

New Account Information Sheet

IMPORTANT INFORMATION ABOUT PROCEDURES FOR APPLYING FOR OR 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 for you: When you apply for or 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 also ask to see your driver's license or other identifying Documents

TYPE OF BUSINESS:

- | | | | | |
|---|--|---|--|--------------------------------|
| <input type="checkbox"/> Corporation | <input type="checkbox"/> General Partnership | <input type="checkbox"/> Limited Liability Company | <input type="checkbox"/> Limited Liability Partnership | <input type="checkbox"/> Trust |
| <input type="checkbox"/> Professional Association | <input type="checkbox"/> Sole Proprietorship | <input type="checkbox"/> Unincorporated Association | <input type="checkbox"/> Limited Partnership | <input type="checkbox"/> Other |

Name of Business (Account Title, including D/B/A, if applicable):

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Sub-title, if applicable (Operating, Payroll, Escrow, etc.)

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Address of Physical Location:

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Mailing Address:

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.....

Tax ID (EIN)

.....

Industry Type:

.....

State of Registration:

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Business Contact Name:

.....

Business Telephone Number:

..... (Landline Preferred)

Business Fax:

.....

Email Address:

.....

.....

Multiple signatures required? ☐ No ☐ Yes

For amounts over \$

Facsimile signature? ☐ No ☐ Yes

TREASURY MANAGEMENT SERVICES:* ☐ No ☐ Yes

*Treasury Services can include adding accounts to Treasury Optimizer, Positive Pay, ZBA, Remote Capture, Lockbox, Treasury Key, Escrow Express, Controlled Disbursement, ACH Debit Protection, ACH Origination, Vault Services, Loan Sweep, Image Cash Letter, Return Services, CDROM statements.

ACCOUNT ANALYSIS:

☐ ADD TO EXISTING ANALYSIS RELATIONSHIP (CURRENT SETTLEMENT ACCOUNT #: _____)

☐ NEW ANALYSIS RELATIONSHIP SETUP

Please complete a New Account Signer Information Sheet for each signer on the account and all individuals with greater than 25% ownership in the company. If an owner with 25% or greater interest is an entity, proper entity documentation (Articles of Incorporation, Partnership Agreement, etc...) is required.

NEW ACCOUNT INFORMATION ACTIVITY SHEET

Expected Activity

Provide the following Monthly anticipated banking activity information (estimated number of transaction and the estimated value of those transactions) based on the business' consolidated relationship with Capital One Bank.

EXPECTED ACTIVITY	Estimated Number of Transactions per Month	Estimated Value per Transaction
Cash Activity		
Deposits		
Withdrawals		
Do you plan to conduct any of the following activities?		
Wire Transfers		
Incoming Domestic		
Outgoing Domestic		
Incoming International		
Outgoing International		
ACH Transactions		
Incoming Domestic		
Outgoing Domestic		
Incoming International		
Outgoing International		
Countries Where International Activity Will Be Performed		

Prohibited Business Types

Does the business engage in any of the following activities? If yes, the MSA must be completed and accounts should not be opened without approval of Deposit Account Underwriting.

Check Cashing - cash checks, drafts, or other commercial paper	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, do you cash checks in amounts greater than \$1,000 for any one person per day?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Money Transmission - transfer of funds through a financial institution or as an Agent through another electronic funds transfer network (that is, Western Union, Fidelity Express, Sigue Corporation, etc.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Currency Dealing or Exchanging - physical exchange of currency such as providing conversion of bank notes of one country for that of another	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Issuing, Selling or Cashing Traveler's Checks or Money Orders	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Issuance, Selling or Redeeming Stored-Value Cards in excess of \$1,000 per day - gift cards, payroll cards, or phone cards	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Internet Gambling - Participate or facilitate internet gambling (placing, receiving or transmitting wagers)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Customer Signature