

**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

(Rev. October 2021)

► For use by individuals. Entities must use Form W-8BEN-E.

OMB No. 1545-1621

Department of the Treasury  
Internal Revenue Service

► Go to [www.irs.gov/FormW8BEN](http://www.irs.gov/FormW8BEN) for instructions and the latest information.

► Give this form to the withholding agent or payer. Do not send to the IRS.

**Do NOT use this form if:**

**Instead, use Form:**

- You are NOT an individual . . . . . W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services) . . . . . W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . 8233 or W-4
- You are a person acting as an intermediary . . . . . W-8IMY

**Note:** If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner** (see instructions)

<b>1</b> Name of individual who is the beneficial owner		<b>2</b> Country of citizenship
<b>3</b> Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>		
City or town, state or province. Include postal code where appropriate.		Country
<b>4</b> Mailing address (if different from above)		
City or town, state or province. Include postal code where appropriate.		Country
<b>5</b> U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)		
<b>6a</b> Foreign tax identifying number (see instructions)	<b>6b</b> Check if FTIN not legally required . . . . . <input type="checkbox"/>	
<b>7</b> Reference number(s) (see instructions)	<b>8</b> Date of birth (MM-DD-YYYY) (see instructions)	

**Part II Claim of Tax Treaty Benefits** (for chapter 3 purposes only) (see instructions)

**9** 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.

**10 Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_.

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part III Certification**

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 or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
  - (a) income not effectively connected with the conduct of a trade or business in the United States;
  - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
  - (c) the partner's share of a partnership's effectively connected taxable income; or
  - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of 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.**

**Sign Here** ▶

I certify that I have the capacity to sign for the person identified on line 1 of this form.

\_\_\_\_\_  
Signature of beneficial owner (or individual authorized to sign for beneficial owner)

\_\_\_\_\_  
Date (MM-DD-YYYY)

\_\_\_\_\_  
Print name of signer

## W-8BEN Form Instruction

(This instruction is only used as a reference for SogoTrade customer filling out W-8BEN form. For official and detail instruction, please refer to IRS website.)

### **\*\* Are Mandatory Fields.**

#### **\*\*1. Name of Individual who is the Beneficial Owner**

- Official full name shown on passport. First name at front and Last name at back.

#### **\*\*2. Citizenship**

- Country of citizenship. If you are a dual citizen, enter the country where you are both a citizen and a resident at the time you complete this form.

#### **\*\*3. Permanent Residence Address**

- Your permanent residence address is the address in the country where you claim to be a resident for purposes of that country's income tax. Do not enter the address of a financial institution, a post office box, or an address used solely for mailing purposes.

#### **4. Mailing Address**

- Enter your mailing address only if it is different from the address you enter on line 3.

#### **5. U.S. Taxpayer Identification Number**

- If you have a U.S. social security number (SSN) or individual taxpayer identification number (ITIN), enter the 9 digits number in this field. If you do not have a U.S. SSN or ITIN, please leave it blank.

#### **\*\*6a. Foreign Tax Identification Number**

- Enter the taxpayer number you use when you file income tax in your country.

#### **6b. Check if FTIN not legally required**

Australia, Bermuda, British Virgin Island and Cayman Islands are the only jurisdictions that do not required providing FTIN. You may simply check off the box if your registered permanent residence address entered on line 3 is within these 4 jurisdictions. If for any reason that you are unable to provide your FTIN, a reasonable explanation for not having one and legal supporting document must be provided. If neither is provided, the account will be subject to maximum withholding on all U.S. source income. Our clearing firm, Apex, is not required to withhold on sales proceeds.

#### **\*\*7. Reference Number**

- Enter your SogoTrade account number (it is alphanumeric starting with "5").

#### **\*\*8. Date of Birth**

- Enter your date of birth in MM-DD-YYYY format.

#### **\*\*9. Residence Country for certifying Tax Treaty Benefits**

- Enter your country of residence. It should be as same as line 3, permanent residential address country.

#### **10. Special rates and conditions**

- Fill out only if applicable. If not applicable, please leave it blank.

#### **\*\*I certify that I have the capacity to sign for the person identified on line 1 of this form.**

- Check off the box before signing the form.

#### **\*\*Sign Here >**

- Print out and physically sign the form. \*\*We do not accept digital signatures (E-signature nor Copy-and-Paste Signature) that is not actually sign on paper form.\*\*

#### **\*\*Date (MM-DD-YYYY)**

- Date that you complete and sign this form.

#### **\*\*Print Name of Signer**

- Print out the name of the party who complete and sign this form.