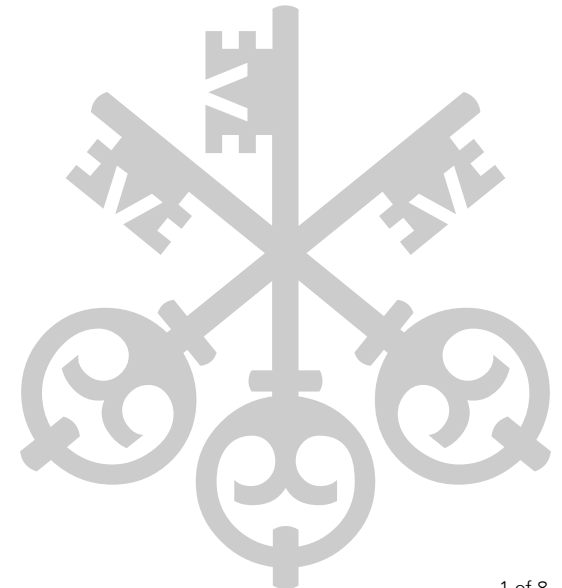




UBS One Source Understanding tax forms—non U.S. taxpayers

UBS Workplace Wealth Solutions



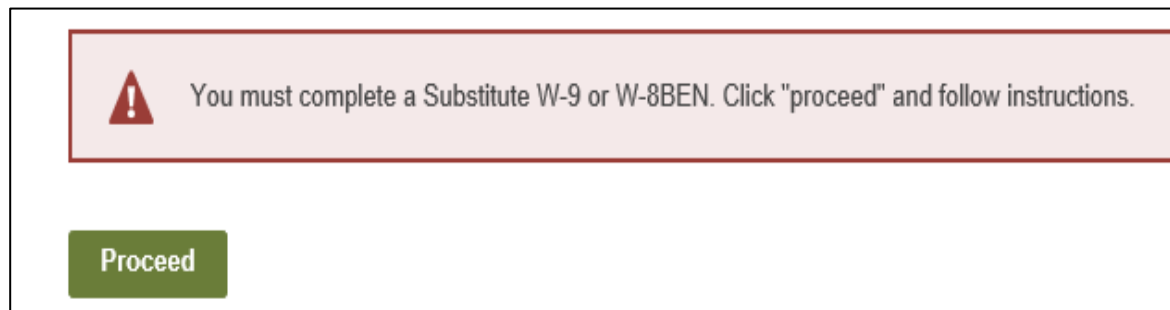
How to complete a tax form on UBS One Source


**All participants must complete a tax form, regardless of where they reside to avoid backup withholding and to be able to place trades. There are two tax forms available depending on your status: W9 and W8-BEN.*

- **W9:** US Taxpayer Form
 - **W8-BEN:** Non-US Taxpayer Form
-
- By completing a tax form, you are satisfying a US Federal Government requirement. Regardless of the form filled out, UBS relies on your employer for tax rates unique to you.

Simply log into One Source to get started. You will automatically be prompted to fill out a tax form if UBS does not have one on file for you.

Step 1: Click 'Proceed' to begin.



 You must complete a Substitute W-9 or W-8BEN. Click "proceed" and follow instructions.

[Proceed](#)

Step 2: Answer basic interview questions about you.



How to complete a tax form—non U.S. taxpayers



Languages : EN | FR | DE | ES | JA | ZH

Interview Questions

Please select your status below to determine the appropriate tax form. (Hint: Use the links below)

For additional information click on the highlighted links below before making your selection. If none of the links are helpful, click on the "Back" link to return to the previous page or the "Logout" link to return to the UBS website. If you are a U.S. Citizen, you should click on the "U.S. Citizen" link. If you are a U.S. Resident Alien, you should click on the "U.S. Resident Alien" link. If you are a Non-Resident Alien, you should click on the "Non-Resident Alien" link. If you are a U.S. Resident Alien who is also a U.S. Citizen, you should click on the "U.S. Resident Alien and U.S. Citizen" link. If you are a U.S. Resident Alien who is also a U.S. Resident Alien, you should click on the "U.S. Resident Alien and U.S. Resident Alien" link. If you are a U.S. Resident Alien who is also a U.S. Resident Alien and a U.S. Citizen, you should click on the "U.S. Resident Alien and U.S. Resident Alien and U.S. Citizen" link. If you are a U.S. Resident Alien who is also a U.S. Resident Alien and a U.S. Resident Alien and a U.S. Citizen, you should click on the "U.S. Resident Alien and U.S. Resident Alien and U.S. Resident Alien and U.S. Citizen" link.

- I am a U.S. Citizen
- I am a U.S. Resident Alien

If you work or live in the U.S. for a certain period of time and are not a U.S. Citizen, you may select U.S. Resident Alien.

- I am a Non-Resident Alien

Were you born in U.S.?

- Yes
- No

[Back](#) [Logout](#) [Continue](#)

If you are a Non-Resident Alien, select and click **"Continue"**.

Answer the questions that follow and you will be directed to the W8 certification process.

Interview Questions

Type of beneficial owner:

- Individual
- Other

[Back](#) [Logout](#) [Continue](#)



How to complete a tax form—non U.S. taxpayers

Interview Questions

Please provide your Foreign Taxpayer ID numbers.

Country of Issuance	Foreign Tax ID
Please Select a Country ▼	<input type="text"/>
Please Select a Country ▼	<input type="text"/>
Please Select a Country ▼	<input type="text"/>
Please Select a Country ▼	<input type="text"/>
Please Select a Country ▼	<input type="text"/>
Please Select a Country ▼	<input type="text"/>
Please Select a Country ▼	<input type="text"/>
Please Select a Country ▼	<input type="text"/>
Please Select a Country ▼	<input type="text"/>
Please Select a Country ▼	<input type="text"/>

If you do not have your Foreign Tax ID and if the below language does not apply to your Foreign Tax ID situation, please complete a paper W-8BEN and list your explanation in box 6 and submit it to: UBS Financial Services Inc., 315 Deaderick Street - (V7C6), Nashville, TN 37238

By checking this button I attest that I am not legally required to obtain a taxpayer identification number (TIN) in my jurisdiction of tax.

- Please select a country in the dropdown menu and provide your Tax ID for the respective country OR check the box at the bottom that says “I am not legally required to obtain a tax payer identification number (TIN) in my jurisdiction of tax.”

Example: Canada’s Foreign TIN is known as a 9-digit Canadian Social Insurance Number.

- If you have multiple TINs, please fill out multiple rows with the required information.

How to complete a tax form—non U.S. taxpayers

W-8BEN Certification

Part 1: Participant Information (Identification of Beneficial Owner)

Name	Type of Beneficial Owner Individual
Account Number	Employee ID
Date of Birth	Country of Citizenship
Mailing Address	Permanent Residence Address

UBS Financial Services Inc.
Substitute Form W-8BEN

Account Type: Brokerage (Stock Benefit Plan)

Interview Answers

I am a Non-Resident Alien: Yes

Were you born in the U.S.?: No

[W-8BEN Instructions](#)

By selecting Confirm and Agree, you confirm the information in Part 1 of this tax document is accurate.

[Back](#)

[Confirm and Agree](#)

Confirm the information is correct and Click ***"Confirm and Agree."***

How to complete a tax form—non U.S. taxpayers

Part 2: Answer the tax treaty question and complete your country of residence. If your country does not have a tax treaty with the US the country will not be displayed in the drop down options.

Part 3: Check the appropriate boxes

Please certify by checking all the boxes

Part 2: Claim of Tax Treaty Benefits

Would you like to claim a tax treaty?

- Yes
- No

Are you resident in a country that has a tax treaty with the United States?

- I certify that the beneficial owner is a resident of within the meaning of the Income tax treaty between the United States and that country.
- No

Are you taxed as a resident of the selected treaty country?

- Yes
- No

Only countries that have a Tax Treaty with the United States appear in the dropdown list above. In order to receive the Tax Treaty benefits, you must answer all three questions for us to be able to determine if your account is eligible to receive treaty benefits.

Part 3: Certifications*

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named on this form is not a U.S. person,
- The income to which this form relates is: (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an applicable income tax treaty, or (c) the partner's share of a partnership's effectively connected income,
- The person named on this form is a resident of the treaty country selected on the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

You must make the declaration contained in the above penalty of perjury statement. The declaration is made by signing Part III of this form.

Elect **"Yes"** and the UBS system will surface the treaties that are applicable.

How to complete a tax form—non U.S. taxpayers

Part IV - W-8BEN Statement of Unchanged Status

The section is not mandatory. If IRS backup withholding has been or will be applied it cannot be refunded without this affidavit. If NRA tax has been or will be withheld and you are submitting a new tax form with a tax treaty country for retroactive reimbursement it cannot be refunded without this affidavit.

In order to have any potential IRS backup withholding or NRA tax reversed through the use of this affidavit, it must be submitted and applied within the same calendar year the applicable tax was charged and no change in circumstance has occurred.

Beneficial Owner Name:

"Under penalties of perjury, I declare that I have examined the Form W-8BEN that I signed on

   (MM/DD/YYYY)

and hereby confirm and certify that the information and representations contained on the form were accurate from the beginning of this year through the current date. I further understand that this certification will be used to determine the amount of U.S. tax to be withheld from payments made to me during the above period."

Signature

Date

   (MM/DD/YYYY)

Print Name

In order to submit your tax form to UBS Financial Services Inc., please click submit and answer the password question when prompted.

Type your name in the Beneficial Owner box, the Signature box and the Print Name box. Choose the current date in the two (2) Date boxes and click **"Submit"**.

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