

Submit completed form to:

P.O. Box 1555, Des Moines, IA 50306-1555 Fax: 866-709-3922
Email: documents@athene.com

Athene Annuity and Life Company

7700 Mills Civic Parkway, West Des Moines, IA 50266-3862

Athene Annuity & Life Assurance Company of New York

Pearl River, NY 10965

Contact us:

Annuity Customer Contact Center: 888-266-8489
Email: askathene@athene.com

To help the United States government fight financial crime, federal regulation requires certain financial institutions to obtain, verify, and record information about the beneficial owners of legal entity customers. For purposes of this form, a legal entity includes a corporation, limited liability company, partnership, and any other similar business entity form in the United States or a foreign country. Athene will require a valid copy of your identification (i.e. non-expired governmental identification: driver's license, passport, etc) to purchase a contract.

A. Corporation, Partnership or Limited Liability Company (LLC) (herein referred to as Legal Entity)

Please list all existing contracts with Athene that have the Legal Entity as owner and/or beneficiary.

1. Contract Number(s):
2. Full Name of Legal Entity:
3. Full Address of Legal Entity:
4. Phone Number of Legal Entity:
5. Tax Identification Number (TIN) of Legal Entity:

B. Resolutions

The governing body of the Legal Entity (e.g. Board of Directors/Trustees/Managers/Governors, Managing Member(s), Managers, Partners, as applicable) adopted a resolution or set of resolutions (the "Resolution") authorizing and empowering the undersigned and the following person(s) of the Legal Entity, individually or collectively, to establish and maintain on behalf of the Legal Entity one or more contracts with Athene (each, an "Authorized Person"):

Full Legal Name (First, MI, Last, Suffix)	Title

The Resolution grants authority to the Authorized Persons above, individually and collectively, to do and take all action necessary and appropriate in connection with the contracts maintained with Athene, effect transactions on the contracts with Athene, provide verbal or written instructions to Athene, and receive from Athene for on behalf of the Legal Entity all communications relating to contracts with Athene.

The Legal Entity is duly organized and existing under the laws of the State of formation, and its governing documents empower the Legal Entity to transact business by resolution. The Resolution is not contrary to any provision in the governing documents of the Legal Entity.

In the event of any change to the Resolution, including but not limited to a change in the Authorized Persons empowered through the Resolution or powers provided therein, an executive officer or senior manager (e.g. Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, Secretary, Treasurer) shall certify such changes to Athene in writing in the same manner as set forth in this Resolution.

Athene may rely upon this Resolution as continuing and fully effective until the receipt of written notice of a change in or the revocation of authority under the Resolution. Athene may deal with all of the Authorized Persons as though they are dealing with the Legal Entity directly.

The undersigned are authorized and empowered to certify, under seal of the Legal Entity (if applicable), to Athene to the foregoing, as well as provide, upon request by Athene, (a) a copy of the Resolution; (b) specimen signatures of each person empowered by the Resolution; and/or (c) documentation that the Legal Entity is duly organized and existing, and that its governing documents empower it to transact business by resolution.



The Legal Entity and its Authorized Persons agree to indemnify and hold Athene harmless from any claim, loss, expense or other liability for effecting any transactions and acting upon any instruction given by the Authorized Persons.

C. Certification of Beneficial Owner(s)

Person(s) opening the annuity on behalf of a Legal Entity or naming such as Beneficiary must provide the following information:

Name of Person(s) opening the annuity or naming the Legal Entity as beneficiary:
Name of the Legal Entity for which the annuity is being purchased or being named as beneficiary:

The Beneficial Owner may or may not be the owner or annuitant. The following information is required for each individual, if any, who directly or indirectly, through any contract, arrangement, understanding or otherwise owns 25% or more interest in the Legal Entity listed above:

Check here if no individual meets the above definition. This box is only to be checked if no individual controls or owns 25% or more interest in the Legal Entity.

Name	Date of Birth	Social Security Number	For Foreign Person(s): Passport Number and Country of Issuance or other similar ID ¹

D. Tax Certification by Legal Entity

The Legal Entity understands that under Section 72(u) of the Internal Revenue Code, an annuity owned by a non-natural owner is generally not entitled to tax-deferred status. A non-natural owner of an annuity is entitled to tax-deferred status only if certain exceptions under Section 72(u) apply. Accordingly, the income on the contract accumulated each year may be treated as ordinary income to the owner each year, whether or not any distributions are made from the annuity. The Legal Entity acknowledges that the Company's tax reporting obligation is limited to issuing IRS Form 1099-R to reflect distributions that actually occur during a particular tax year. The Legal Entity further acknowledges that the income on the contract may be currently taxable to the owner whether or not the Company issues a 1099-R to the owner in a particular year, and that the amount shown on a 1099-R for a given year, if any, may not reflect the actual amount reportable by the owner as taxable income for that year. The Company is not required to calculate the income on the contract in any particular year. The Legal Entity acknowledges that the Legal Entity is responsible for determining the amount of income on the contract that accumulates each year, and for complying with all tax reporting requirements.

Name (Individual Person)	Title
Physical Mailing Address (PO Box is not allowed)	
I, _____ (name of signor on behalf of the Legal Entity purchasing the contract), hereby certify, to the best of my knowledge that the information provided above is complete and correct.	
Signature X	Date (mm/dd/yy) / /

¹ 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.