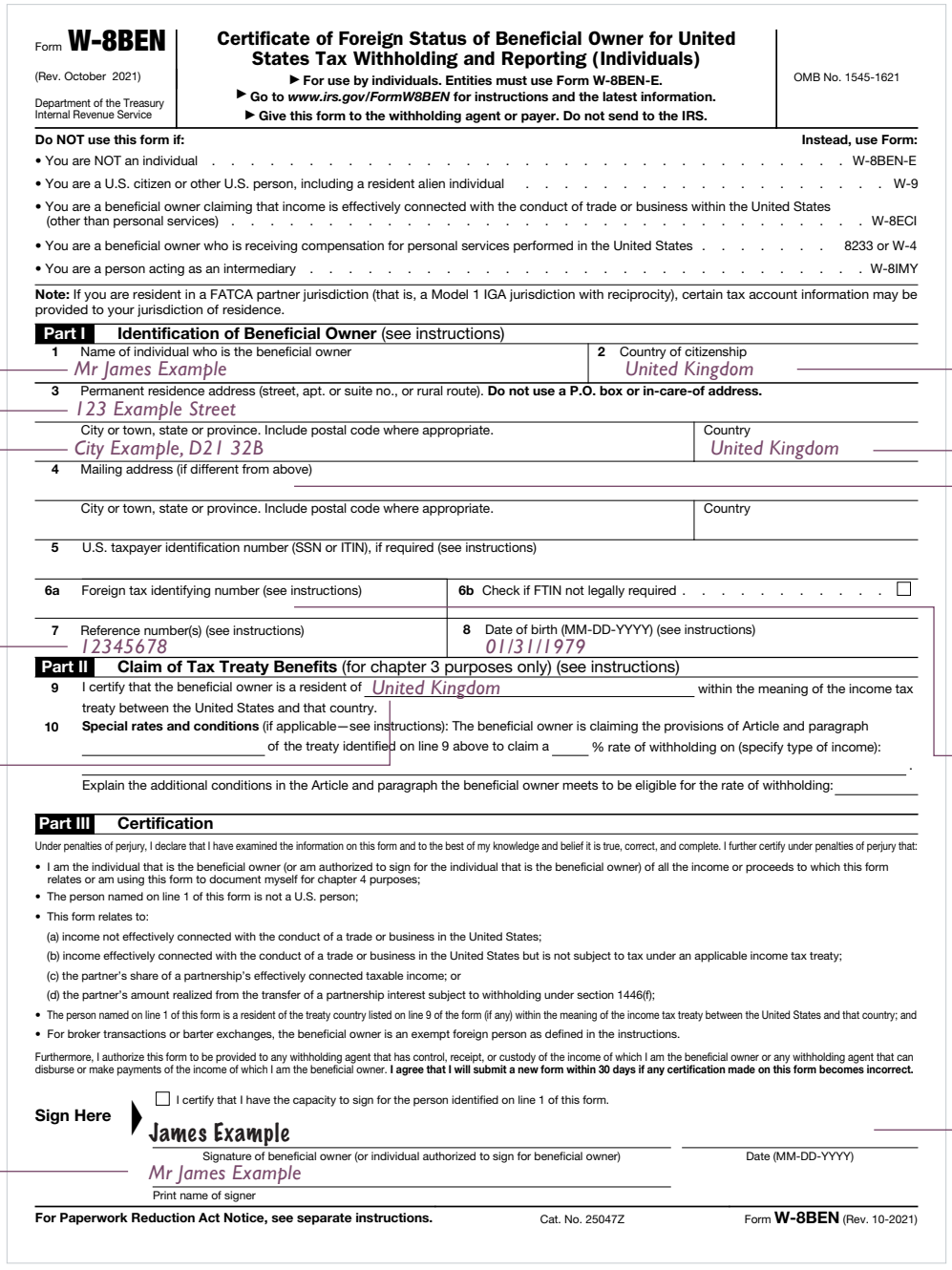
STOCKTRADE
GUIDE TO COMPLETING FORM W-8BEN

About Form W-8BEN

Form W-8BEN is a document that you must complete if you want to invest in US (United States) stocks and shares through any Account with Stocktrade. It captures information that we are required to record for the US Internal Revenue Service (IRS).

Completing this form also means you can benefit from treaty relief on dividend and interest payments if you live in a country that has a relevant tax treaty with the US.

Please take care when you are completing your Form W8-BEN as we are unable to accept any forms that have had amendments made to them. If you do make a mistake, you will need to complete a new form.



Form **W-8BEN**
(Rev. October 2021)
Department of the Treasury
Internal Revenue Service

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)
► For use by individuals. Entities must use Form W-8BEN-E.
► Go to *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.

OMB No. 1545-1621

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)

1 Name of individual who is the beneficial owner: *Mr James Example*
2 Country of citizenship: *United Kingdom*
3 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address.**: *123 Example Street*
City or town, state or province. Include postal code where appropriate.: *City Example, D21 32B*
Country: *United Kingdom*
4 Mailing address (if different from above)
City or town, state or province. Include postal code where appropriate.
Country
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)
6a Foreign tax identifying number (see instructions)
6b Check if FTIN not legally required . . . ☐
7 Reference number(s) (see instructions): *12345678*
8 Date of birth (MM-DD-YYYY) (see instructions): *01/31/1979*

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 *United Kingdom* 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.
James Example
Signature of beneficial owner (or individual authorized to sign for beneficial owner) — Date (MM-DD-YYYY)
Mr James Example
Print name of signer

For Paperwork Reduction Act Notice, see separate instructions. Cat. No. 25047Z Form **W-8BEN** (Rev. 10-2021)

Full name of beneficial owner of investment.

Full permanent residential address in the country where you claim to be resident.

Put your Stocktrade Client Reference Number here.

Put your country of residence for tax purposes here.
Residents of England, Scotland, Wales or Northern Ireland, should enter United Kingdom.
Abbreviations are not accepted.

Sign and date the form. If you are not the beneficial owner, indicate the capacity in which you are acting.

You should enter the country name as it appears on your passport. Abbreviations are not accepted.

Residents of England, Scotland, Wales or Northern Ireland, should enter United Kingdom.

Only enter a mailing address if different from your residential address.

Put your TIN here. In the UK this will normally be your National Insurance Number (NINO).

Please make sure you enter the date in the American format shown – month first, then day of the month, then year.

Joint Accounts and Accounts held in the name of a corporate or other entity

If your Account is a joint Account, each individual Account holder must complete their own Form W-8BEN.

If your Account is held in the name of a corporate or other entity rather than in the name of an individual(s) you may need to complete a different form, such as a W-8BEN-E. You can download a copy of this from the IRS website at **www.irs.gov**.

You won't be able to trade in US stocks and shares until you have completed the Form W-8BEN in full and returned it to our Customer Services Team by email or at the following address:

Stocktrade
11/12 Wellington Place
Leeds
LS1 4AP

Email: **support@stocktrade.co.uk**

If you need more help

The guidance notes in this document are designed to give you pointers about how to complete your Form W-8BEN but they are not exhaustive and we can't give you tax advice. So if you are in any doubt, we recommend you also read the full, official IRS guidance notes at **www.irs.gov**.

If your circumstances change

If your tax circumstances change after completing your Form W-8BEN you are required to send us an updated one.

Stocktrade is a trading name of Embark Investment Services Limited, a company incorporated in England and Wales (company number 09955930) with its registered office at 33 Old Broad Street, London, EC2N 1HZ. Embark Investment Services Limited is authorised and regulated by the Financial Conduct Authority (Financial Services Register number 737356).

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