

US Tax Form e-lodgement Guide

If you trade US shares, you are required to complete a withholding tax form. This is to determine your status for US tax purposes. You can now electronically lodge the applicable withholding tax form through our platform.

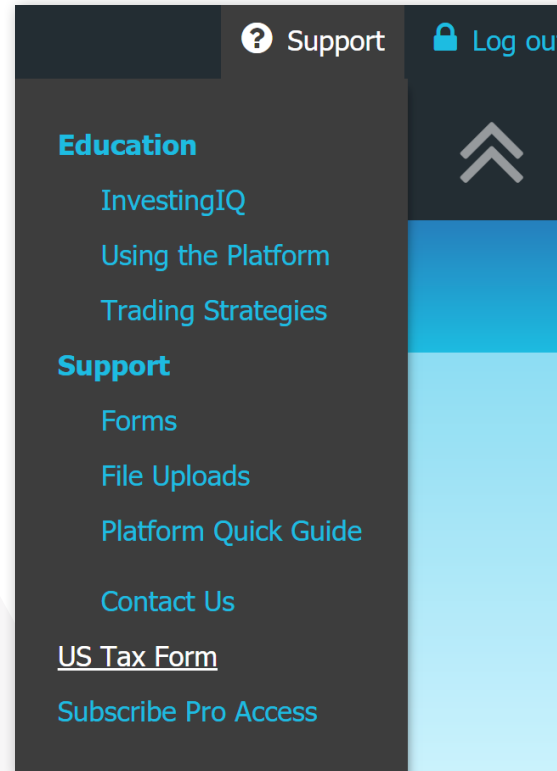
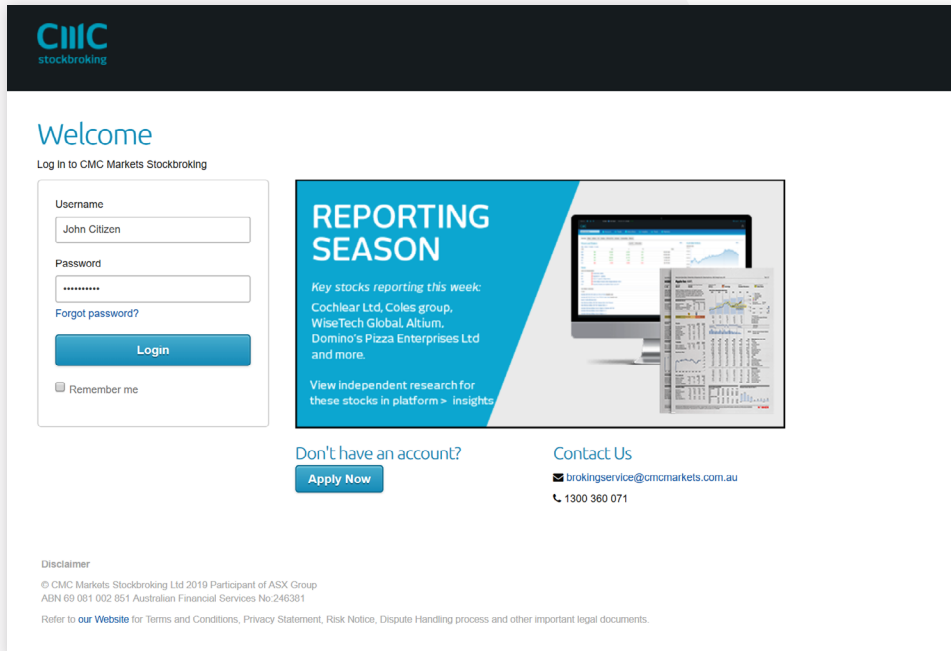
This concise guide is to help you easily use the US Tax Form e-lodgement tool within our platform.



How to access the US Tax Form e-lodgement Tool

Step 1: Login to your stockbroking account.

Step 2: Once logged in, hover over the Support menu at the top right corner of the platform and click on the 'US Tax Form' option.



This will open the US Tax Form Information page. Here you will be able to view the details of each account holder and the expiry dates for the relevant US Tax Forms.

Step 3 overleaf >

How to access the US Tax Form e-lodgement Tool (continued)

Step 3: Select the Account from the drop down and click on the Update/Lodge Form button to launch the US Tax Form e-lodgement Tool. This will open in a new tab.

US Tax Form Information

Account:

Treaty Eligible: No

Beneficiaries Details

First name	Last name	Status	Treaty Eligible	Form type	Expiry date	Treaty country
John	Citizen	Not submitted	No			

You can now electronically lodge the applicable US tax form through our third party supplier (**IHS Markit**). Please take care to ensure you are choosing the right section before filling out the form. Refer to the [user guide](#) for assistance.

The form should take 15 - 20 minutes to complete, and you will need the below information to complete the form:

- Permanent residential address - this must match the address stored on your [account information](#) (if this does not match please update your address prior to submitting your US tax form).
- Tax File Number (TFN) for Australian residents.
- Foreign Tax Identification number (TIN) (if applicable).
- Social security number or Employer identification number if you are a US citizen lodging a W-9 form.
- If the form relates to a non-individual entity, you will need your FATCA information to hand.

Company, Trust, or SMSF accounts are required to lodge one W-8BEN-E (Entities) or a W-8IMY for the account. In certain situations, entities completing a form W-8IMY may be required to complete separate forms for their beneficiaries. Accounts with multiple trustees/directors should make a resolution authorising a specific trustee or director to make the relevant certification on the form.

Joint accounts require each account holder to lodge individual W-8BEN or W9 (Individuals) forms. Please note, you can only submit one form per account where you are the account holder.

Once you submit the form, it may take up to 24 hours to be finalised. After this time, if you do not think your form submitted correctly, please contact us via Live Chat.

Data collected on the forms is stored securely and used by us to meet IRS reporting requirements. We don't provide this data to any third parties other than the IRS.

[Update/Lodge Form](#)

How to access the US Tax Form e-lodgement Tool (continued)

Step 4: The US Tax Form e-lodgement tool will guide you through the form selection, completion and lodgement process and pre-populate your details where available.

Click Submit link to start the process.

English ▾
Logout

Requested Documents

A tax form is requested for the following account(s).
Select the account you wish to submit or update a tax form for:

Account Number	Name on Account	US Form Status	
132419	John Citizen	Certified	Update
100000	The Citizen Family Superannuation Fund	Certified	Update
253792	John Citizen	No Form Submitted	Submit

There are navigation buttons to move between sections and the help icon will provide you with additional tips/explanations regarding the questions.

- Back Go back to the previous page
- Continue Go to the next page
- ? Help icon provides additional tips/explanations
- Complete Submit the form
- PDF Download the pdf form

Logout – this will exit the US Tax Form tool, but you will remain logged in to the trading platform. You can return to the US Tax Form tool by clicking the 'Update / Lodge Form' button on the US Tax Form Information page.

Note: If you do not complete the form submission, the data entered will not be saved and will need to start a new form.

How to access the US Tax Form e-lodgement Tool (continued)

Step 5: The tool will help you to select the appropriate US Tax Form as per your requirement, by asking a set of questions.

English ▾
Logout

Is the account holder an individual or a non-individual/entity?

Individual
 Non-Individual/Entity

Is the account holder organized or incorporated in the United States?

Yes
 No

Trusts organized in the United States - Select "No" if either:
 (1) a U.S. court does not have primary supervision over the administration of the trust or
 (2) one or more U.S. persons do not have authority to control all substantial decisions of the trust.

QI Branch of a USFI - Select "No" if:
 You are completing this form on behalf of a non-U.S. branch of a USFI that is acting as a Qualified Intermediary.

Based on your answers, the tool will provide the most appropriate form options for you to choose from.

English ▾
Logout

Please review the information and select the applicable form.

Form W-8BEN-E
 Form W-8IMY
 Form W-8ECI
 Form W-8EXP

W-8BEN-E
 For use by non-U.S. entities, such as corporations, partnerships, estates, and trusts, to establish that they are the beneficial owners of the income and/or, if applicable, to claim tax treaty benefits and exemptions.
 Use this form for:

- A beneficial owner solely claiming foreign status or treaty benefits
- A hybrid entity claiming treaty benefits on its own behalf

W-8IMY
 For use by a intermediary (a financial institution or a nominee that holds securities on behalf of its customers or other third parties in the course of its trade or business), a U.S. branch of certain foreign banks or foreign insurance companies, or a withholding or nonwithholding foreign partnership, simple trust or grantor trust.
 Use this form for:

- A person acting as an intermediary
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (except of a claim of treaty benefits)

W-8ECI
 For use by non-U.S. entities who are beneficial owners claiming an exemption from withholding tax on payments of U.S. source income that is effectively connected with the conduct of a trade or business in the U.S. The entity must provide a U.S. Taxpayer Identification Number (TIN) for this form to be valid.
 Use this form for:

- A branch of a foreign corporation certifying that income is effectively connected with the corporation's U.S. trade or business

W-8EXP
 For use by foreign governments, international organizations, foreign central banks of issue, foreign tax-exempt organizations, foreign private foundations, and governments of U.S. possessions.
 Use this form for:

- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) of the U.S. Internal Revenue Code

How to access the US Tax Form e-lodgement Tool (continued)

Step 6: Fill out the form as per instructions provided by the tool.

A few pointers that may help you while completing the form:

- The name fields on the beneficial owner page will be pre-populated

Legal Name

Legal Name

Is the account holder a disregarded entity?

Country of Organization/Incorporation

Country of Organization/Incorporation

- For individual, joint and minor accounts, the name of the account holder logged in is used. If you have a power of attorney and they are logged into your account on your behalf, your details will be pre-populated. This is since each account holder is the beneficial owner and is required to complete W-8BEN (individual) forms.
- Please note for joint accounts, all account holders must complete W-8BEN forms in order to claim the reduced withholding tax (WHT) rate.
- For other account types the account name will be used for the Legal Name.

Legal Name

Legal Name

Is the account holder a disregarded entity?

- The residence address field will be pre-populated with the residential address of the trading account.

Residence Address

Street Address Address Line 2

City Postal Code

Country State/Province/Territory

Is the address provided a P.O. box or 'in-care-of' address?

Step 6 continued overleaf >

How to access the US Tax Form e-lodgement Tool (continued)

- **Tax Residence** – If you are a tax resident of Australia, you can provide your tax file number or accept the default as 'Not Legally Required'. Depending on your tax residence, you may be required to provide the Tax Identification Number issued by your jurisdiction of tax residence.

Tax Residence

Country of Tax Residence TIN

The account holder does NOT have a TIN for this country and/or is not legally required to provide a TIN.

Treaty Benefits ?

Is the account holder claiming a reduced rate of withholding under a tax treaty between the U.S. and another country?

- The data on each page is validated before proceeding to the next page. If there are validation errors on the current page, the continue button is bordered with light blue (Continue). Error messages appear in red below the field. Please correct the errors to proceed.

Tax Residence

Country of Tax Residence TIN

*Tax Residency is required. *Local TIN is required.

The account holder does NOT have a TIN for this country and/or is not legally required to provide a TIN.

- On completion of the form, you will receive the confirmation page.

Thank You

Your tax form has been successfully completed and submitted for review. You will be contacted shortly if additional documentation is required. A copy of your tax form can be downloaded and saved for your own records below.

Document Type	Status	
W-8BEN-E	Submitted	

- It may take up to 24 hours for the platform to reflect the successful completion of the form.

US Tax Form Information

Account:

US Tax Form received: Yes

Form type: W-8BEN

Expiry date: 31 December 2024

Treaty country: Australia

Beneficiaries Details

First name	Last name	Status	Treaty Eligible	Form type	Expiry date	Treaty country
John	Citizen	Valid	Yes	W-8BEN	31 December 2024	Australia

