

Appendix A

Beneficial Owner(s) Exemption List

Choose one or more exemptions based on the descriptions below:

3. **Regulated Domestic Financial Institutions, including their holding companies.** A financial institution regulated by a federal functional regulator or a bank regulated by a state bank regulator.
4. **US & US state government entities.** A department or agency of the United States, or any State or of any political subdivision of a State – e.g. U.S. Department of the Treasury; State of Georgia; City of Decatur.
5. **Securities and Exchange Commission (SEC) registered issuers of securities.** An issuer of a class of securities registered under section 12 of the Securities Exchange Act of 1934 or that is required to file reports under section 15(d) of that Act.
6. **Exchanges and clearing agencies** - as defined in section 3 of the Securities Exchange Act of 1934, that is registered under section 6 or 17A of that Act e.g. NYSE, NASDAQ.
7. **Securities and Exchange Commission (SEC) registered investment companies** - as defined in Section 3 of the Investment Company Act of 1940, that is registered with the SEC under that Act.
8. **Securities and Exchange Commission (SEC) registered investment advisers** - as defined in section 202(a)(11) of the Investment Advisers Act of 1940, that is registered with the SEC under that Act.
9. **CFTC-registered entities.** A registered entity, commodity pool operator, commodity trading advisor, retail foreign exchange dealer, swap dealer, or major swap participant, each as defined in section 1a of the Commodity Exchange Act, that is registered with the CFTC.
10. **Registered Public accounting firms registered under section 102 of the Sarbanes–Oxley Act.** e.g., Deloitte, Ernst & Young.
11. **Trusts (non-statutory).** The exclusion would generally cover non-statutory, i.e., created by contract, trusts. e.g. Irrevocable trusts, generation skipping trusts, life insurance trusts; etc.
12. **Estates**
13. **US State registered insurance companies** – e.g. State Farm; Geico; Cigna.
14. **Entity registered with the SEC** - entity registered with the SEC under the Securities and Exchange Act of 1934.
15. **Financial Market Utilities** - A financial market utility designated by the Financial Stability Oversight Council under Title VIII of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010.
16. **Non-US government agency engaged in US government activities only (non-commercial),** e.g. Federal Reserve Board.
17. **Pooled investment vehicle operated or advised by a regulated domestic financial institution**
18. **Pooled investment vehicle NOT operated or advised by a regulated domestic financial institution**
19. **Charities and Non-Governmental Organizations (NGO's).** Charities and nonprofit entities.