

Tutorial for completing KeyBank Retirement Account Customer Identification Form

**(Missing information will cause your document to be
returned and may delay any further processes
requested.)**



KeyBank Retirement Account
Customer Identification Form

Bank Number: 3211

Social Security Number:

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ACCOUNT HOLDER
INFORMATION

Name 2

Legal Address

City, State, Zip Code

Country Date of Birth

Home Phone Business Phone

IDENTITY
CERTIFICATIONS

IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING NEW ACCOUNTS AT KEY

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 customer who opens an account. Therefore, all new and existing customers are subject to the identity verification requirements.

When a customer opens an account with any entity within the KeyCorp family of companies, we will ask for their name, address and identification number, and, in the case of an individual, his or her date of birth. For trusts and estates, we may also obtain this information for individuals associated with the trust or estate. In all cases, Key is committed to protecting the privacy and identity of each of its customers.

Failure to supply this required information will prohibit us from completing this request.
(Please refer to List A, Customer Identifying Documents for Individuals for acceptable types of ID.)

What type of ID is this? ID number 3

Indicate the following:

Which state/country issued it? Expiration Date Issue Date

ALL SECTIONS MUST BE COMPLETED

OCCUPATION AND
INDUSTRY

What is your occupation?
(Select and input information from list B) 4

What is your worker classification?
(Circle one) 5

Hourly Self-Employed Manager/Executive Student
 Retired Unemployed Salary/Non-Manager

Employer Name: 6

Which of the following best describes your employer industry?
(Circle one) 7

Public Administration Retail Trade Construction Services
 Finance, Insurance & Real Estate Mining Manufacturing Wholesale Trade
 Transportation, Communications, Electric, Gas & Sanitary Services Agriculture, Forestry, Fishing, Landscaping

Which of the following most accurately describes the specific industry of your employer?
(Select and input information from list C): 8

1. Start with your Social Security Number.
2. Complete everything in the Account Holder Information section. Do not skip anything! If your current name or address differs from the last information your employer had, you must provide documentary evidence of the change.
3. The information in this section is critical. Please refer to List A for acceptable types of ID. Please do not forget to supply the Expiration Date in mm/dd/yyyy format.
4. This section contains a drop down box. If you are filling this out on-line, this will help you select an acceptable occupation. If you have printed the form and are completing this by hand, please only use one of the occupations identified in List B.
5. If you feel that multiple answers apply, choose the primary classification.
6. Not required if you are retired, a student or unemployed.
7. Not required if you are retired, a student or unemployed.
8. This section contains a drop down box. If you are filling this out on-line, this will help you select an acceptable industry. If you have printed the form and are completing this by hand, please choose only one employer industry identified in List C. (Not required if you are retired, a student or unemployed.)

SOURCE OF INCOME

What is your Source of Income? (Check all that apply)

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- Salary/ Wages
- Investments
- No Income
- Other
- Royalties
- Lottery Winnings
- Public Assistance
- Income From Family Owned Business
- Pension
- Real Estate
- Trust
- Chose Not To Respond

If other, please describe: _____

NRA / OFAC / VISA

What is your country (countries) of citizenship? 10 _____

What is your country of permanent residence? _____

Do you have a temporary residence and/or own real property outside of the United States? 11 YES NO

If yes, in which countries? _____

What is your current Visa status? (If applicable, check one) 12

- Asylum
- Diplomatic
- Tourist
- Visitor
- Authorized Work Permit
- Student
- Training
- No Visa

From what country did you obtain your Visa? _____

POLITICALLY EXPOSED PERSON

Are you, an immediate family member or close associate of a person who occupies or has occupied a high position in a foreign government? YES NO

Do you occupy, or have you occupied in the past, a high position for a foreign government? 13 YES NO

Do any beneficial parties to the account currently occupy, or have occupied in the past, a high position for a foreign government? YES NO

POUCH ACTIVITY

Do you anticipate any delivery method that involves the use of carrier or courier to transport currency, monetary instruments and other documents physically from outside the United States? (If yes, proceed to questions below.) YES NO

If yes, for what country (countries) will the delivery method that involves the use of carrier or courier to transport currency, monetary instruments and other documents physically from outside the United States originate? 14 _____

If yes, estimated ANNUAL dollar amount of delivery method that involves monetary instruments and other documents physically the use of carrier or courier to transport currency, from outside the United States? (Choose one)

- \$1 - \$3,000
- \$3,001 - \$5,000
- \$5,001 - \$10,000
- \$10,001 - \$25,000
- >\$25,000

If yes, what is the likely purpose of the pouch activity? (Check all that apply)

- Business
- Personal Travel
- Family Residing Abroad
- Regular Payment Abroad

SIGNATURES

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Customer signature _____ Date _____

9. You must complete at least one choice in this box or describe below.
10. You must complete your country of citizenship, e.g., US, Canada, etc.
11. You must complete the questions regarding your country of permanent residence and whether or not you have a temporary residence or property outside the US. If you indicate that you *do* have a temporary residence or property outside the US, you must tell us where.
12. You must complete this Visa information only if applicable. You must also indicate the country that you obtained your Visa from.
13. You must complete all three questions in this box.
14. Complete the first question. If your answer is yes, complete the next three choices in this box.
15. Your legal signature is required.

A. Customer Identifying Documents for Individuals (must have a photo and be unexpired to be a primary form of ID)

- U. S. Passport
- Foreign Passport (including Mexican and Canadian)
- U. S. Military ID Card
- U. S. State Driver's License
- Canadian Driver's License
- Mexican Driver's License
- Native American Tribal Identification Card
- Mexican Matrícula Consular Identification Card
- U. S. State ID Card (issued to residents of a U.S. State)
- Permanent Resident Card (Green Card) (Form I-551)

B. List of Occupations

Architects
 Athletes and related workers
 Clergy
 Clerical occupations, except equip operator
 Computer, mathem., & operations research
 Computing & office equipment operators
 Construction laborers
 Construction occupations, n.e.c.
 Construction trades
 Dentists
 Disabled
 Editors, rptrs, pr spec & announcers
 Elec. assem., install, repair, occupations
 Engineering & related technology & technician
 Engineers and surveyors
 Excavate, grading, paving and related occupations
 Extractive occupations
 Fabricators, assemblers & hand wkg occupations
 Farm operators and managers
 Fishers, hunters, and trappers
 Fishery and related occupations
 Food and bev. prep. and svc. occupation
 Forestry and logging occupations
 Health technologists & technicians
 Homemaker
 Insurance, secure, real est. & serv sales
 Lawyers and judges
 Machine operators and tenders
 Machine setup operators
 Machine trades occupations, n.e.c.
 Management related occupations
 Material moving occup. except transportation
 Military occupations
 Miscellaneous manual occupations
 Miscellaneous occupations
 Miscellaneous personal svc occupation
 Motor freight occupations
 Natural scientists
 Oc. In fabric. assem., repair of metal nec
 Oc. In fabrication/repair of wood prod
 Oc. In machine stone, clay, glass rel prod
 Occupations in extraction of minerals
 Occupations in metal fabricating, n.e.c.
 Occupations in writing
 Officials & administrators, public admin
 Officials and administrators, other
 Other agricultural & related occupations
 Other health diagnosing & treating practice
 Packaging and materials handling occupation
 Painting, decorating and related occupation
 Pharm. diet. therap., & phys assistants
 Physicians
 Plans and system operators
 Precision production occupations
 Private household occupations
 Process of petro, coal, nativlg gas
 Processing Occupations, N.E.C.
 Prod inspectors, testers, samplers
 Protective service occupations
 Registered nurses
 Religious workers/clergy
 Related
 Sales occupation, consumable commodities
 Sales occupation, services
 Sales occupations, commodities
 Sales related occupations
 Science technologists & technicians
 Service occup. except private hoid & pro
 Social and recreation workers
 Social scientists & urban planners
 Stenography, typing, filing, rel. occup.
 Structural work occupations, n.e.c.
 Student
 Supervisors; clerical occupations
 Supervisors; construction & extractive occup
 Supervisors; marketing & sales occupations
 Supervisors; mechanics & repairers
 Supervisors; production occupations
 Supervisors; service occupations
 Supervisors; transport & material moving
 Teachers, colleges & universities
 Teachers, except college & university
 Technic. except health, enging & sciences
 Textile occupations
 Unemployed
 Unemployed wincome
 Vehicle washers & equipment cleaners
 Veterinarians
 Vocational & educational counselors
 Writers, artist, performers & related

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C. List of Industries

Accounting, Auditing, and Bookkeeping Services
 Agriculture production – crops
 Agriculture production – livestock
 Agriculture – Other Agricultural services
 Amusement and recreational services
 Amusement Parks
 Apparel and accessory stores
 Art Dealers
 Automatic Merchandising Machine Operator
 Automobile Parking
 Automotive dealers
 Automotive repair and services
 Babysitting Bureaus
 Barber shops, Barber colleges
 Bars, Drinking Places (Alcoholic Beverages)
 Beauty shops, salons, manicure/pedicure, cosmetology schools
 Boat Dealers
 Business Services – Other Miscellaneous
 Casinos, Racinos, Card Rooms, Bookies, Lottery, and Bingo Pariors
 Catalog and Mail – Order Houses
 Civic, Social, and Fraternal Associations
 Clothing alteration/repair and Laundry/Garment Service and Diaper Service
 Coin-operated Amusement Devices including slot machines, arcade games, and jukeboxes
 Communications
 Computer programming, Data Processing, & Other Related Services
 Construction – General building contractors
 Construction – Heavy construction contractors
 Construction – Special trade contractors
 Diet and Weight Reducing Services
 Drive-in Motion Picture Theaters
 Dry-cleaning plants
 Eating and drinking places – Other
 Educational services
 Electric, gas, and sanitary services
 Engineering and management services
 Finance – Branches and Agencies of Foreign Banks
 Finance – Clearinghouses, Electronic Funds Transfer, Payment Processors
 Finance – Commodity Contracts Brokers & Dealers
 Finance – Depository institutions
 Finance – Federal & Federally – Sponsored Credit Agencies
 Finance – Foreign Trade and International Banking Institutions, International Trade Financing
 Finance – Holding and other investment Offices
 Finance – Investment Advice
 Finance – Investors, NEC
 Finance – Loan Brokers
 Finance – Miscellaneous Business Credit Institution
 Finance – Mortgage Bankers & Loan Correspondents
 Finance – Non-Deposit Trust Facilities
 Finance – Nondepository credit institutions
 Finance – Personal Credit Institutions
 Finance – Personal Credit Institutions
 Finance – Real Estate Investment Trusts
 Finance – Security Brokers, Dealers & Flotation Companies
 Finance – Security, commodity brokers and service
 Finance – Services Allied With the Exchange of Securities or Commodities, NEC
 Finance – Short Term Business Credit Institutions
 Finance – Trusts – Educational, Religious, and Charitable
 Finance – Trusts, Except Educational, Religious, and Charitable
 Fishing, hunting, and trapping
 Forestry
 Formal Wear and Costume Rental
 Fruit and vegetable markets
 Furniture, home furnishings and equipment stores
 Gasoline Service Stations (with or without convenience stores)
 Grocery stores, supermarkets (with or w/o general merchandise, Convenience stores (with or w/o gas)
 Health Services
 Hotels, Motels, Motor Inns, Lodging
 Homes, rooming houses, camps, and other lodging places
 Insurance agents, brokers and service
 Insurance carriers
 Laundry – Coin-operated Laundries and Drycleaning
 Laundry – Garment Pressing, and Agents for Laundries and Drycleaners
 Lawn and garden Services
 Legal services
 Liquor Stores
 Manufacturing – Food and kindred products
 Manufacturing – Apparel and other textile products
 Manufacturing – Chemicals and allied products
 Manufacturing – Electrical and electronic equipment
 Manufacturing – Fabricated metal products
 Manufacturing – Furniture and fixtures
 Manufacturing – Industrial machinery and equipment
 Manufacturing – Instruments and related products

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Manufacturing – Leather and leather products
 Manufacturing – Lumber and wood products
 Manufacturing – Miscellaneous manufacturing industries
 Manufacturing – Paper and allied products
 Manufacturing – Petroleum and coal products
 Manufacturing – Primary metal industries
 Manufacturing – Printing and publishing
 Manufacturing – Rubber and miscellaneous plastics products
 Manufacturing – Stone, clay, glass, and concrete products
 Manufacturing – Textile mill products
 Manufacturing – Tobacco manufacturers
 Manufacturing – Transportation equipment
 Membership organizations – Other Miscellaneous
 Mining – Coal mining and Services
 Mining – Metal mining and Services
 Mining and Quarrying of Nonmetallic minerals, except fuels
 Mining – Oil and gas extraction
 Motion Picture Theaters (except drive-in)
 Motorcycle Dealers
 Museums, art galleries, botanical & zoological gardens
 Ornamental Shrub and Tree Services
 Other food stores
 Pawshops
 Personal Services – Other Miscellaneous
 Pipelines, except natural gas
 Political Organizations
 Postal Service U.S.
 Private households services
 Process Services, Patent Agents, Notaries Public and Paralegal Services and Bail Bonding
 Public Adms programs
 Public Admin. programs
 Public Administration – Executive, legislative, and general government
 Public Administration – Finance, taxation, and monetary policy
 Public Admin-International Affairs/Consulate, Diplomatic services – gov't Embassy, Foreign mission

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Public Administration – Justice, public order, and safety
 Public Administration – National security and international affairs
 Racing, Including Track Operations, Jockeys, Horse Trainers, and Race Car Owners and Drivers
 Real estate
 Real estate
 Recreational Vehicle Dealers
 Religious Organizations
 Religious Organizations
 Repair services – Miscellaneous
 Restaurants, Cafeterias, Snack Beverage Bars, Food Svc Contractors, Caterers, Dinner Theaters
 Retail trade – Building materials, hardware, garden supply & mobile home
 Retail trade – General merchandise stores
 Retail trade – Other Miscellaneous Retail
 Service Industries – Other Miscellaneous
 Shoe Repair Shops and Shoeshine Pariors
 Social Services
 Taxis
 Tobacco Stores and Stands
 Transportation – air
 Transportation – Local and interurban passenger transit
 Transportation – Motor freight transportation and warehousing
 Transportation – Other Miscellaneous
 Transportation services
 Transportation – Sightseeing Buses and Cable and Cog Railways
 Transportation – Water Taxi
 Transportation – Water transportation
 Travel Agencies
 Valet Parking Services
 Veterinary Services
 e – Beer and Ale
 e – Flowers, Nursery Stock, and Florists Supplies
 Wholesale trade – Fresh Fruits and Vegetables
 Wholesale trade – other durable goods
 Wholesale trade – other nondurable goods
 Wholesale trade – Wine and Distilled Alcoholic Beverages
 Wholesale – Jewelry, Watches, Precious Stones & Metals

These lists are for your use if you have printed the document without completing it on-line using the built-in drop down boxes. List A, B, and C are associated with sections 3, 4, and 8.