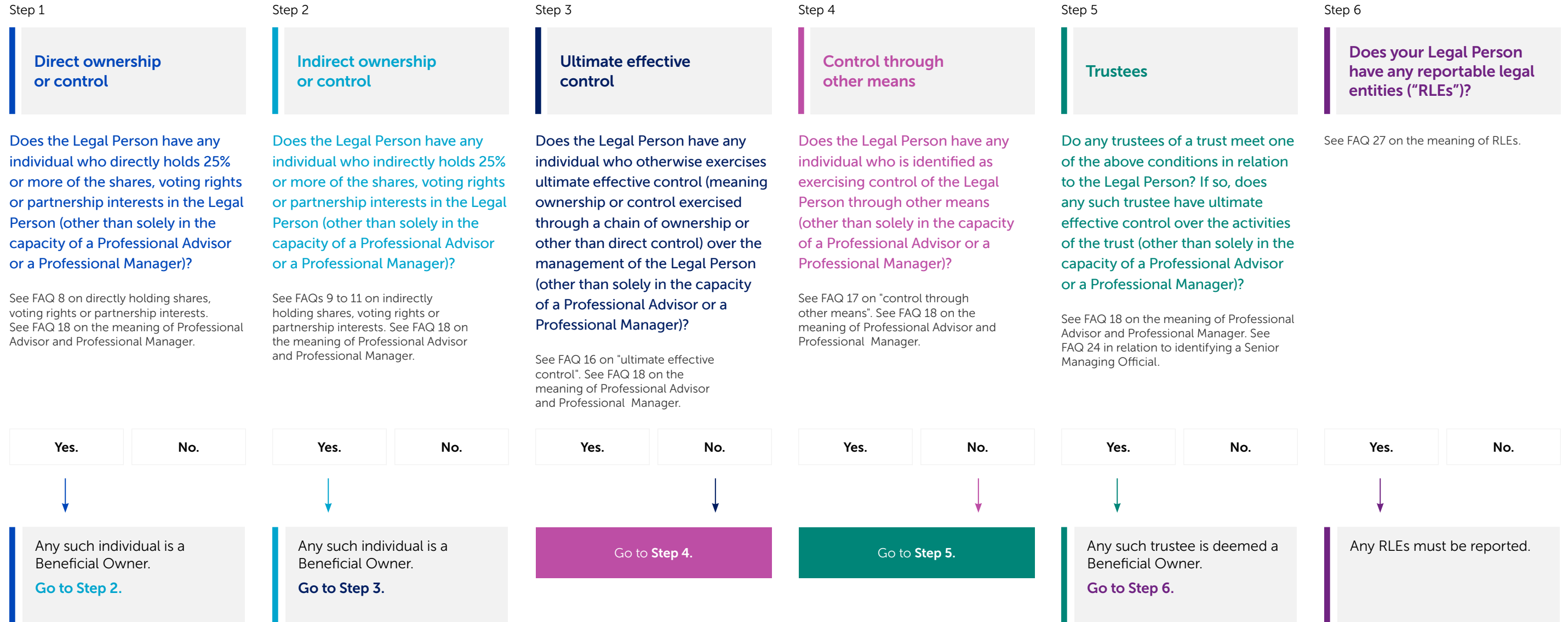
Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



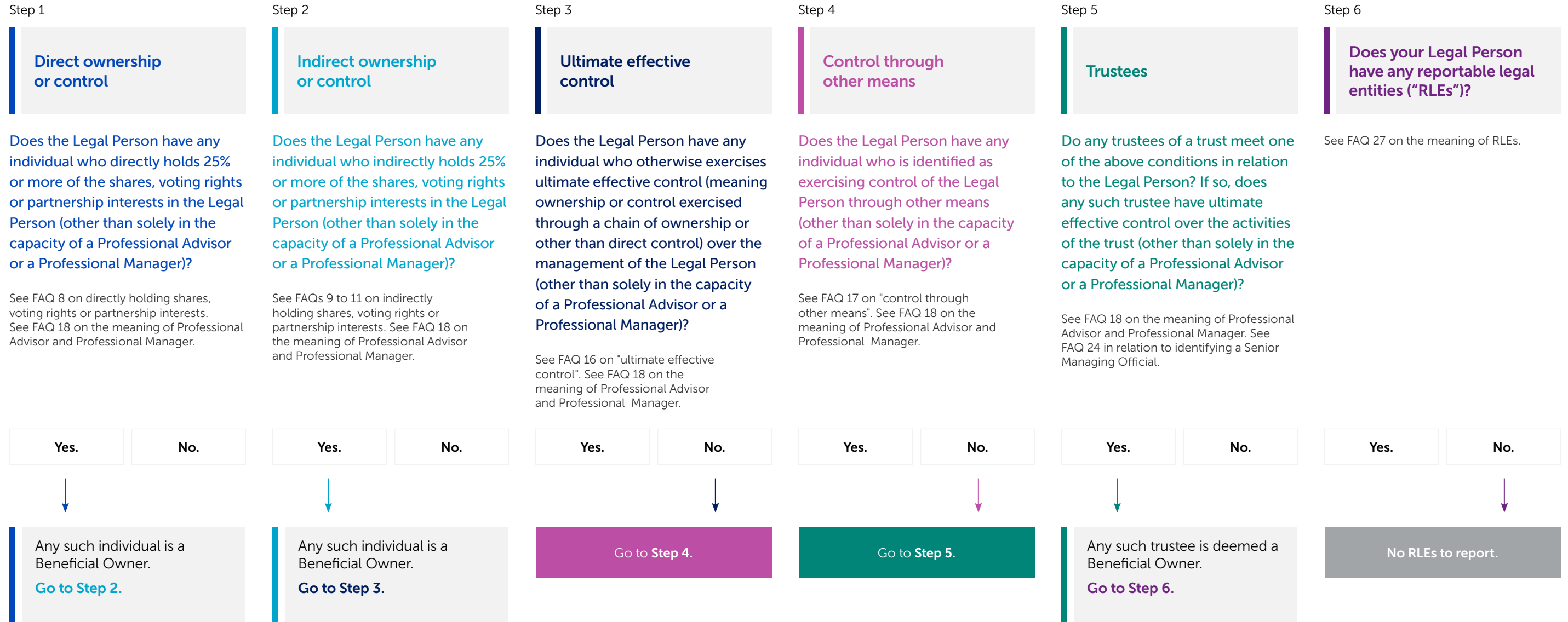
Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 2.

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 3.

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 4.

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



There is no individual or trustee who meets the definition of a Beneficial Owner so the Legal Person's Senior Managing Official shall be identified instead.
Go to Step 6.

Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

See FAQ 27 on the meaning of RLEs.

Yes.

No.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 2.

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 3.

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 4.

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



There is no individual or trustee who meets the definition of a Beneficial Owner so the Legal Person's Senior Managing Official shall be identified instead.
Go to Step 6.

Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

See FAQ 27 on the meaning of RLEs.

Yes.

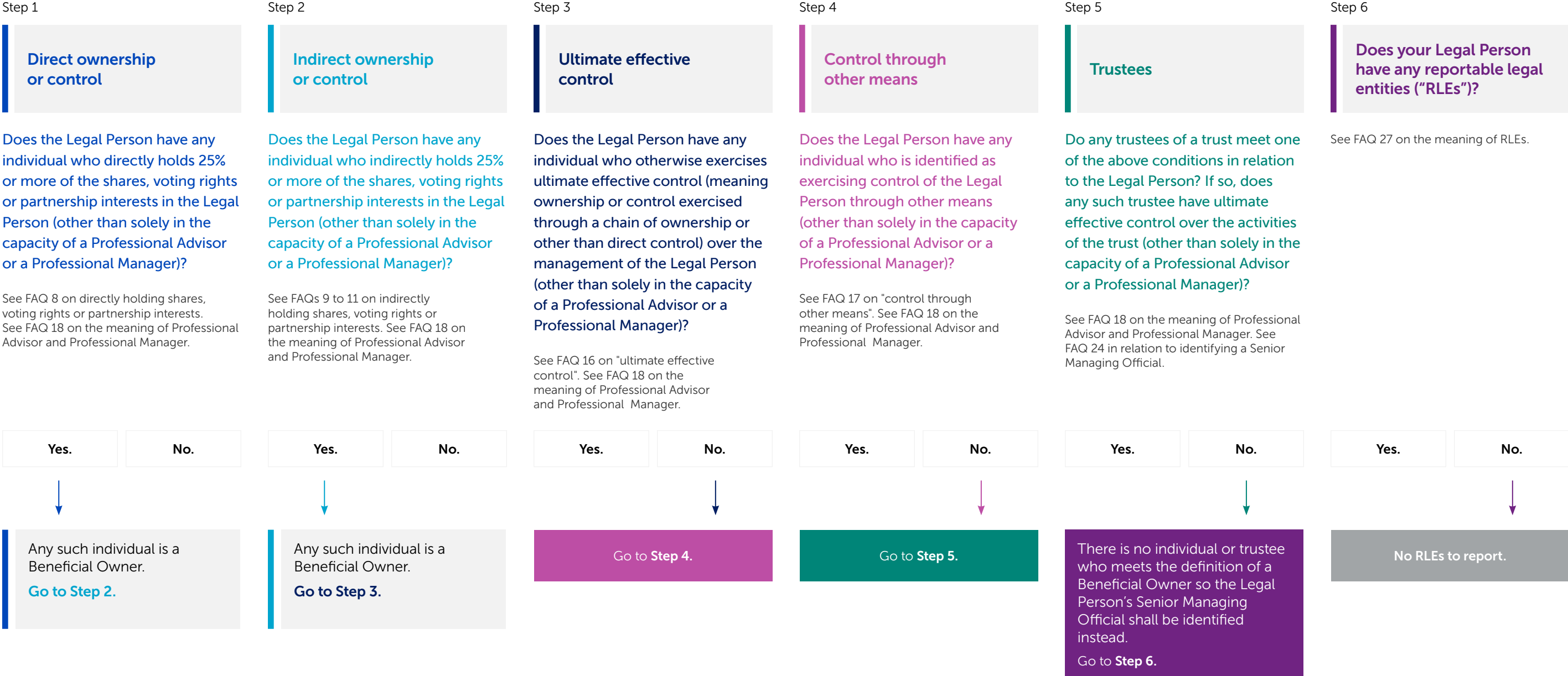
No.



Any RLEs must be reported.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 2.

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 3.

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 4.

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

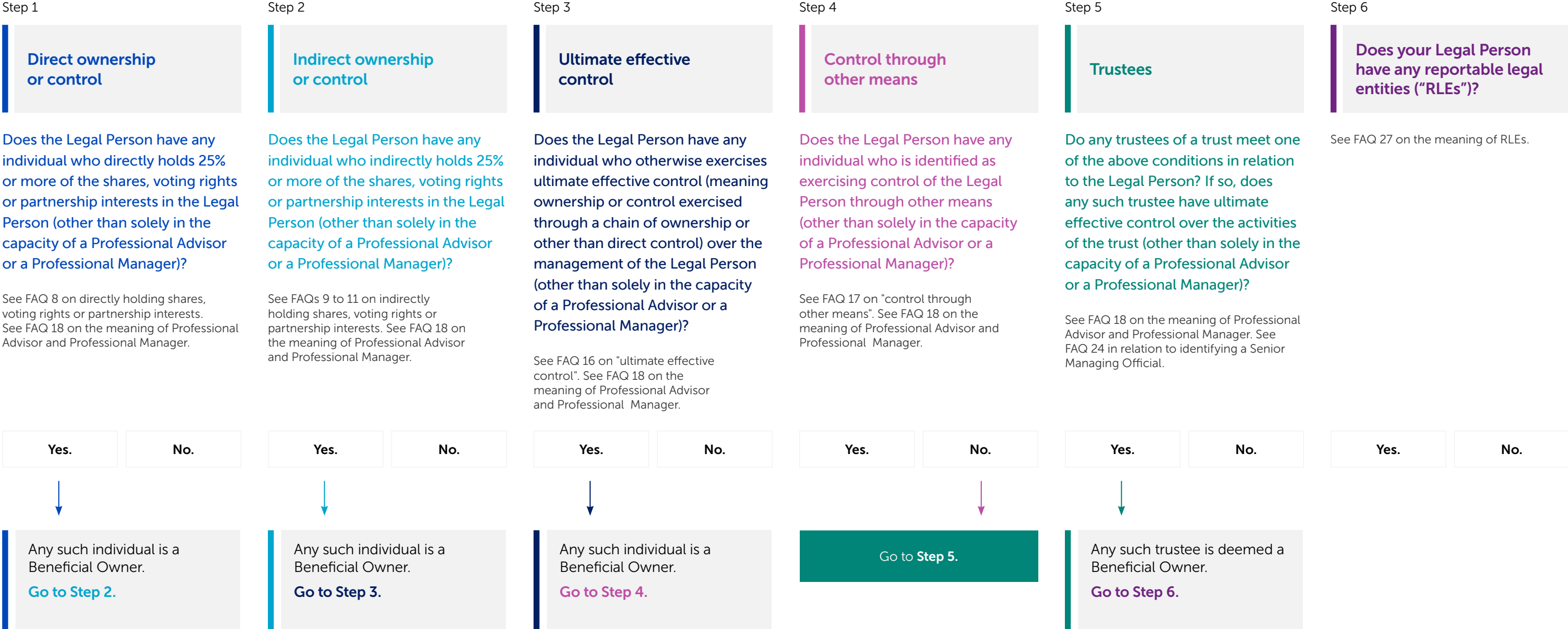
See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 2.

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 3.

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 4.

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



There is no individual or trustee who meets the definition of a Beneficial Owner so the Legal Person's Senior Managing Official shall be identified instead.
Go to Step 6.

Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

See FAQ 27 on the meaning of RLEs.

Yes.

No.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.

[Go to Step 2.](#)

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.

[Go to Step 3.](#)

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.

[Go to Step 4.](#)

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



Any such trustee is deemed a Beneficial Owner.

[Go to Step 6.](#)

Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

See FAQ 27 on the meaning of RLEs.

Yes.

No.



Any RLEs must be reported.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 2.

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 3.

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 4.

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



Any such trustee is deemed a Beneficial Owner.
Go to Step 6.

Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

See FAQ 27 on the meaning of RLEs.

Yes.

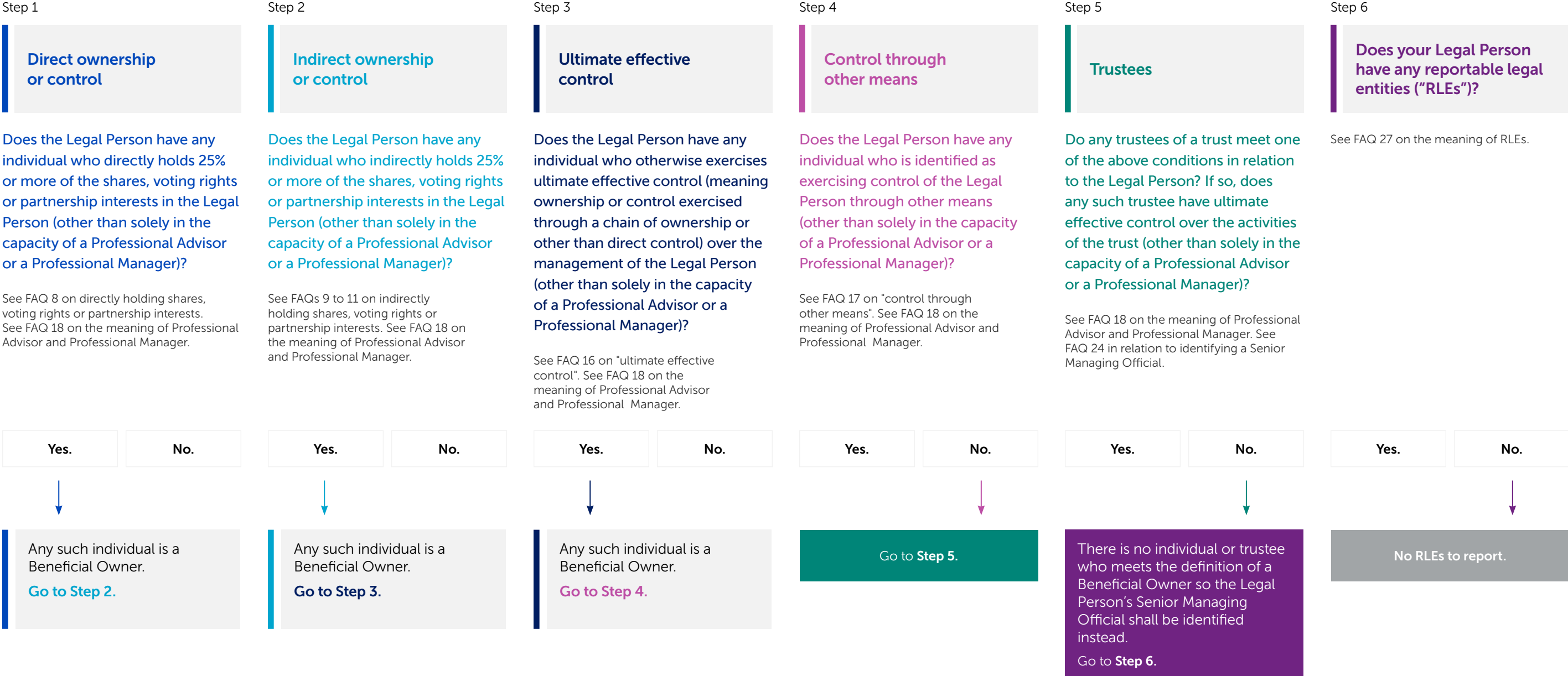
No.



No RLEs to report.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 2.

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 3.

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 4.

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



There is no individual or trustee who meets the definition of a Beneficial Owner so the Legal Person's Senior Managing Official shall be identified instead.
Go to Step 6.

Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

See FAQ 27 on the meaning of RLEs.

Yes.

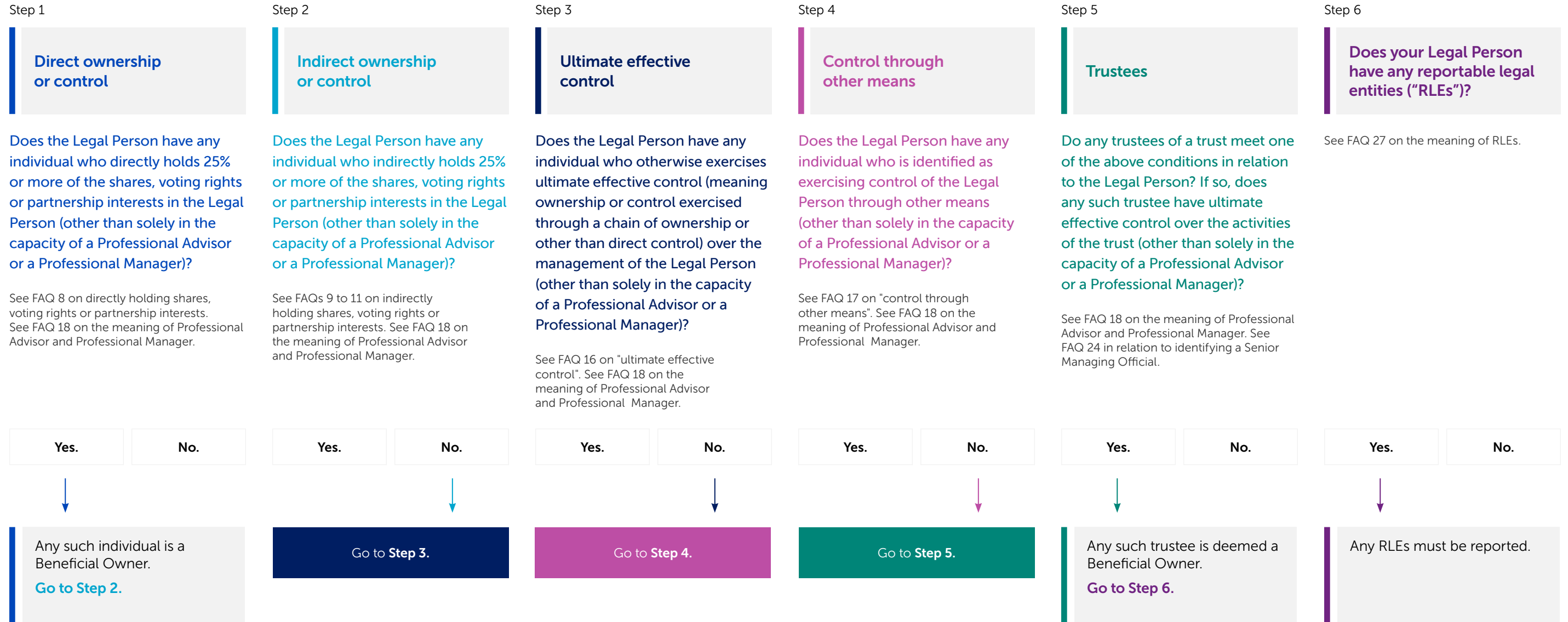
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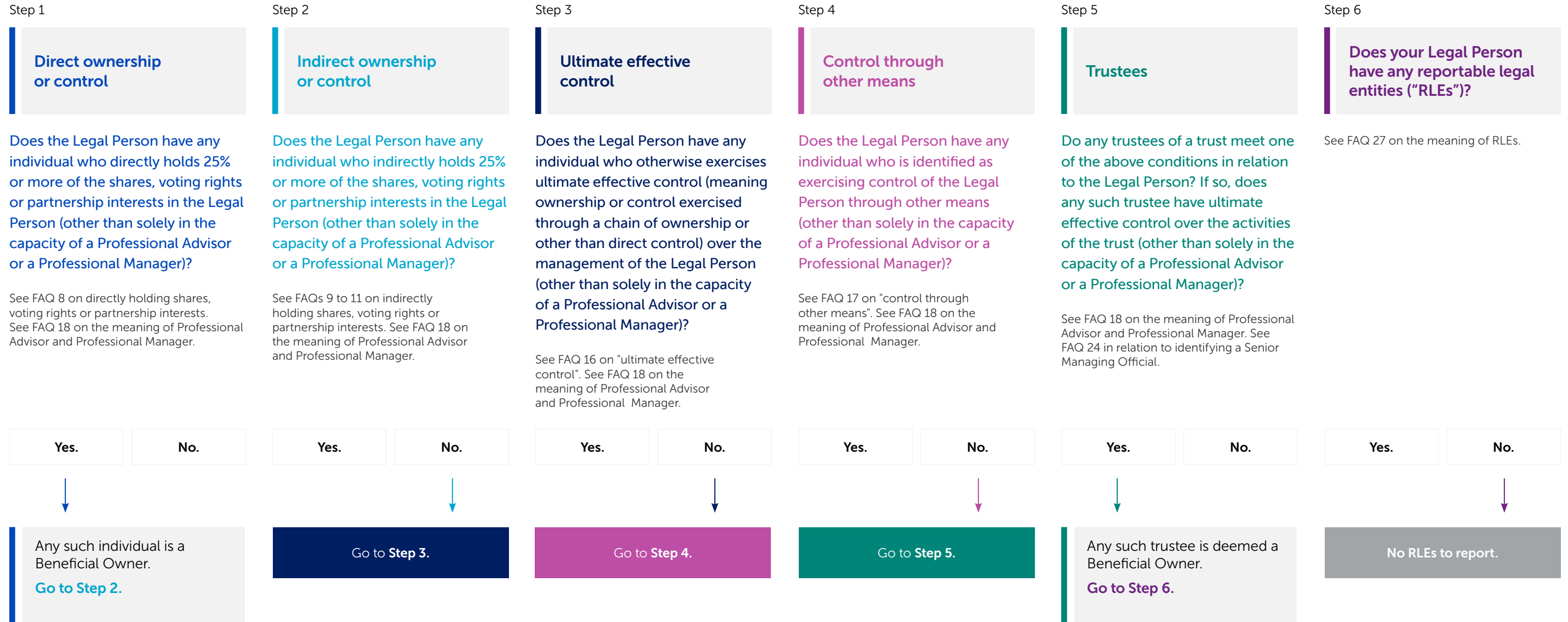
Any RLEs must be reported.



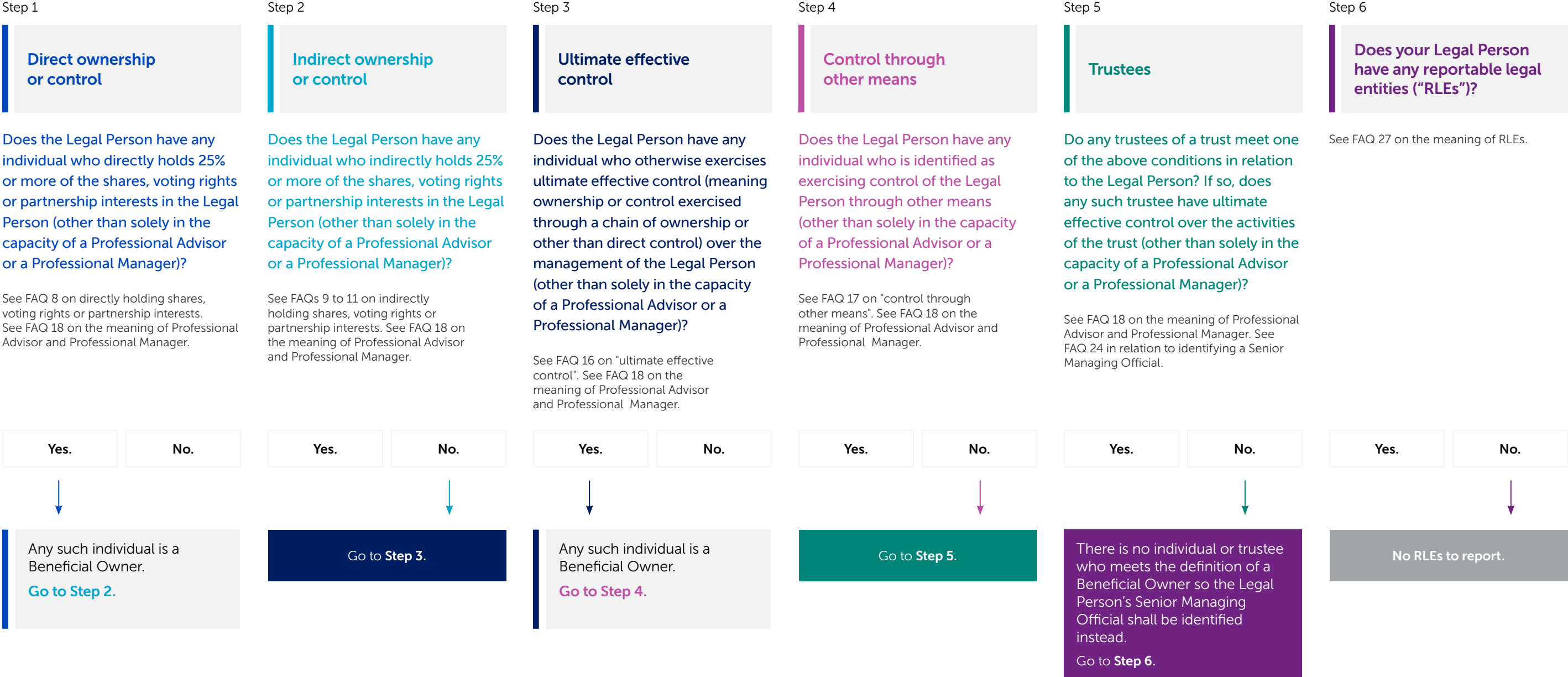
Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.

Go to Step 2.

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 3.

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.

Go to Step 4.

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



Any such trustee is deemed a Beneficial Owner.

Go to Step 6.

Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

See FAQ 27 on the meaning of RLEs.

Yes.

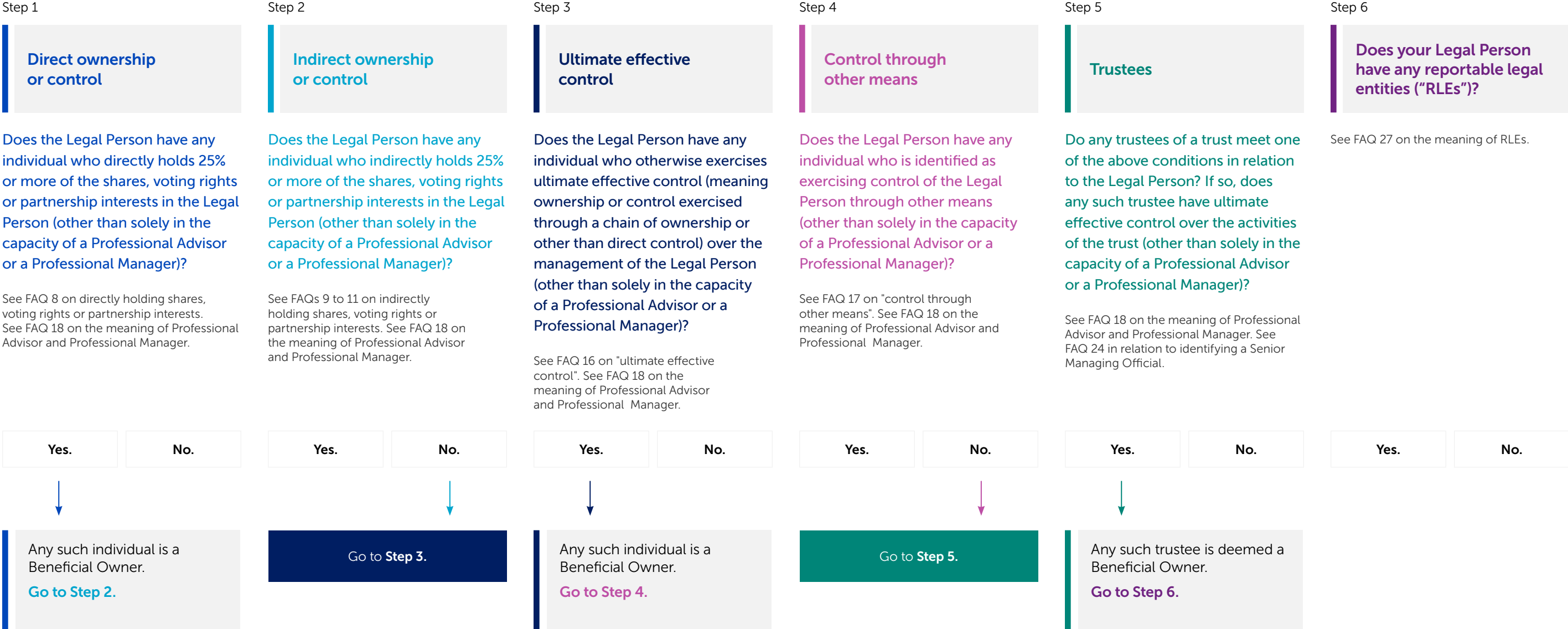
No.



Any RLEs must be reported.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

Direct ownership or control

Does the Legal Person have any individual who directly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 2.

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 3.

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 4.

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



There is no individual or trustee who meets the definition of a Beneficial Owner so the Legal Person's Senior Managing Official shall be identified instead.
Go to Step 6.

Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

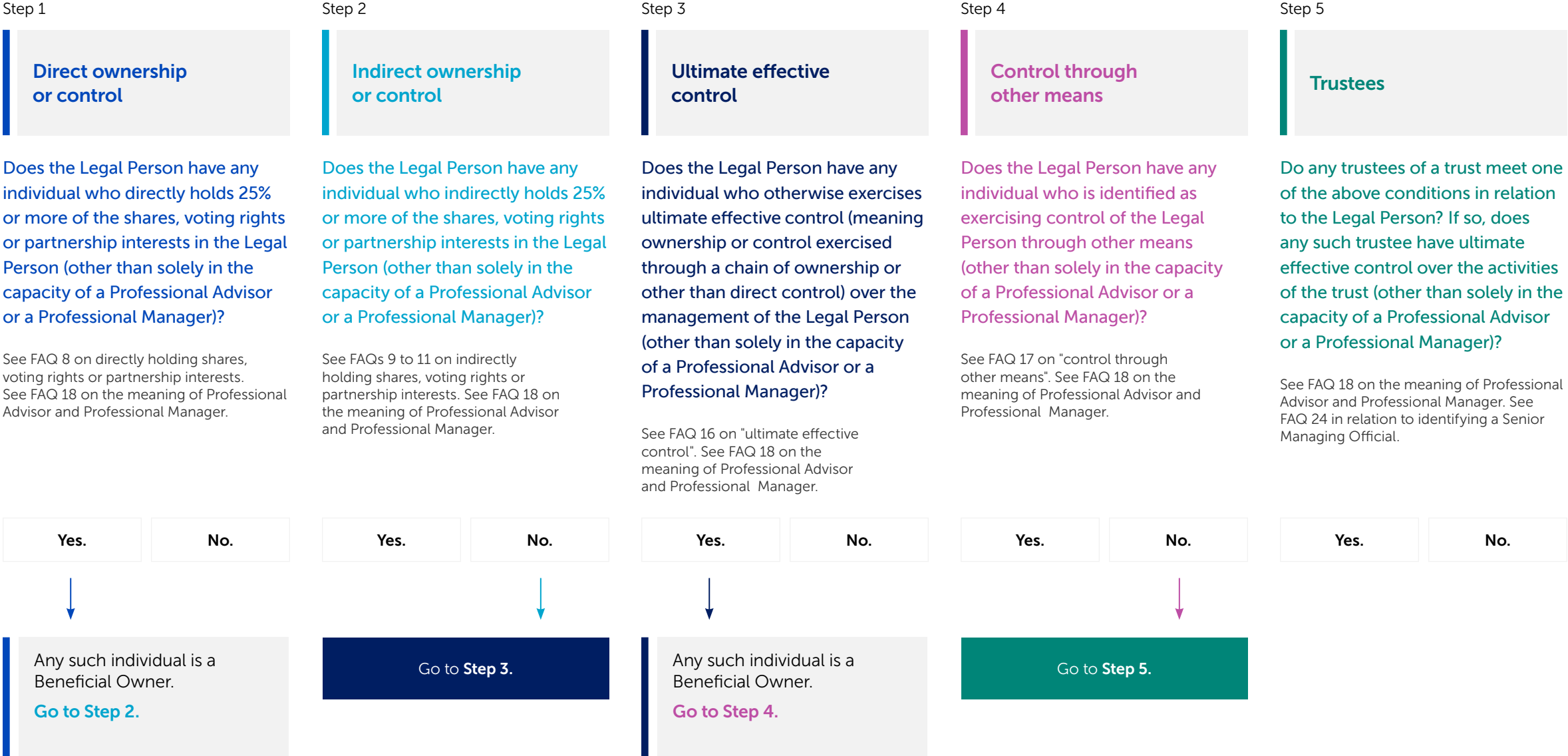
See FAQ 27 on the meaning of RLEs.

Yes.

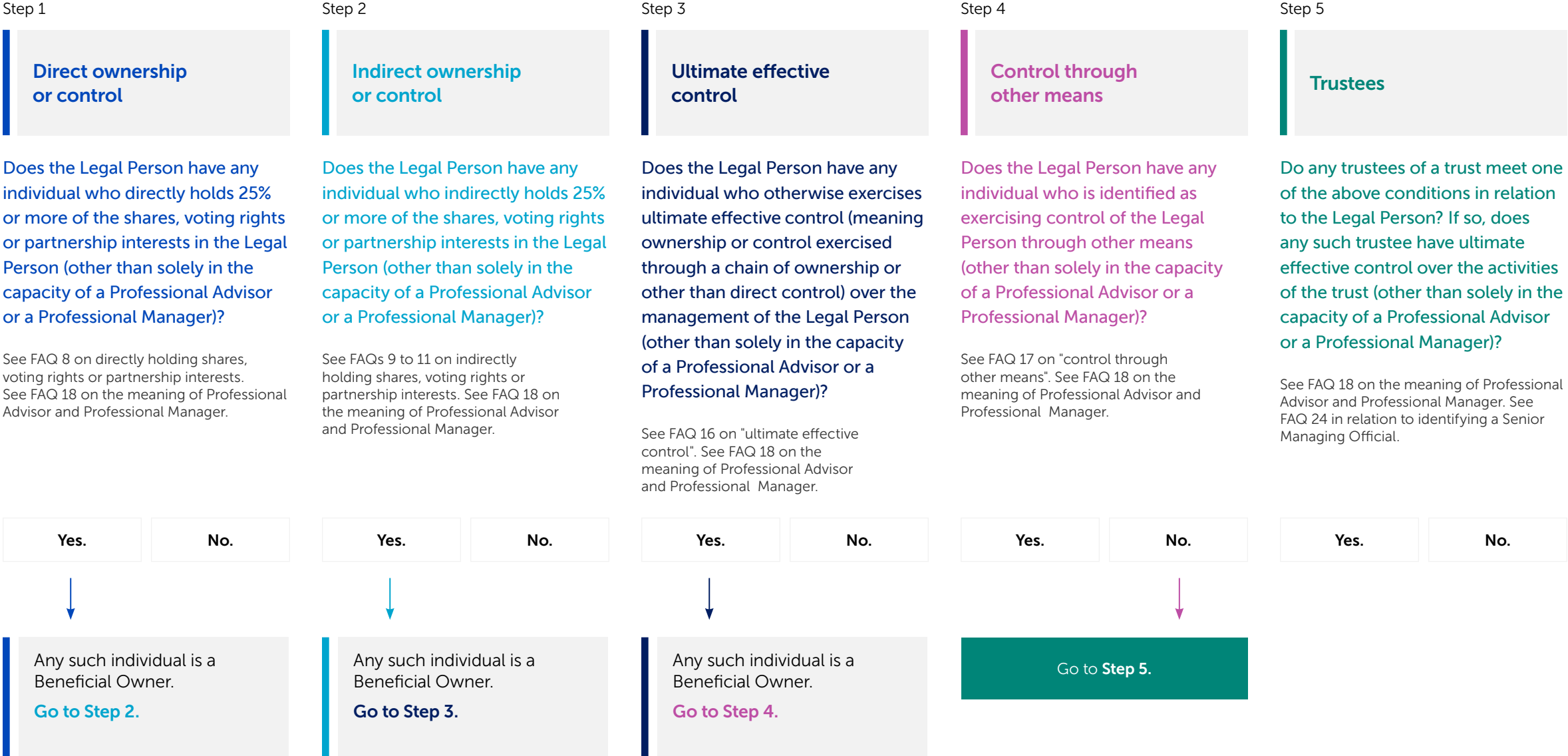
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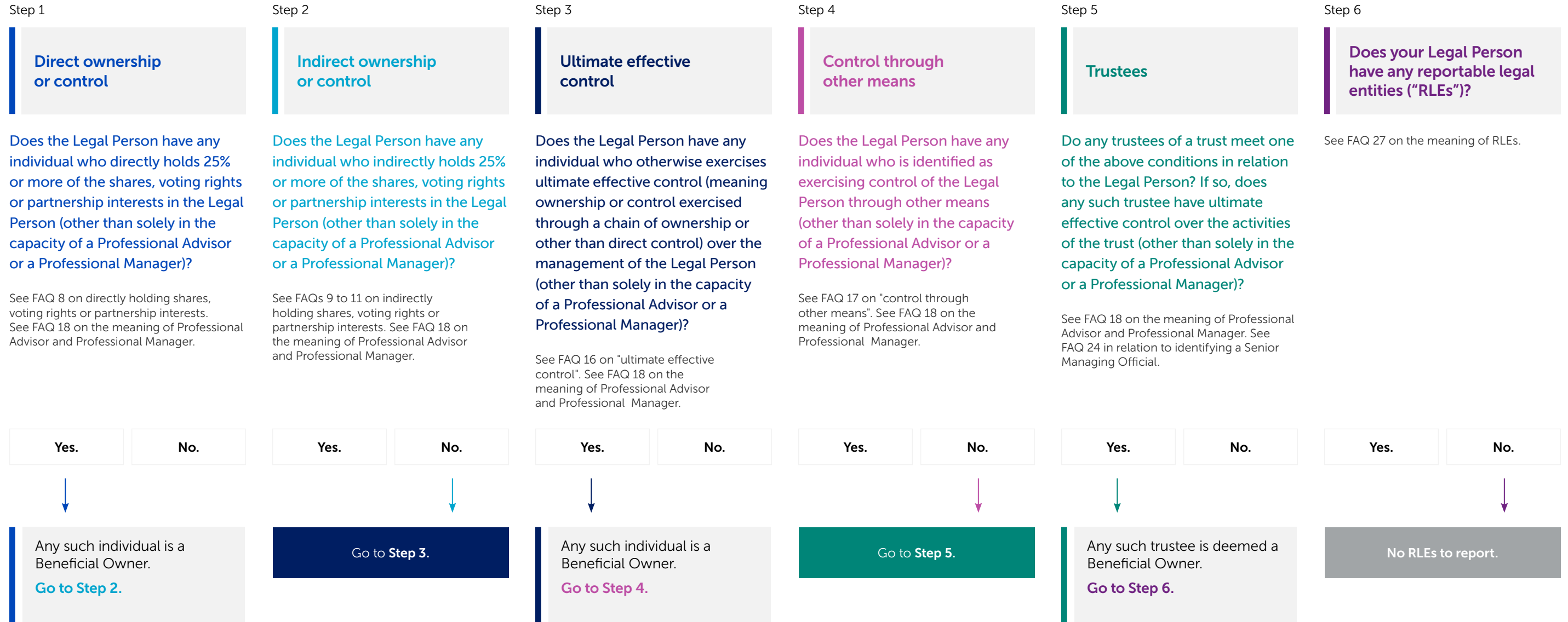
Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")



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Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

Step 1

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See FAQ 8 on directly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 2.

Step 2

Indirect ownership or control

Does the Legal Person have any individual who indirectly holds 25% or more of the shares, voting rights or partnership interests in the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQs 9 to 11 on indirectly holding shares, voting rights or partnership interests. See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 3.

Step 3

Ultimate effective control

Does the Legal Person have any individual who otherwise exercises ultimate effective control (meaning ownership or control exercised through a chain of ownership or other than direct control) over the management of the Legal Person (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 16 on "ultimate effective control". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Any such individual is a Beneficial Owner.
Go to Step 4.

Step 4

Control through other means

Does the Legal Person have any individual who is identified as exercising control of the Legal Person through other means (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 17 on "control through other means". See FAQ 18 on the meaning of Professional Advisor and Professional Manager.

Yes.

No.



Go to Step 5.

Step 5

Trustees

Do any trustees of a trust meet one of the above conditions in relation to the Legal Person? If so, does any such trustee have ultimate effective control over the activities of the trust (other than solely in the capacity of a Professional Advisor or a Professional Manager)?

See FAQ 18 on the meaning of Professional Advisor and Professional Manager. See FAQ 24 in relation to identifying a Senior Managing Official.

Yes.

No.



There is no individual or trustee who meets the definition of a Beneficial Owner so the Legal Person's Senior Managing Official shall be identified instead.
Go to Step 6.

Step 6

Does your Legal Person have any reportable legal entities ("RLEs")?

See FAQ 27 on the meaning of RLEs.

Yes.

No.



Any RLEs must be reported.



Decision steps to determine a Legal Person's Registerable Beneficial Owners ("RBOs")

