



OFFICE USE ONLY: Member Number: \_\_\_\_\_

# REQUEST FOR CHANGE OF NAME AND/OR SOCIAL SECURITY NUMBER/EMPLOYER IDENTIFICATION NUMBER

Old SSN/TIN/EIN: \_\_\_\_\_ New SSN/TIN/EIN: \_\_\_\_\_  
(For identification purposes, please provide your full SSN if your member number is not shown above.)

Former Name: \_\_\_\_\_  
First Middle Last

Name Changed to: \_\_\_\_\_  
First Middle Last

Reason for Change of Name and/or SSN: \_\_\_\_\_

**NOTE: Please provide PenFed with a copy of the legal document supporting the name change and a color photo of a government-issued ID confirming your new name.**

Under penalties of perjury, I certify:

1. The Social Security Number or Employer Identification Number on this form is my correct TIN;
2. I am not subject to backup withholding due to failure to report interest and dividend income (cross out this section if you are subject to withholding);
3. I am a U.S. person (including a U.S. resident alien). The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

X

Signature

Date

Completion of this form does not modify the joint owner or beneficiary description currently in effect.

## RETAIN FOR YOUR RECORDS

**What Number to Give PenFed** - Provide the taxpayer identification number (TIN) (your Social Security Number or Employer Identification Number) of the member owner of the account.

**Backup Withholding Instructions (section references are to the Internal Revenue Code)** - When PenFed makes certain payments to you we must withhold and pay to the Internal Revenue Service (IRS) 24% of such payments under certain conditions. This is called "backup withholding." Payments that could be subject to backup withholding include interest, dividends, broker and barter exchange transactions, rents, royalties, non-employee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding. You are subject to backup withholding if:

1. You fail to furnish your taxpayer identification number to PenFed, OR
2. The IRS notifies PenFed you furnished an incorrect taxpayer identification number, OR
3. You are notified by the IRS that you are subject to backup withholding due to underreporting of interest and dividends (under Section 3406(a) (1)(C)), OR
4. For dividend accounts opened after December 31, 1983, you fail to certify you are not subject to backup withholding under 3. above, or you fail to certify your taxpayer identification number.

## Penalties

1. **Failure to Furnish TIN** - If you fail to furnish your correct TIN to PenFed, you are subject to a penalty of \$50 for each failure unless your failure is due to reasonable cause and not to willful neglect.
2. **Civil Penalty for False Information with Respect to Withholding** - If you make a false statement with no reasonable basis that result in no backup withholding, you are subject to a \$500 penalty.
3. **Criminal Penalty for Falsifying Information** - Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.
4. **Misuse of TINs** - If the requestor discloses or uses TINs in violation of federal law, the requestor may be subject to civil and criminal penalties.

**Privacy Act Notice** - Section 6109 requires recipients of dividends, interest or other payments to give taxpayer identification numbers to payors who must report the payments to the IRS. The IRS uses the numbers for identification purposes. Payors must be given the numbers whether or not recipients are required to file tax returns. Payors must generally withhold 24% of taxable interest, dividends, and certain other payments to a payee who does not give a TIN to a payor. Certain penalties may also apply.