

TAX COMPLIANCE TOOLKIT

The Tax Compliance Toolkit(TCT) equips your financial institution with all the tools you need to comply with your obligations and demonstrate internal controls. The TCT provides tools to financial institutions to enable them to comply efficiently with international tax regulations including U.S. FATCA, U.S. QI regime, CRS and TRACE.

At the centre of the Tax Compliance Toolkit is the Investor Self-declaration (ISD) tool. The ISD tool allows for an all-in-one electronic submission of all W-8 forms, W-9's, as well as self-certifications under the Common Reporting Standard (CRS).

The solution automates the solicitation and validation of Forms W-8, W-9 and CRS Self-certifications. It follows a combined approach, allowing the clients of financial institutions to complete a single form which will comply with the requirements under IRC Chapter 3, IRC Chapter 4 and CRS. The tool offers a validation tool against KYC information, as well as other validation checks.

THE INVESTOR SELF-DECLARATION TOOL OFFERS THE FOLLOWING KEY ADVANTAGES:

- Combined W-8, W-9, FATCA and CRS investor certifications
- US TIN Checks
- Non-US TIN format checking
- GIIN Checks
- LEI Checks
- TRACE Compliant

SUPPORTED FORMS

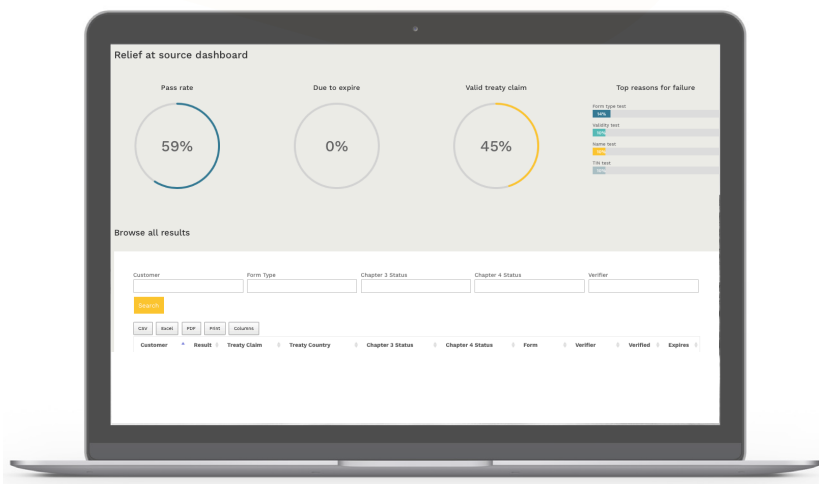
- W-8ECI
- W-8BEN
- W-8BEN-E
- W-8IMY
- W-8EXP
- W-9
- CRS Self-certifications

OTHER SERVICES INCLUDED IN THE TOOLKIT SUBSCRIPTION

- Qualified Intermediary Compliance Program Builder
- Qualified Intermediary Applications
- Preparing for a Periodic Review
- 1042-S Reporting
- Training Tools
- CRS Reporting
- FATCA Reporting



TOOLKIT DASHBOARDS



RELIEF AT SOURCE DASHBOARD

U.S. tax reporting (2020)

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This table represents the percentage difference between the data reported by each of your upstream withholding agents and the amounts that you paid to your clients. Sometimes the difference can be explained by rounding. Other times a mismatch may indicate that there are errors in your recipient payment data.

Please check each line carefully and approve if you are confident that the difference is caused by rounding; please correct and resubmit your recipient payment data spreadsheet.

Withholding Agent: [input] Income Code: [input] C3 Code: [input] C4 Code: [input]

[Search]

Withholding Agent	Income Code	C3 Code	C4 Code	Gross	C3 Tax	C4 Tax	Net	Details	Approved?
Upstream 1	01	02	15	+0.00%	0.00%	0.00%	-0.00%		
Upstream 1	01	08	15	+0.00%	0.00%	0.00%	-0.00%		
Upstream 1	08	00	15	-0.00%	0.00%	0.00%	-0.00%		
Upstream 1	08	03	15	0.34%	0.00%	0.00%	0.34%		

U.S. TAX REPORTING PROJECT
ACTIONS – MATCH WITH UPSTREAM
DATA

Investor Self Declarations
Staging Environment

Who are you?

I am...
[An Individual]

Are you a U.S. citizen, U.S. resident or U.S. person for tax purposes? •

☐ Yes
☒ No

Do you receive any income that is effectively connected to a U.S. trade? •

☐ Yes
☒ No

Are you acting for the account of others as an agent, nominee, or custodian? •

☐ Yes
☒ No

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Choose a language
English

If you are unsure how to answer these questions, please seek tax advice.

ISD