# BOI Reporting: Substantial Control Organizer

# Company Name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

## Instructions

## For each role, please add the individual(s) that perform these duties at the company listed above. If you are unsure whether an individual falls under the descriptions below, please enter them in Section 4 of the form and add a short explanation of their responsibilities.

## Section 1: Senior Officers

The roles and responsibilities below can overlap and vary depending on the company’s size, industry and corporate structure. In some companies, one person may perform more than one of these roles, especially in smaller organizations, while larger companies might have more delineated roles with specific focuses.

| **Role** | **First Name** | **Last Name** | **Email** |
| --- | --- | --- | --- |
| List the highest-ranking individual in the company. They are responsible for making major corporate decisions, managing the overall operations and resources of a company and acting as the main point of communication. They set the company’s vision, strategy and culture. Traditionally referred to as the Chief Executive Officer (CEO). |  |  |  |
| List the individual that serves as the second-in-command to the person that makes the major decisions about the company. They are responsible for implementing company policy and any strategic vision set forth by the major decision maker. They may also take on the role of overseeing daily operations. Traditionally referred to as the President. |  |  |  |
| List the individual who is responsible for managing the financial actions of the company. This role’s duties include tracking cash flow and financial planning as well as analyzing the company’s financial strengths and weaknesses and proposing corrective actions. They may also play a critical role in cost-benefit analysis and securing new funding. Traditionally referred to as the Chief Financial Officer (CFO). |  |  |  |
| List the individual that is the chief lawyer of the legal department within the organization. This role involves overseeing all legal matters and ensuring the company complies with the law. They may advise on legal and regulatory issues, handle litigation, manage external legal resources and negotiate and draft contracts. Traditionally referred to as the General Counselor (GC). |  |  |  |
| List the individual tasked with overseeing the day-to-day administrative and operational functions of a business. This role often involves executing the company’s top business strategies, ensuring operational efficiency and managing the company’s operational capabilities to surpass company goals. Traditionally referred to as the Chief Operating Officer (COO). |  |  |  |

## Section 2: Individuals with Appointment and Removal Authority

The members of the groups discussed below are typically elected by the shareholders at an annual meeting and serve for a set term. The composition of the group includes inside directors (senior officers) and outside directors (individuals independent of the company’s day-to-day operations).

| **Role** | **First Name** | **Last Name** | **Email** |
| --- | --- | --- | --- |
| List the individuals with the ability to appoint or remove any of the people identified as “senior officers” in the section above: |  |  |  |
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|  |  |  |  |
|  |  |  |  |
| List the individuals with the ability to appoint or remove a majority of the board of directors (BOD). Bodies like this would be groups of individuals elected to represent shareholders and govern the company’s affairs. They play a large role in oversight, strategic direction, policy making, selecting key executives, all acting in the best interest of the company and its shareholders: |  |  |  |
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|  |  |  |  |
|  |  |  |  |

## Section 3: Important Decision Makers

| **Role** | **First Name** | **Last Name** | **Email** |
| --- | --- | --- | --- |
| List the individuals who direct, determine or have substantial influence over the company’s business decisions. Such as: Nature, scope, and attributes. The selection or termination of business lines or ventures, including geographic focus. The entry, fulfillment, exit or non-fulfillment of significant contracts. |  |  |  |
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|  |  |  |  |
|  |  |  |  |
| List the individuals who direct, determine or have substantial influence over the company’s financial decisions. Such as: The sale, lease, mortgages or other transfer of principal assets. Major expenditures or investments, issuances of equity, incurrence of any significant debt or approval of the operating budget. Approval of compensation packages and incentive programs for senior officers or those with the same roles as senior officers. |  |  |  |
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| List the individuals who direct, determine or have substantial influence over the company’s structural decisions. Such as: The reorganization, dissolution or mergers that occur. Amendments of any substantial governance documents, including the articles of incorporation or similar formation documents, bylaws and policies or procedures. |  |  |  |
|  |  |  |  |
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|  |  |  |  |

## Other

| **Roles** | **Explanation of Role** | **First Name** | **Last Name** | **Email** |
| --- | --- | --- | --- | --- |
| List any other individuals you believe may have substantial control and explain their roles at the company: |  |  |  |  |
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|  |  |  |  |  |
| Do any of the individuals you have listed on this form have a Power of Attorney (POA)? Do not include those with POAs that are designated solely for their role as a tax or legal professional. |  |  |  |  |

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Name Date