



TRANS WORLD COMPLIANCE, INC. & CARIBBEAN ASSOCIATION OF BANKS, INC.

Presents: FATCA compliance simplified



IRS REPORTING REQUIREMENTS

- Reporting Requirements Review
- Trans World Compliance's FATCA One[™]





8966 FATCA FORM

Form 8966 Completion

FILER	SEPARATE FORM 8966 FOR EACH	COMPLETE PARTS
PFFI	U.S. account held by a specified U.S. person	I, II, and IV
	Substantial U.S. owner of a passive NFFE (passive NFFE is holder of the U.S. account)	I, II, III, and IV
	Specified U.S. person owning certain equity or debt interests in an ODFFI for which you act as a designated withholding agent	I, II, III, and IV
	Account held by nonparticipating FFI (unless pooled reporting is applicable)	I, II, IV
	Pooled Reporting for recalcitrant account holders (or non-consenting U.S. accounts) or nonparticipating FFIs	I and V
WITHHOLDING AGENT	Specified U.S. person owning certain equity or debt interests in an ODFFI to which the withholding agent makes a withholdable payment	I, II, III, and IV
	Substantial U.S. owner of a passive NFFE to which the withholding agent makes a withholdable payment	I, II, III, and IV
DIRECT REPORTING NFFE	Substantial U.S. owner of a direct reporting NFFE	I, II, III, and IV



SIMPLE EXAMPLE

Problem: Bank A has a US customer David Olenzak with a savings account balance of \$40,320 and a checking account balance of \$18,975.

David Olenzak	Savings	Account #343583	\$40,320
David Olenzak	Checking	Account #892423	\$18,975



SIMPLE EXAMPLE

Problem: Bank A has a US customer David Olenzak with a savings account balance of \$40,320 and a checking account balance of \$18,975.

David Olenzak	Savings	Account #343583	\$40,320
David Olenzak	Checking	Account #892423	\$18,975

We need two FATCA 8966 forms submitted.

FATCA Form Part 1: Reporting Institution is Bank A information
FATCA Form Part 2: Account Holder is David Olenzak
FATCA Form Part 3: (blank)
FATCA Form Part 4: Financial Information will be Account #343583 for \$40,320
FATCA Form Part 1: Reporting Institution is Bank A information
FATCA Form Part 2: Account Holder is David Olenzak
FATCA Form Part 3: (blank)
FATCA Form Part 4: Financial Information will be Account #892423 for \$18,975



HIERARCHY EXAMPLE

Problem: Bank A has a customer XYZ Company, a Passive NFFE with an account balance of \$340,900. XYZ Company has three substantial US owners: Aaron, David, and Moe.

XYZ Company	\$340,900
Aaron	(none)
David	(none)
L Moe	(none)



HIERARCHY EXAMPLE

Problem: Bank A has a customer XYZ Company, a Passive NFFE with an account balance of \$340,900. XYZ Company has three substantial US owners: Aaron, David, and Moe.

XYZ Company	\$340,900
Aaron	(none)
— David	(none)
L Moe	(none)

We need three FATCA 8966 forms submitted (one for each substantial US owner).

- FATCA Form Part 1: Reporting Institution is Bank A information
- FATCA Form Part 2: Account Holder is XYZ Company
- FATCA Form Part 3: US owners will be Aaron, then David, then Moe
- FATCA Form Part 4: Financial Information will be XYZ Company account information



8966 FORM DATA CONVERSION INTO XML

		FATCA Re	oport		OMB No. 1545-2246
partment of the Traccury email Revenue Service	► Information about	2014			
heck if report is be	eing corrected, amend	ed, or voided			-
orrected report	Amended repo	rt 🔲 Voided reg	port 🔲		
arti identifi	cation of Filer				
Name of Filer					
Harton, Ander, and h	and a state for far the state of the	a randanaj			
a Oty or town		3b State/Province/Region		Be Country (Including po	etal code)
Global Internediary Ide	entification Number (GIN)		5 TIN	1	
Name of Sponsored En	itty or Intermediary, if applicable				
Number, street, and ro	om or sulle no. (fl P.O. box, se	e instructions)			
a City or lease		No. Made/Denisera/Denice		Re. Country Including re-	dal motel
a conj or soliti		w awarrowlow-agos			
GIN			10 TIN	-	
Accour	nt Holder or Payee Int	formation			
Name of Account Hold	er or Payse				
Number, sites, and re-	om or sale on ALEO, how we	instructional			
rearrand, money, and rea	and again the provident and				
Otly or town		3b StateProvinceRegion		Be Country (Including po	etal code)
a City or town		3b State/Province/Region		Be Country (Including po	ebal coodel)
a City or town TIN		8b StateProvinceRegion		Be Country (Including po	elai codej
a City or town	enverir en artik, skaal o	3b StateProvinceRegion	tib és kass	Se Country (Including po	tal code)
City or town TIN If account holder or Come Proceeded II	payee is an entity, check a	36 StateProvincePlagion pplicable box to specify the e	nthy's type:	Se Country (Including po	rtal coda)
Oty or town TIN If account holder or Owner-Documented P Non-Dedictor(In)	payoe is an entity, check a 11 with specified U.S. owner(4)	36 State/Province/Region pplicable box to specify the e	ntBy's type: Peerbo NTTE with a Peerbo NTTE with a	Be Country (Including po	tal codej
Oty or lown TIN If account holder or Owner-Documented P Non-Participating ITT1 Direct Reporting NTT1	payoo is an ontity, chock a Ti with specified U.S. owner(s) :	36 StateProvince/Region	ntBy's type: Peerlee NTTE with a Specified U.S. Peerl	Be Country (Including po adaptantial U.S. owner(i) m	dal code)
a City or lown TIN If account holder or Owner-Documented P Non-Participating ITTI Direct Reporting NTTE	payoe is an entity, check a 11 with specified U.S. owner(b)	36 StateProvinceFlagion	nthy's hype: Passive NTT: with 1 Specified U.S. Pere	Be Country (including po ubstantial U.S. owne(i) et	del codej
City or lown TTN If account holder or Owner-Documented P Non-Participating ITT Date: Reporting NTTT City III Identify	payae is an entity, check a 11 with specified U.S. owner(s) : /Ing Information of U	Se StateProvinceRagion pplicable box to specify the e .S. Owners that are sp	ntBy's type: Passive NTT: with a specified U.S. Pers ecified U.S. Pers	Se Country (Including po abstantial U.S. owner(I) m	tel code)
a City or lown TN If account holder or Owner-Documented P Non-Participating ITI Direct Reporting NITT ETI III Identify Name of Owner	payoe is an entity, chack a 11 with specified U.S. owner(s) : : /ing information of U	Se SteleProvinceFlegion pplicable box to specify the e .S. Owners that are sp	ntity's type: Passba NTT: with 1 Specified U.S. Pare ecified U.S. Pers	Se Country (Including po adattantial U.S. owner(h) in	tel code)
City or town TIN If account holder or Owner-Documented F Non-Peticipating FFI Desc Reporting NFTE Councer Appendix Net To Name of Owner Name of Owner	payoo is an entity, check a rit with specified U.S. owner(s) : /ing information of U	StateProvinceFlagton pplicable box to specify the e S. Owners that are sp reductions	ntBy's type: Passive NTT with a specified U.S. Pers ecified U.S. Pers	Se Country (Including po substantial U.S. owner(k) m	tal codej
a City or town TTN If account holder or Owner-Documented f Non-Participating TTT Jonest Reporting NTT Ent III Identify Name of Dense Namber, street, and no	payoo is an entity, check a rt with specified U.B. cennely : /ing information of U on or suite no. (f P.D. box, see	Seterative and a second s	nthys type: 	Se Country (Including po adortantial U.S. owner(k) is	thi codej
a City or lown TN If account holder or Jonner-Decumented P Joner-Participating TTI Desci Happering NTT City III Identify Name of Denar Namber, street, and rox a City or lown	payoe is an entity, check a my eth specified U.S. owner(k) : /Ing Information of U orn or wile no. (f P.C. box, see	SeterProvincePage pplicable box to specify the e S. Owners that are sp reduction(SeterProvincePagion	ntty's type: Peestee NFTE with a specified U.S. Pers ecified U.S. Pers	Be Gountry (Including po abritantial U.S. owned)) on Se Gountry (Including po	dal code)
a City or lown TIN If account holder or Joner Occurrented 1 Ion-Paticpating ITT Date Happening ITT Date Happening ITT Date of Denar Name of Denar Name of Denar	payoo is an entity, chock a 11 with specified U.B. ownerja	Statuthomostlagion Statuthomostlagion S. Owners that are sp instaction(So Statuthomostlagion	nthys type: Passes NTT: with specified U.S. Pers eclified U.S. Pers	Country (including po- abstrambel U.S. connectly) m ONS Country (including po-	nter code) nter code)
a City or lows If account holder or downer-Documented F loon-Participating FTI Dancel Reporting NTTE Carel III Identify Name of Denner Namber, stheel, and no a City or lows Th of Denner	payoo is an entity, check a 11 with specified U.S. owneys 2 Ang Information of U on or suite no. (1 P.O. box, see	State/Pownoa/Tagion pplicable box to specify the e .S. Owners that are sp subsctored State/Pownoa/Tagion	etity s type: Topolo NTTE with a postiled U.S. Pers ecified U.S. Pers	Se: Country (Including pro- abolitambel U.S. connect) in ODIS Se: Country (Including pro-	de code) de code)
City of law TN TA Account holder or Owner Documented T Anner Sporting TH Owner Social (Control (Contro) (Control (Control (Control (Control (Control (Contro) (Contro)	payoo is an entity, check a rt with specified U.S. connexp) : : : : : : : : : : : : : : : : : : :	Selecthomostingion Selecthomostingion S. Owners that are sp Instruction Se Selecthomostingion	ettlys type: Passter NTT with specified U.S. Pers	Se: Country (reduting per adultantial U.S. cennel)) in Se: Country (reduting per	de cole) tal colej
City or loan TN If account holder or over- occurrented to too-Pertipating HTT Cited Haporing NTT Cited Haporing NTT Cited Haporing NTT Cited Haporing NTT Cited Haporing NTT Cited Covers TN of Center TN of Center TN of Center TN of Center	payoo is an antity, chock a Th with specified U.S. shore by ing Information of U and a state no. (F.P.C. boo, we leal information	Enterthemachington policible box to specify the e	ethys type: Pacebe NYTE with a specified U.S. Peers eclified U.S. Pers 2 Commey Code	Be Country (including po adutionabil U.S. comorp) n ONS Be Country (including po	del costej
City of Jawn TN If account holder or Owner Bocumented f Non-Packapaling NTT Dancel Taponing NTT Dancel Taponing NTT Dancel Taponing The Account Number This of Owner This of Owner This of Owner Count Number	payes is an onthy, check is in white specified U.S. energy Ang Information of U an or ratio no. (1990, box, we iai Information	S Elain/Hortroatington So Elain/Hortroatington So Owners that are sp Inductions(Inductions) Enain/Hortroatington	ethys type: have NTT: with a postfled U.S. Pers Converse Code	Se: Country (reducting pro- abutine to U.S. connect) or on Se: Country (reducting pro-	far code)
a City or teen TN If account holder or Owner Decumented H teen Patcharter (NT Dece Decumented NT Construction NT Construction NT Name of Conser Nartise, stead, and rol a City or teen TN of Owner City of Dece City of Dece City of Dece	payoo is an antify, chock a m with excited U.S. energy ing Information of U energy and the set of P.O. box, we lait Information	Enkithemaningen printiple box to specify the e content that are sp instructions the Enkithemaningen	ettiya type: Tranko NTT with Generated U.S. Peres ecified U.S. Peres 2 Cameray Gods	Se: Country (including pro- abulantial U.S., concept) in Se: Country (including pro- Se: Country (including pro-	far code) dar code)
a City or teen TN if account holder or Owner Decarement P in-Periopating TT ment inporting NTT Count in County Name of Dears Names of Dears Names of Dears TN of Owner City or teen TN of Owner City or teen City or	payee is an onthy, check is with specified U.S. energy and information of U and information of U and information	B Elekthonocitegen pointable box to specify the e covers that are sp instructions(Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second Second	ethy's type: Peeden NTT: with in specified U.S. Peers Currency Code	Se: Country (reduting po aduatation U.S. connect) in ODS Se: Country (reduting po	far code)
a City or taxes TN T Occurs I hold or of Ormer Deconneller I I don-Pricipality IT: Date I donot Reporting NTT Classic Reporting NTT Classic Reporting NTT Classic Reporting NTT Classic Reporting NTT Reporting NTT Name of Classic Statistic Reporting NT Name of Classic St	papee is an antity, check is interpretent U.S. enropp and information of U on or rule no. (I PCL box, we iai information	Enkishemaningen printite box to spacify the a content that are sp instructions the Enkishemaningen	ethys type: Packet NTT with a specified U.S. Pers ecified U.S. Pers 2 Currency Code 4 Gross proceeds?lat	Se: Country (restuding po adultantial U.S. correct) in Se: Country (restuding po damptors	fal code) del code)
a City or base TR TR TR discount holds or One - Decounted of One - Decounted of Discounted of Discounted of Discounted of Transmit Count Transmit Count Transmit Count Transmit Count Transmit Counte Transmi	payse is an entity, check at TI with specified U.S. energing infig Information of U on or asis no. (FPC) box, see lai information	Belieffenteatingen prinzible box to specify the e covers that are sp transcript and the specify the e statuction and the specify the	titly's type: Paulos NTT with paulos NTT paulos NTTT paulos NTT paulos NTT paulos NTT paulos NTT paulos N	Se: Country (notating per advisarial U.S. concept) m ONS Se: Country (including per demployee	fal code)
City or basis Th To To To To	papee is an entity, check is in oth specified U.S. enropy in drig Information of U enror rule no. (f IPC) box, we liai Information	Enkishemaningen printerie box to specify the o content that are sp instructions a Enkishmentalingen	ttly's type Pennin NTT etb : Pennin NTT etb :	See Country (including po- abulate lat U.S. convert) on ons See Country (including po- barry tools)	the cookey

xml version="1.0" encoding="UTF-8" standalone="true"?
- <ns2:fatca_oecd <="" p="" version="1.1" xsi:schemalocation="urn:oecd:ties:fatca:v1 FatcaXML_v1.1.xsd"></ns2:fatca_oecd>
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xmlns:ns2="urn:oecd:ties:fatca:v1"
xmlns= "urn:oecd:ties:stffatcatypes:v1 ">
- <ns2:messagespec></ns2:messagespec>
<sendingcompanyin>C34VPZ.00000.SP.840</sendingcompanyin>
<transmittingcountry>US</transmittingcountry>
<receivingcountry>US</receivingcountry>
<messagetype>FATCA</messagetype>
<warning></warning>
< <u>MessageRefId>Test Test Group test@test.com Test 7 2015-05-30 17:22:56</u>
<reportingperiod>2015-05-30</reportingperiod>
<timestamp>2015-05-30T17:22:56.708-04:00</timestamp>
- <ns2:fatca></ns2:fatca>
- <ns2:reportingfi></ns2:reportingfi>
<rescountrycode>US</rescountrycode>
<tin issuedby="US">46-5297306</tin>
<name>Transworld Compliance Inc.</name>
- <address></address>
<countrycode>US</countrycode>
<addressfree>2145 Wolftrap Court Vienna, VA 22182</addressfree>
- <ns2:docspec></ns2:docspec>
<ns2:doctypeindic>FATCA11</ns2:doctypeindic>
<pre><ns2:docrefid>test@test.com 52 901283A 2 2015-05-30 17:22:56</ns2:docrefid></pre>
- <ns2:reportinggroup></ns2:reportinggroup>
- <ns2:accountkeport></ns2:accountkeport>
- <ns2:docspec></ns2:docspec>
<pre><inst:puctypeindic>FAICAII</inst:puctypeindic></pre> //nst:puctypeIndic>



FATCA ROLL OUT

	2015	2016	2017
US IRS FATCA	\checkmark	\checkmark	\checkmark
Who How	US Citizens, NPFFI, Re US FATCA XML form	ecalcitrant Accounts at	
UK FATCA		\checkmark	\checkmark
Who How	UK Territory Resident UK FATCA XML form	ts (10 CDOT + UK) at	
CRS FATCA			\checkmark
Who How	TBD CRS FATCA XML form	mat	



DATA CONVERSION INTO XML

US Citizens

8966	OMB No. 1545-2245					
Department of the Treasury Informal Revenue Service	► Information about	► Information about Form 8966 and its separate instructions is at www.irs.gov/form8066.				
Check if report is being corrected, amended, or voided						
Corrected report	Amended repo	rt 🔲 Voided report				
Part I Identific	ation of Filer					
1 Name of Filer						
2 Number, street, and ros	em or suite no. (# P.O. box, se	e instructions)				
Ba City or town		3b State/Province/Region	Se Co	unity (including pos	tal code)	
a cay or some an						

UK Residents



CRS Residents



Copyright 2015, Trans World Compliance, Inc.

US XML format

<?xml version="1.0" encoding="UTF-8" standalone="true"?>

<ns2:FATCA_OECD xsi:schemaLocation="urn:oecd:ties:fatca:v1 FatcaXML_v1.1.xsd" version="1.1" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xmlns:ns2="urn:oecd:ties:fatca:v1" xmlns="urn:oecd:ties:stffatcatypes:v1">

- <ns2:MessageSpec>
 - <SendingCompanyIN>C34VPZ.00000.SP.840</SendingCompanyIN> <TransmittingCountry>US</TransmittingCountry>
 - <ReceivingCountry>US</ReceivingCountry>

UK XML format

<ResCountryCode>US</ResCountryCode> <TIN issuedBy="US">46-5297306</TIN>

- <Name>Transworld Compliance Inc.</Name>
- <Address>

<CountryCode>US</CountryCode>

- <AddressFree>2145 Wolftrap Court Vienna, VA 22182</AddressFree>
- </Address>
- <ns2:DocSpec>

CRS XML FATCA

- <Timestamp>2015-05-30T17:22:56.708-04:00</Timestamp> </ns2:MessageSpec> <ns2:FATCA> - <ns2:ReportingFI>
 - <ResCountryCode>US</ResCountryCode> <TIN issuedBy="US">46-5297306</TIN>
 - <Name>Transworld Compliance Inc.</Name>
 - <Address>



FATCA STEPS

- Who has to be reported?
- What data deficiencies have to be resolved?
- Generate the correct XML
- Deliver the data to the reporting authority



INTRODUCING FATCA ONE

- Introduction to Trans World Compliance, Inc.
- Assists with FATCA, UK FATCA, and CRS compliance
- Has multiple Rule Bases for a customized and localized solution including local tax reporting for IGA Model 1
- Supports the FATCA rules by flagging rows and fields
- Utilizes technology best practices for scalability and security
- Currently available as a hosted or installed solution

FATCA compliance simplified.

FATCA ONETM WORKFLOW



Copyright 2015, Trans World Compliance, Inc.

TWC





TWC

FATCA ONETM WORKFLOW



TWC



 IRS
 1042
 1099
 8966
 Audit
 Etc...
 Reporting

Copyright 2015, Trans World Compliance, Inc.

TWC

FATCA ONETM WORKFLOW



TWC

FATCA ONETM WORKFLOW



Copyright 2015, Trans World Compliance, Inc.

TWC



FATCA ONE LOGIN

🖻 FATCA One X +		
\leftarrow \rightarrow D test.fatcaone.com/FatcaOne		□ ☆ =
Find on page $ides$ No results $\langle \rangle$ Options \vee		
TWC Tross World Compliance	lease Login ×	
	Email dave@test.com	
	Password 0	
	Change Password Reset Password Logn Cancel Transworld Compliance Inc.'s FATCA,UK FATCA and CRS compliance solution By clicking below,you confirm that you are an authorized subscriber of FATCA One and understand and will abide by the terms of your subscription agreement including the policies and procedures located at http://transworldcompliance.com/policies.html. and the safe harbour principles located at http://transworldcompliance.com/safeharbor.html. If you have any questions, please contact us atsupport@transworldcompliance.com IAgree IIII If you have any term solution please contact us	



Choose a Batch

FATCA One × +									=	٥	×
\leftarrow \rightarrow \circlearrowright test.fatcaone.com/FatcaOne/#							☆	=		٩	•••
Find on page ides No results	$\langle \rangle$ Options \vee										×
						<u>_</u> dave@test.c	om G+L	OGOUT	I HELF	P	^
Tem Bill of Complete		Ch	Batch ID 5: Demo Batch 3								
	Batch ID	Batch Description	Rule Base	Last Upload	Last Update						
	5	Demo Batch 3	Bermuda reporting to the US FY 2014 v1.0		09-02-15						
	3	Demo Batch 1	Bermuda reporting to the US FY 2014 v1.0	09-02-15	09-02-15						
	4	Demo Batch 2	Bermuda reporting to the US FY 2014 v1.0	09-02-15	09-02-15						
				E	New Lpload						



UPLOAD DATA INTO THE BATCH Open ↑ 🎍 --- Dave + TWC + Sales+Marketing + demo + v & Search demo ,e IT . II . Organize * C Dronho Date modifier Type Size × + FATCA One Emuda-Demo-001.pptx 6/3/2015 2:17 PM Microsoft PowerP... 3,442 KB ConeDrive C Entities-007.alsx 6/1/2015 A/57 PM Minned Finel W 12 KB Q Accounts-007alter 6/1/2015 4:56 PM Microsoft Excel W., 11 KE 9 KE Homegroup \rightarrow \circlearrowright test.fatcaone.com/FatcaOne/# \leftarrow Hiearchy-007.sto Microsoft Excel W. 13 KB 9 KB Individuals-007.xts 6/1/2015-4:56 PM Microsoft Excel W... FSOverride.stsx TWC-Sales-Demo-020.pptx 5/15/2015 12:03 PM Microsoft Excel W. This PC Find on page ides $\langle \rangle$ Options \vee No results 4/1/2015 6:12 PM Microsoft PowerP_ 2,957 KB 161 KB Desktop 3/30/2015 12:17 PM Adobe Acrobat D... Cayman-FATCA-Self-certificatio E Documents W TWC-FATCA-Primer-003.ppts 2/17/2015 11:32 PM Microsoft PowerP... 12/18/2014 2:09 PM Adobe Acrobat D... 706 KB 84 KB Downloads Music Demo Script 002.docx 9/22/2014 9:17 AM Microsoft Word D., 6/11/2015 6:49 PM File fokder 15.100 TWC E Pictures Batch ID 5: Demo Batch 3 L old Videos Windows8 OS (C LENOVO (D.) choose / Upload Data Remediation Date modified: 6/1/2015 4:56 PM nts-007.xlsx Authors David Ole colt Excel Worksheet Size: 10.7 KB MA Content type: application/vnd.op File name: Accounts-007.slos v All Files Qpen 😽 Cancel Upload data for Batch ID 5: Demo Batch 3 3 Demo Batc 9-02-15 09-02-15 File Type Data Type 4 Demo Batc 9-02-15 09-02-15 Excel Account Data O Entity Data Text File (delimited) O XML Individual Data O Hierarchy Data CHOOSE FILE Accounts-008.xlsx X Close



SELECT RECORDS TO REMEDIATE

💌 FATCA One X +						- 0	×
\leftarrow \rightarrow \circlearrowright test.fatcaone.com/FatcaOne/#					□ ☆ =		
Find on page ides No results	$\langle \rangle$ Options \vee						×
					LOGOUT	I HELP	^
Trens there Completes		Batch iD Choose / Upload Data Remediation	5: Dermo Batch 3 Remediation Reporting Record Search Screen				
	Individual Entity						
		lr	dividuals Search				
	US Citizens	Red Flags	Name	Unique ID			
	Foreign Citizens	Yellow Flags					
	 Foreign w/US Indicia 	 Reportable Not reportable 	 Select All 				
				Q Search			



 \bigotimes = Will show screen details in subsequent slides.





² EDIT SCREEN

		1 dave@test.com GLOGOUT @ HELP	
2)	Individual Record Details		
	Unique ID : 239400B		
	Secondary ID : 1		
Show 10 -> entries	First Name :		Can edit data here
	Middle Name :		or reload data to
Statust Edit Unique ID\$ Sec.ID	Last Name : Johnson	¢ Hierarchy Details	
@ 🗹 1341244 ABC12	Date of birth: mm-dd-yyyy	A. 2	make updates and
	Tax ID Number: 282-928-8077	A 2	changes.
		A 12	e nem geen
Section 1	Citizenship : US	A 7	
5653069 1	Citizenship Proof :	A 2	
G C 5653070 1	Phone : +46 684 5657		
		<u> </u>	
678423 1	Address :	A 7	
T 7778881 1	City or Town : herndon, va	5 2	How to submit,
0 5	Country : US		void corrected
 N 8804798A 1 	Transmission Status : New: Ready to report	✓ < 0 ×	
		<u></u>	and amended
901283A 2	Comments :	1 R	reports.
Showing 1 to 11 of 13 entries		Tevious 1 2 Next	I
< marx		Unstage Data + New	
	≜Save	× Cancel	



³ AUDIT PDF TransWorld Compliance Individual Information General Information Bermuda to US for FY2014 Rule Base Version: 1.0 Batch: Demo Batch 15 Rule Base: 6/16/15 11:18 AM User: test@test.com Printed Individual/Entity Informatic All the data about Name: Quattrone Unique ID: 789ABD7 Secondary ID: 1 Status: Green (not reportable) Reportable Yes Account Value \$192,000.00 the account. Individual/Entity Details Address(s) ES Phone(s): Manager or relationship DOB: ESP manager can physically Citizenship: Place of Birth: sign-off on this report. Tax ID: Power of Attorney? Instructions to Transfer? Hold mail Comments/Activity History test@test.com Tue Jun 16 11:17:55 EDT 2015:test test@test.com Tue Jun 16 11:17:55 EDT 2015:flag cleared test@test.com Tue Jun 16 11:18:26 EDT 2015:w9 Document uploaded Activity log of what compliance analysts did Account Information Files on the account and when. User/Upload date Expiration Date (if any) Description 6/16/15 11:18 AM 10/10/10 12:00 AM Relationship Manager Signature: Copyright, 2014 Trans World Compliance FACTA One * www.TransWorldCompliance.com Copyright 2015, Trans World Compliance, Inc.



⁽⁴⁾ DISPLAY HIERARCHY ASSOCIATIONS

		_	_	_					1 davegitest com	GLOGOUT
				In			iew Hierarchy	Its		
				Choo	+-XYZ Holdi -David Ole -Moe Bash -Aaron Qu	ng Company nzak – not re ir – not repo ade – not rep	portable table ortable			
Show 10	o 🗠 ent	ries						Sea	rch:	
Status	Edit	Unique ID¢	Sec.ID \$	Narr				stmission Status	¢ Hierarchy	Details
0	Ø	1341244	ABC123	Arthur T. B				Do not report		72
0	Ø	789ABD7	1	Quatt				Do not report		1
۲	Ø	239400B	1	John				Ready to report		79
۲	Ø	5653068	1	Aaron C				v. Ready to report	A	2
۲	Ø	5653069	1	Moe B				r Ready to report	Δ	1
۲	Ø	5653070	1	David O			× Close	. Ready to report		2
۲	Ŋ	678423	1	Frank Unk	_	_		y. Ready to report	A	2
۲	ø	7778881	1	Wilbert 1 Fandang	Г. 30	US	\$ 8,032.00	New: Ready to report.		2
۲	Ø	8804798A	1	Pete J. Ro	ose	US	\$ 399,734.00	New: Ready to report		2
۲	Ŋ	901283A	1	John Albert	Smith	US	\$ 130,603.30	New: Ready to report		2
۲	Ø	901283A	2	Sarah Sri	nith	US	\$ 130,603.30	New: Ready to report		72
Showing	1 to 11 c	of 13 entries							Previous 1 2	Next
10000									Tradition Data	
									Contraction of the second	



TAX AUTHORITY REPORTING





FATCA ONE IRS DASHBOARD





¹ VIEW THE XML CREATED

8966		FATCA Re	port		OMB No. 1545-2246
Department of the Treasury Internal Revenue Service	► Information about	Form 8066 and its separate i	instructions is at www	w.irs.gov/form8966.	2014
Check if report is be	ing corrected, amend	ed, or voided			
Corrected report	Amended repr ation of Filer	ort 🔲 Voided rep	xort 🔲		
1 Name of Filer					
Number, street, and ro	om or suite no. (# P.O. bos, s	an instructionalj			
de City or town		3b Sitele/Province/Region		Be Country (Including por	tal code)
4 Global Internediary Ide	ntification Number (GIN)		S TIN	1	
6 Name of Sporaored Ent	ity or intermediary, if applicab	in .			
7 Number, street, and roo	em or sulle no. (If P.O. box, se	e instructions)			
da Oliyorlown		8b StateProvinceRegion		Be Country (Including por	dal code)
9 GIN			10 TIN		
Part Account	t Holder or Payee In	formation			
1 Name of Account Holds	r or Payao				
2 Number, street, and no	m or sulle no. (fl P.O. box, see	a instructional)			
da Oty or town		3b State/Province/Region		Be Country (Including por	rtal code)
4 TN					
5 If account holder or	payoe is an entity, check a 1 with specified U.S. corrected	pplicable box to specify the e	ntity's type: Dentes NTTL with a	statustici U.S. cerrente	
Non-Participating IT1			Specified U.S. Perso	an a	
Concerning of the	ing information of L	S Owners that are so	orified IIS Ders	005	
1 Name of Owner	ing mornation of c	.o. onners unit are ap	0.0.101		
2 Number, street, and no	m or suite no. (f P.O. bos, see	a instructional)			
de City or town		Sb State/Province/Region		Se Country (Including por	rbal code)
4 TIN of Owner					
Part IV Financi	al Information				
1 Account Number			2 Currency Code		
8 Account Dalance					
4a interest			4c Gross proceeds/Tex	damptiona	
4b Dividende			4d Other		
For Paperwork Reduct	ion Act Notice, see sepa	rate instructions.	Cat. No. 557	437	Form 8966 (2014)

<?xml version="1.0" encoding="UTF-8" standalone="true"?> - <ns2:FATCA_OECD xsi:schemaLocation="urn:oecd:ties:fatca:v1 FatcaXML_v1.1.xsd" version="1.1" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xmlns:ns2="urn:oecd:ties:fatca:v1" xmlns="urn:oecd:ties:stffatcatypes:v1"> - <ns2:MessageSpec> <SendingCompanyIN>C34VPZ.00000.SP.840</SendingCompanyIN> <TransmittingCountry>US</TransmittingCountry> <ReceivingCountry>US</ReceivingCountry> <MessageType>FATCA</MessageType> <Warning/> <MessageRefId>Test | Test Group | test@test.com | Test 7 | 2015-05-30 | 17:22:56</MessageRefId> <ReportingPeriod>2015-05-30</ReportingPeriod> <Timestamp>2015-05-30T17:22:56.708-04:00</Timestamp> </ns2:MessageSpec> - <ns2:FATCA> - <ns2:ReportingFI> <ResCountryCode>US</ResCountryCode> <TIN issuedBy="US">46-5297306</TIN> <Name>Transworld Compliance Inc.</Name> <Address> <CountryCode>US</CountryCode> <AddressFree>2145 Wolftrap Court Vienna, VA 22182</AddressFree> </Address> - <ns2:DocSpec> <ns2:DocTypeIndic>FATCA11</ns2:DocTypeIndic> <ns2:DocRefId>test@test.com | 52 | 901283A | 2 | 2015-05-30 | 17:22:56</ns2:DocRefId> </ns2:DocSpec> </ns2:ReportingFI> <ns2:ReportingGroup> - <ns2:AccountReport> - <ns2:DocSpec> <ns2:DocTypeIndic>FATCA11</ns2:DocTypeIndic> <ns2:DocRefId>test@test.com | 52 | 901283A | 1 | 2015-05-30 | 17:22:56</ns2:DocRefId> </ns2:DocSpec> athlem have 424,0003 to 20 A second bloom have ----



Page 2

² PDF 8966 FATCA FORM FOR APPROVAL

PDF 8966 Representation of all the data. This may not be the form you submit, but is convenient to show all the data being submitted.

These can be saved on disk or printed for your records.

Check if report is be	ing corrected, amended, or vo	bebx		2 Number, sheet, and room or suite no.	(#P.D. box, see instructions)		
Corrected report []	Amended report []	Voided report []		0.99701193034	T	1	
Part I Identification	of Filter			3a City or town	3b StateProvinceRegion		3c Country (including postal code)
1 Name of Filer Test				4 TIN of Owner	-		
2 Number, street, and room or 101 South Shore Road	raulle no. of P.O. box, see instructions)			Part IV Financial Information			
h Caraba				1 Account Number		3 Currency Code	
Southampton	ty or town 3b Statest hownoof legion		lermuta	789Y		USD	
4 Philadeliness days bindle bindle (PBA				3 Account Balance			
ABCDEF 00000 TA 840	and the second second	35-967639		\$8,032.00			
8 Name of Sponsored Entity o	r internediary. If applicable			4a biterest		Ac Gross proceeds/Redengtions	
7 Number, street, and room of	r suite no. of P.O. box, see instructione)			45 Dividends		4d Other	
				Patty Pooled Reporting Ty	p#		
Ba City or town	80 State/Province/Region	· · · ·	c Country (Including postal code)	1 Check applicable Posted Reporting Type (thest only one)			
9 Gaistal Intermediary Intertification Number (GBN) 10 TH				Recalcitrant account hold Domant Accounts	irs with U.S. Indicia	 Recalcitrant account holders without U.S. Indicia Non-participation FFI 	
Que II				Recalcitrant account hold	ers that are U.S. persons	11 Recalc	trant account holders that are passive NFFEI
	der or Payee Information					1	
Accounting				2 Number of Accounts		3 Apprepate pay	nert ansuit
1 Name of Account Hoter of Wilbert T. Fandanco	Payne						
1 Name of Account Holder of Wilbert T. Fandango 2 Number, street, and room of Rue de Rouge	Payee r sulle no. (FP.O. box, see instructions)			4 Aggregate account balance		5 Currency Code	·
Annuel of Account Hose Advances Annuel of Account Hose and room of Annuel of Account Hose and room of Pour de Rouge Jan City or form Calls	Payee 1 suite no. 6F.P.O. box, see instructions) 36 State/Pro-ince/Region	3e Country (no	Luding postal code)	< Aggregate account balance		5 Currency Cod	Form 8966 (2014)
Alame of Account Holder of Wildbert T. Fandango 2 Number, street, and noon an Paue de Rosage 3a City or town Callis	Payee r sulle no. (# P.O. box, see instructions) 36 State/Province/Region	3c Country (inc FR	luding postal code)	4 Apprejate account balance		5 Currency Cod	Form 8966 (2014)
Alame of Account Hole of Wilbert T. Fandango Anneter, street, and room an Paue de Rouge Ja City or town Calls 4 The 65705.0	regen suite no. (# P.O. box, see instructions) 30 State/Province/Region	Jic Country (inc FR	luding postal code)	Aggregate account balance		5 Currency Cod	Form \$966 (2014)
1 Name of Account Protect of 1 Name of Account Protect of Webert T. Fandsingo 2 Namber, Week, and room of Pain die Rouge 3a Chy or town Calls a the 65705.0 57 account holder of pages in	Twee Trade no. (IF P.O. Soc. see instructions)	Ja Country (no FR	Luding pretail code;	4 Agregate account balance		5 Currency Cod	Form 6866 (2014)
Alterne of Access II Index of Waltert T. Fandango Number, stress, and nom a Run de Rouge Sin City or town Cols e Title dSTING 5/1 access to holer or payte in [] Owner-Decumentin	Payee suite na. (FPQ), box, see instructions) Jo State/Province/Region Ion write, check applicable fore to specify to of FFT with specified U.S. covered; to	a selity's lyne 11 Passive NFFE	uding preter code;	4 Agregate account balance		5 Currency Cod	form \$1666 (2014)
Account Holes of Name of Account Holes of Name of Account Holes of Particle, street, and nam a Rue de Rouge 3a Cly or team Calls a The 65205.0 5 If account Holes or payse is 1 Non-Per-Decumper 1 Non-Per-Decumper	Invest Invest Indexts, ISPO, box, see instructions) In cells, check applicable from to specify to cell FF1 with specified U.S. cover(s) FF1	e wilkys type 11 Passive NFFE 11 Scecified U.S.	udra pretal code) udra publicantial U.S. owner(3) fersion	4 Aggregate account saterion		5 Currency Cod	Fore 886 (2014)

Form 8966 (2014)



⁽⁴⁾ FATCA ONE IRS DASHBOARD

Congratulations !

N records has/have been sent to the tax authorities.

Notice

This does not mean that your submission has been accepted which can take upto 10 minutes. Please check back in the dashboard later to verify that your submission was accepted.

🖌 Ok

Depending on the tax authority there may be other confirmations or notifications.



⁴ FATCA ONE IRS DASHBOARD

Test or Production: Allows testing of the process.

			Type • Test				
Show 10 - entries			Search:				
Unique ID	Sec.ID \$		Send XCancel		8966 🛄	XML	PD
239400B	1		Heanes	3	0	4	7
5653068	1	Aaron Quade	US	N/A			70
5653069	1	Moe Bashir	US	N/A		4	2
5653070	1	David Olenzak	US	N/A			7
678423	្ន	Frank Underwood	US	N/A		-	7
7778881	1	Wilbert T. Fandango	US	\$ B,032.00		-	12
8804798A	1	Pete J. Rose	US	\$ 399,734 00	2	-	74
901283A	2	Sarah Smith	US	\$ 130,603 30		<u></u>	1
901283A	1	John Albert Smith	US	\$ 130,603.30			売
Showing 1 to 9 of 9 er	ntries					Previous 1	N
< Back					Ef Submit to Tax Authorit	ies Genera	







CONTACTING TRANS WORLD COMPLIANCE Q&A

David Olenzak President 703-298-8678 dolenzak@TransWorldCompliance.com www.TransWorldCompliance.com

Notice:

Trans World Compliance, Inc. software is provided as a tool to assist clients in adherence to US FATCA regulations and any advice provided by Trans World Compliance, Inc. software and employees should not be construed as legal or professional accounting advice in regards to the legal requirements to adhere with any international tax regulations.