EXTERNAL GUIDE

HOW TO DECLARE YOUR FOREIGN TAX INFORMATION (FTI) FOR THE AUTOMATIC EXCHANGE OF INFORMATION (AEOI)



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1 PURPOSE

- The purpose of this guide is to assist South Africa's Reportable Financial Institutions in complying with FATCA and/or the CRS by submitting null returns to SARS and/or declaring their institution's Foreign Tax Information (FTI) via eFiling. The guide is structured as follows:
 - How to activate FTI on eFiling;
 - How to submit null returns to SARS; and
 - How to declare FTI via eFiling.

2 INTRODUCTION

- In 2014 an inter-governmental agreement (IGA) between South Africa and the United States of America was approved by Parliament with regards to the USA's Foreign Account Tax Compliance Act (FATCA). In the same year South Africa also adopted the OCED/G20 (Common Reporting Standards (CRS)) standard automatic exchange of information for financial accounts. FATCA reporting does not deviate exclusively from the CRS reporting. The slight alteration is driven by the multilateral nature of the CRS system and the specific aspects unique to the USA such as the concept of taxation on the basis of citizenship and the existence of a significant and comprehensive FATCA withholding tax.
- Under the terms of the agreement listed, South Africa's Foreign Financial Institutions (FFIs) are to report to SARS on certain required information under FATCA and the OECD Common Reporting Standard, effective from the 1st of July 2014. South Africa's Foreign Financial Institutions who should report include South African banks and custodians, brokers, asset managers, private equity funds, certain investment vehicles, long-term insurers and other participants in the financial system. South Africa's Foreign Financial Institutions which are exempt are beneficial owners or deemed compliant FFIs and the accounts which are excluded from the definition of Financial Accounts which are described in Annexure II of the IGA.
- The first FATCA reporting period is from 1 July 2014 to 28 February 2015 and thereafter annually for every tax year ending February. Financial Institutions are required to do their first submission to SARS by 30 June 2015. These financial institutions are required to upload data on SARS systems and then declare the data making use of eFiling. This guide is to assist financial institutions in their activation and declaration of FTI to SARS.

REVISION:

 Any queries relating to FTI, must be sent to the following email address: Bus_Sys_CDSupport@sars.gov.za (the subject line of the email, must be addressed as FTI/CRS)

3 REQUIREMENTS FOR A SUCCESSFUL FTI SUBMISSION

- In order to successfully submit your FTI, the user may either complete and submit a null return FTI01 and declare via FTI02 of the file/form submission made, or submit data via HTTP or Connect Direct and declare via FTI02 of the data submission made.
- Data/file submission can be made to SARS via the following channels:
 - Null returns via the completion and submission of the FTI01 form;
 - Null returns via the upload of a file specified as per external BRS; and
 - Full data file submission via HTTP or Connect Direct.
- Once the file/form has been submitted, the user <u>must</u> login on eFiling and declare via the FTI02 of the data/file/form submission made.



Figure 1: Data submission and declaration workflow for FTI

• Figure 1 illustrates the workflow of FTI. The files/data/form that has been submitted must be declared by submitting the FTI02 form via eFiling.

4 DATA SUBMISSION

- Data submission requires the organization to be enrolled and activated for 3rd Party data submission on eFiling.
- This section will illustrate how to submit data once the organisation has been enrolled.
- Once enrolled, proceed as follows:
 - Click on Services
 - Click on Enrol 3rd Party Data
 - Select Secure File Submission



- The user will be redirected to the secure site where data may be uploaded
- Refer to the following guides for more on this:
 - GEN-ENR-01-G01 Guide for Submission of Third Party Data using the Connect Direct Channel - External Guide
 - GEN-ENR-01-G02 Guide for Submission of Third Party Data Using the HTTPS
 Channel External Guide
- Any technical related queries should be send to the following email address: Bus_Sys_CDSupport@sars.gov.za
- Once the data has been submitted, the user should be able to view a dashboard report of the submitted file. To do so, proceed as follows:
 - Login
 - Click on Services
 - Click on Enroll 3rd Party Data
 - Click on Submission Dashboard
 - Select the appropriate data product from the dropdown list
 - The dashboard will present the following screen:

Data Submitted From Date: 2014/04/21 Indicated Type: Div Request	Client Values Search Values 2014/04/21 Trading As: From Date: 2014/04/23 Registration Number: Dita Dita Data Submitted Dita Request
Ing As: To Date: 2014/04/23 stration Number: Certificate Type: DIV Data Submitted Certificate Type: DIV ed Date Unique File ID Channel Identifier File Response Reason Total No of Submitted No Of Accepted Records No Of Records No Of Records No Of Records No Of Records Summary Return Accepted with warnings: This can be any combination of accepted fields. 4 4 0 0 Mew	Trading As: To Date: 2014/04/23 Registration Number: Data Submitted
Data Submitted Certificate Type: DIV Data Submitted Request ed Date Unique File ID Channel Identifier File Response Reason Total No of Submitted No Of Accepted Records No Of Rejected Records No Of Accepted Records No Of Records No Of Return 04- 100 00 00 Testaing CD any combination of accepted fields, fields accepted with warning and fields accepted with warning accepted fields, fields accepted with warning and fields accepted with warning accepted fields, fields accepted with warning accepted fields, fields accepted with warning and fields accepted with warning accepted fields, fields accepted fields,	Certificate Type: DIV - Request
Request Data Submitted ed Date Unique File ID Channel Identifier File Response Reason Total No of Submitted Records No Of Accepted Records No Of Records Summary Return 04- 100 00 00 Testaing CD CD 0 Mew Mew Mew Mew	Data Submitted
Data Submitted Total No of No Of No Of No Of Warning No Of Summary Submitted Accepted Rejected Accepted Duplicated Duplicated Records Recor	Data Submitted
ed Date Unique Channel File Response Reason Total No of No Of No Of No Of Working No Of Summary Records Rejected Accepted Duplicated Duplicated Return Records	
Accepted with warnings: This can be 04- Testeing CD any combination of accepted fields, 4 4 0 0 0 <u>Mew</u>	Total No of No Of No Of No Of Warning No Of Created Date File Response Reason Submitted Accepted Rejected Accepted Duplicated Return Records Records R
duplicate records.	Accepted with warnings: This can be 2014-04- 22T08:00:00.00 Testeing CD any combination of accepted fields, fields accepted with a warning and duplicate records. 4 0 0 0 <u>Mew</u>

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5 ACTIVATION AND ACCESS RIGHTS FOR THE SUBMISSION OF FTI

- eFiling requires you to activate your tax types so that appropriate forms will be created for submission purposes. Activating FTI involves creating a platform on your profile to declare FTI. This is available for the following profiles:
 - Tax practitioners and
 - Organisations.
- To activate FTI, proceed as follows:
 - Click on **Organisations** displayed on the main menu
 - Click on **Organisation** displayed on the left menu
 - Click on Organisation Tax Type
 - The following screen will be displayed

VSARS	FILING		
USER ORGANISATI	ONS RETURNS CUSTOMS DUTIES & LEVIES SERVICES TAX STATUS C	CONTACT LOGOUT Taxpayer List	A 10
Organisation Register New Change Details Banking Details Organisation Tax Uypes Request Tax Types ISV Activation Summary VAT Vendor Search Details AARS Registration SARS Registration SARS Registration Statis Reports Rights Groups Special Links	Excise Agent Reference Number Tax Office ALBERTON Tax Office ALBERTON Tax Office ALBERTON Please note that you will automatically be activated to receive SARS notices for this tax type online. Medical Scheme Contribution Reference Number Tax Office ALBERTON Please note that you will automatically be activated to receive SARS notices for this tax type online. Please note that you will automatically be activated to receive SARS notices for this tax type online. Reference Number Insurance Payment Reference Number	Status: Successfully Activated	
	Tax Office ALBERTON		
	Please note that you will automatically be activated to receive SARS notices for this tax type online.		
	Foreign Tax Information (FTI) Reference Number Tax Office ALBERTON Foreign SARS notices for this tax type online.	Status: Arrailing Registration Verification	
	Register		

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- Select Foreign Tax Investment
- Fill in the organisation's **Reference Number** and the **Tax Office** the organisation was registered at
- Once done, click on Register

Note that only an Income Tax reference number may be used for activation.

☑ IT3	
Reference Number	
Tax Office ALBERTON V	Status:
Please note that you will automatically be activated to receive SARS notices for this tax type online.	Successfully Activated
✓ Medical Scheme Contribution	
Reference Number	
Tax Office ALBERTON V	Status:
Please note that you will automatically be activated to receive SARS notices for this tax type online.	Awaiting Registration Verification
✓ Insurance Payment	
Reference Number	
Tax Office ALBERTON V	Status:
Please note that you will automatically be activated to receive SARS notices for this tax type online.	Awaiting Registration Verification
✓ Foreign Tax Information (FTI)	
Reference Number	
Tax Office ALBERTON V	Status:
Please note that you will automatically be activated to receive SARS notices for this tax type online.	Successfully Activated
Register Reset	

- Once the Register button is selected, the initial Status statement besides FTI, will read as Awaiting Registration Verification. This status will change after 48 hours, once activation verification has been completed. The Status statement will display Successfully Activated once activated.
- When the **Status** statement has not changed and no communication has been received from SARS, kindly contact the SARS Contact Centre for further assistance.

- For access of FTI returns, the user must obtain access rights by proceeding as follows:
 - Click on **Organisations**
 - Click on Rights Groups

VSARS	FILING					
Organisation SARS Registered Details	Group Details Setup New Group	DUTTES & LEVIES BERINCES TAX STATUS	CONTACT LOGOUT Taxpayer List			
Rights Groups Manage Groups Organisation Setup Special Links	Group Name System Default	Authorisation Level Submissions	Access to Payments Yes 1	Open Open	Taxpayers Manage Payers	Users Manage Users

- Click on the **Open** hyperlink
- Click on Foreign Tax Information (FTI)

USER ORGANISAT	TIONS RETURNS CUSTOMS DUTIES & LEVIES SERVICE	TAX STATUS CONTACT LOOOUT Taxpayer List	@
Organisation	Authorisation Level	Submissions -	
SARS Registered	Access To Payments	121	
Admin Reports Rights Groups Manage Groups: Organisation Setup Special Links	Tax Types	Provisional Tax (IRP6) VAT201 VGanisation Income Tax (ITR14/IT12E/ITR12T) Individual Income Tax (ITR14/IT12E/ITR12T) Individual Income Tax (ITR12) Individual Income Tax (ITTR12) Individual Income Interest(IVTI) Interest Interes	
	Do you want to import taxpauers from an existion provin?	Electrony rax mormanon (F11)	

Once you have clicked the check box on Foreign Tax Information FTI, click on
Update

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6 AUTOMATIC EXCHANGE OF INFORMATION (AEOI)

- The automatic exchange of information button on the left side of the menu allows the user to submit null returns and/or submit a FTI02 declaration form. This section will illustrate how to submit a null return and also how to declare your FTI by submitting the FTI02 form via eFiling.
- Login
- Click on Returns

VSARS	FILING		
USER ORGANISATIO	DNS RETURNS DUTIES & LEVIES SERVICES TAX STATUS CONTAC	DT LOGOUT	
Inbox	USER DETAILS	COMPANY DETAILS	
Returns Issued	User Name:	Trading As Name:	
Returns History	Login Name:	Registration Number:	
Returns Search	Date Registered:	Date Registered:	
Dividends Tax			
Third Party Data Automatic Exchange	NCOME TAX QUICK SEARCH Please enter your Income Tax Reference Number:	SEARCH	
Of Information (AEOI) Submit New Data (FTI01) Submitted Data	Introduction of new Adobe Flash forms to eFiling The enhancements are set to deliver a more pleasant and productive eFilin be accessed using version 9 and up of Adobe Flash Player, eFilers are ad	ng experience for all. While the new forms introduced this tax season can vised to download Adobe Flash Player 10.1 for increased security and	
(FTI01) Submit New Declaration (FTI02)	better viewing. Simply log onto your eFiling profile and follow the prompts t	to begin accessing your tax returns in a Flash!	
Submitted Declaration (FTI02)	Penalties SARS has announced the phasing-in of the new system of administrative p	penalties for taxpayers who fail to comply with their tax obligations. This is	
Non-Core Taxes	part of a project to ensure greater tairness and efficiency in the tax system who meet their tax obligations and contribute towards our country's develo especially those who have consistently failed to comply with their tax oblig	. SARS believes that it is only tair on the majority of compliant taxpayers, pment that SARS takes tough action against non-compliant taxpayers, ations	
Additional Payments	especially areas the nare consistently talled to comply with their tax oung	auno.	

• As part of the left menu, the **Automatic Exchange of Information** (AEOI) tab will be visible.

Note: This menu will be visible once you have been granted access to FTI declaration (the activation process explained above)

Automatic Exchange Of Information (AEOI) Submit New Data (FTI01) Submitted Data (FTI01) Submit New Declaration (FTI02) Submitted Declaration (FTI02)

Dashboard

- The **Automatic Exchange of Information** (AEOI) tab displays the following five options:
 - Submit New Data (FTI01),
 - Submitted Data (FTI01),
 - Submit New Declaration (FTI02),
 - Submitted Declaration (FTI02), and
 - Dashboard.

6.1 SUBMIT NEW DATA (FTI01)

- Submitting a null return implies that the financial institution has no foreign clients, thus cannot declare Foreign Tax Information to SARS. This tab is used to submit null returns.
- Submitting null returns may be done in one of the following ways:
 - Submitting a file to SARS, or
 - Completing and submitting the FTI01 form via eFiling
- The next section will describe how to submit null returns via each of the above mentioned methods.

6.1.1 SUBMITTING A FILE TO DECLARE NULL RETURN

• Download the sample NULL file from the SARS website <u>www.sars.gov.za</u>.

 Insert the required information on the NULL file as indicated below. The data fields are as explained in the external BRS available on the SARS website. Do not remove the pipes (|).

RS Null:
GH 2017-02-06708:05:05[2]SAMPLE-CRS-NULL-UniqueFileIdentifier T FT CD A5D8137D-6526-4C00-A283-D79142147ED4C8AA084F-029E-4851-88F4-F081A0A851D2920870D2-CDC2-41E8-96C3-818CD8F688090EA5CFFF-D24A-4594-8372- F1CFB41EA97 GROUPID 1 1 SAR5SAP 1.1.7]TECHNICAL USER 0121234567 0121478523 0731234567 SAMPLE@FTisars.gov.za
SE[2017]2016-03-01[2017-02-28]PRIVATE_CO] SUBMITING ENTITY 1 (RFI-ADMINISTRATOR) SUBMITING ENTITY 1 (RFI-ADMINISTRATOR) 2000/000000/23]9536378848 PO UNE 1 PO UNE 2 PO UNE 3 PO UNE 4 0001
RF N RFICRSNULLUniqueNumber8y 1 PRIVATE_CO 9123456789 FINANCIAL INSTITUTION 1 NAME FINANCIAL INSTITUTION 1 NAME N Y PHYSICALCARENAME 100 COMPLEX STREET05 STREET NAME SUBURB CITY 0002 ZA Y POSTALCARE PO INE 1 PO UNE 2 PO UNE 3 PO UNE 3 DO UNE 4]0003 ZA NAME SURNAME]0121234567]0831234567]0831234567]0831234567]08312
113b08f8695de302c93d4eaaf0144293a7[0.00
ATCA Null:
[GH]2017-02-06788:05:05[2]5AMPLE-FATCA-NULL-UniqueFileIdentifier] [1]FTI]CD]A508137D-6526-4C00-A283-079142147E04CBAA084F-029E-4851-88F4-F081A0A851D2920870D2-CDC2-41EB-96C3-818CD8F688090EA5CFFF-D24A-4594-8372- F1CFB41EA97[GROUPFILEID]1]1[SARSSAP]1.1.7]TECHNICAL USER]0121224567[0121478523]0731234567]SAMPLE@FTIsars.gov.za
[SE[2017]2016-03-01[2017-02-28 PRIVATE_CO FATCA607 SUBMITING ENTITY 1 (SPONSOR-RFI-ADMINISTRATOR) SUBMITING ENTITY 1 (SPONSOR-RFI-ADMINISTRATOR) 2000/00000/23[9123456789 GIINUM.MBER0.SP.852 PO UNE 1 PO UNE 2 PO NE 3 PO UNE 4 0001
RFI[N]RFIFATCANULLUniqueNumber8y]1]PRIVATE_CO]FATCA601[GIINUM.MBER0.LE.254]9536378848[FINANCIAL INSTITUTION 1 NAME/FINANCIAL INSTITUTION 1 NAME/N]Y]PHYSICALCARENAME[100[COMPLEX STREET05]STREET AME[SUBURB]CITY[0002]ZA]Y]POSTALCARE[PO LINE 1]PO LINE 3]PO LINE 3]PO LINE 3 <u>[PO LINE 3]PO LINE 3[PO LINE 3]PO LINE 3]PO</u>
1 68140a66e34b046cdf6cf4e55138238c 0.00

6.1.2 SUBMITTING THE FTI01 FORM

- Click on Submit New Data (FTI01)
- The DATA SUBMISSION SEARCH work page will be displayed.

USER ORGANISATIO		STOMS DUTIES & LEVIES SERVICES	TAX STATUS CONTACT LOGOUT	Taxpayer List:	FO					
Inbox	SUBMIT NEW DA	TA (FTI)								
Returns Issued						2017 V Request Return				
Returns History	Automatic Exchang	e Of Information								
Returns Search						E				
Levies and Duties	In order to declare yo	In order to declare your FTI, FTI data must first be submitted to SARS through 'Submit New Data (FTI)' eFiling menu for 'Null' data or through third party data function for bulk submission								
Third Party Data	it you have any quer	It you have any quenes please e-mail <u>bus_Sys_CUUSupport@sars.gov.za</u> .								
Automatic Exchange Of Information (AEOI)	Please Note: • Helpdesk opera	Please Note: • Heindesk operating hours: 08000 - 17000 (evoluting weekends and public holidaus)								
Submit New Data (FTI01)	Name	Reference Num	Period	Return Type	<u>Status</u>	<u>Open</u>				
Submitted Data (FTI01)			ReportingPeriod: 2017	FTI01	Issued on 27/03/2017	Open				
Submit New Declaration (FTI02)	1									
Submitted Declaration										
Dashboard										
Non-Core Taxes										
Payments										
Additional Payments						-				
•						•				

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• Selected the appropriate year of submission and click on the Request Return button.



• The Foreign Tax Information Work Page will be displayed.

USER ORGANISATIO		ES & LEVIES SERVICES TAX STATUS	CONTACT LOGOUT	Taxpayer List:		FOR ORGAN	NS
Inbox							
Returns Issued	Foreign Tax Information Wor	k Page					
Returns History	Taxpayer Name		eFiling Status				
Returns Search					Issued		-
Levies and Duties	Tax Reference						=
Third Party Data	Poturn Tuno						
Automatic Exchange	Return Type	FTI01					
Of Information (AEOI)	Period						
(FTI01)		2017					
Submitted Data							
(F1101) Submit New							
Declaration (FTI02)	Return Type	Status	Date	Version			
Submitted Declaration (FTI02)	FTI01	Issued	2017/03/27	1			
Dashboard	Back to Search						
Non-Core Taxes							
Payments							
Additional Payments							 -
•							P

• Click on the hyperlink under FTI01.

(c			
Return Type	Status	Date	Version
FTI01	Saved	2017/01/13	3
Back to Search			

• The FTI01 form will be displayed.

VSARS		TIONS
USER ORGANISATIO	ONS RETURNS CUSTOMS DUTIES & LEVIES SERVICES TAX STATUS CONTACT LOGOUT Taxpayer List.	D 💈
Inbox	Back Save Return File Return Save As PDF Print	
Returns Issued	🔆 🐥 🚺 / 3 😑 🖶 🗵 🖂 -	
Returns Search Levies and Duties	Automatic Exchange of Information (FATCA & CRS) Reporting Year End 2017 FTI01	F
Third Party Data Automatic Exchange Of Information (AEOI)	Report Information Do you have a FAITCA GIIN surfar? Y X	
Submit New Data (FTI01) Submitted Data (FTI01)	Technical Contact Person Pet term Strutes	
Submit New Declaration (FTI02) Submitted Declaration	Bar Torla 1 Bar T	
Dashboard Non-Core Taxes	Versioner (2) 01 7 prod Star Color Associated Color Co	
Payments Additional Payments		

Note that some fields will be pre-populated, ensure the information is correct and complete where the field is marked in red.

6.1.2.1 THE FTI01 FORM COMPLETION

• The FTI01 form captures the demographic information of the Reporting Financial Institution. This section will assist the user by detailing the requirements of the form for the ease of completion.

6.1.2.1.1 REPORT INFORMATION



• Do you have a FATCA GIIN number?: Complete by selecting either 'Yes' or 'No'

6.1.2.1.2 TECHNICAL CONTACT PERSON

Techni	са	I C	on	ac	Pe	erso	on																																				
First Names			Ι															Ι											Ι		Ι		Ι	Ι								Τ	٦
Sumarnes	С	Τ	Τ	Γ	Γ			Γ	Γ						Γ	Γ	Γ	Γ	Γ	Γ	Γ			Ι	Ι	Ι	Τ	Τ	Ι	Τ	Τ	Ι	Ι	Τ	Γ	Γ	Γ	Γ				Ι	
Bus Tel No.1	С	Ι	Γ	Γ	Γ				Γ]	Bus	Tel N	lo.2	C	Γ	Γ	Γ				Ι	Ι	Ι	Ι		C	ell No		C	Ι	Ι	Γ	Γ	Γ	Γ			Ι	Ι	
Email Address			Ι														Γ	Ι										Ι	Ι			Ι						Γ				Ι	

- First Names: Complete the first names of the technical person.
- Surname: Complete the surname of the technical person.

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- **Bus Tel No2:** Complete the 2nd business telephone number of the technical person.
- **Cell No:** Complete the cell number of the technical person.
- **Email Address:** Complete the email address of the technical person.

6.1.2.1.3 SUBMITTING ENTITY

Submi	itting Entity
Year of Assessment	Period Start Date (CCYYMMDD) Period End Date (CCYYMMDD)
Nature of Person	Tapager Ref No.
Sponsor Filer Category	
Sumarne	
Initials	Registration No.
Registered Name	
Trading Name	

- Year of assessment: Complete the year of assessment for the submission.
- **Period start date:** Complete the start date of the submission.
- **Period end date:** Complete the end date of the submission.
- **GIIN No:** Complete the GIIN number of the submitting entity.
- **Nature of Person:** Complete the nature of person of the submitting entity (eg. individual, organisation, tax practitioner).
- **Taxpayer Ref No:** Complete the tax reference number of the submitting entity.
- Sponsor Filer Category: Complete the sponsor filer category as per Appendix A
- **Surname:** Complete the surname of the submitting entity (if applicable).
- Initials: Complete the initials of the submitting entity (if applicable).
- **Registration No:** Complete the registration number of the submitting entity.
- **Registration Name:** Complete the registration name of the submitting entity.
- Trading Name: Complete the trading name of the submitting entity.

6.1.2.1.3.1 POSTAL ADDRESS

Postal Address		
	Postal	

- Complete the postal address of the submitting entity.
- **Postal Code:** Complete the postal code of the submitting entity.

6.1.2.1.4 REPORTING FINANCIAL INSTITUTION

Report	tin	g F	ina	ano	cia	l In	stit	utic	on																														
Unique Reference No																																							
Tax Ref No	С	Ι	Ι	Ι		Ι	Ι	Ι	Ι	Γ			GIIN I	No				Ι		Ι								RF	I Filer	Cate	gory								
Nature of Person	C	Ι	Ι	Ι							Γ								Ι	Ι													Re	cord State	JS	Corre	ction	Deleti	on
Registered Name	C	Ι		Ι						Γ										Ι	Ι						Ι	Γ	Ι]							
]							
Trading Name	C	Ι	Ι	Ι				Ι		Γ	Γ	Γ	Γ	Γ					Ι	Ι	Ι	Ι	Γ				Τ	Γ	Ι	Γ									
																												Ι]							

- **Unique Reference No:** Complete the unique reference number of the Reporting Financial Institution.
- **Tax Ref No:** Complete the tax reference number of the Reporting Financial Institution.
- **GIIN No:** Complete the GIIN number of the Reporting Financial Institution.
- **RFI Filer Category:** Complete the Reporting Financial Institution filer category as per Appendix B.
- **Nature of Person:** Complete the nature of person of the Reporting Financial Institution (e.g.: individual, organisation, tax practitioner).
- **Record Status:** Complete the record status of the Reporting Financial Institution.
 - **Correction –** Indicate that a previously submitted record is amended.
 - **Deletion –** Indicate that a previously submitted record must be deleted.

Note: Care must be taken when deleting a record since it will affect all the subsequent fields.

- Registered Name: Complete the registration name of the Reporting Financial Institution.
- **Trading Name:** Complete the trading name of the Reporting Financial Institution.

6.1.2.1.4.1 PHYSICAL ADDRESS

Physica	I Addr	ess																																														
Indicate if Ph	ysical ad	Idres	s is *C	Care C) r ?	Y		'	١																																							
Care of Name							Ι					Γ					Ι	Ι	Ι		Ι			Ι					Ι	Ι				Ι	Ι			Ι	Ι	Ι			Τ	Τ	Τ	Ι	Τ	
Unit No.						Con (if a)	nplex oplica	ible)				Γ	Ι	Ι			Ι	Ι	Ι		Γ		Γ	Ι	Ι	Ι		Γ	Ι	Ι	Ι																	
Street No.						Stre	et / Fa	arm				Γ							Ι											Ι																		
Suburb / District					Ι	Ι	Ι					Γ	Ι	Ι			Ι	Ι	Ι	Γ	Γ		Γ	Ι		Ι			Ι	Ι		Ι																
City / Town		Ι	Ι	Ι	Ι		Γ			Γ	Γ	Γ	Γ	Γ	Γ	Γ	Γ	Γ	Γ		Γ	Γ	Γ	Γ	Γ	Γ	Γ	Γ	Ι	Ι	Ι	Ι																
Postal Code		Ι			Ι]												untry de		Ι																								

- Indicate if physical address is "Care of"? Select either 'Yes' or 'No'
- **Care of Name:** Complete the Care of Name of the Reporting Financial Institution.
- **Unit No:** Complete the unit number of the Reporting Financial Institution.
- **Complex (if applicable):** Complete the complex number of the Reporting Financial Institution.
- **Street no:** Complete the street number of the Reporting Financial Institution.

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- **Street/Farm name:** Complete the street or farm name of the Reporting Financial Institution.
- **Suburb / District:** Complete the suburb or the district name of the Reporting Financial Institution.
- **City / Town:** Complete the city or town of the Reporting Financial Institution.
- **Postal Code:** Complete the postal code of the Reporting Financial Institution.
- **Country Code:** Complete the country code of the Reporting Financial Institution.

6.1.2.1.4.2 POSTAL ADDRESS

Postal Address	
Indicate if Physical address is *C	are OP? Y N
Care of Name	
Mark here with an "X" if same as physical	
address or complete your Postal Address	
Postal Code	Country Code

- Indicate of physical address is 'Care Of': Select either 'Yes' or 'No'.
- **Care of Name:** Complete the Care of Name of the Reporting Financial Institution.
- Mark here with an "X" if same as physical address or complete your postal address: Mark if the physical address and the postal address are the same
- **Postal Code:** Complete the postal code of the Reporting Financial Institution.
- **Country Code:** Complete the country code of the Reporting Financial Institution.

6.1.2.1.5 CONTACT PERSON DETAILS (RFI)

Contact	t Pe	erso	on D)eta	ils (RFI))																																										
First Names	С	Γ	Ι	Ι	Ι	Ι	Ι	Ι	Ι							Ι	Ι	Ι	Ι	Ι	Ι	Ι	Ι	Ι	Ι	Γ	Γ	Γ				Γ	Γ	Γ	Γ	Ι	Γ		Γ	Γ	Γ	Γ	Γ	Γ					\Box
Sumame	C	Ι	Ι	Ι	Ι	Ι	Ι	Ι	Ι						Γ	Ι	Ι	Ι	Ι	Ι	Ι	Ι	Ι	Ι	Ι	Γ	Γ	Γ	Γ	Γ		Γ	Ι	Ι		Ι	Γ	Γ	Γ	Γ	Ι	Γ	Γ	Γ	Γ	Γ	Γ	Γ	\Box
Bus Tel No. 1	С				Ι]	But	s Tel	No.	2	Ľ	Ι]	Ce	ill No	C														\Box
Email Address					Ι																																												\Box

- **First Names:** Complete the first names of the Reporting Financial Institution contact person.
- **Surname:** Complete the surname of the of the Reporting Financial Institution contact person.
- **Bus Tel No1:** Complete the 1st business telephone number of the Reporting Financial Institution contact person.

- **Bus Tel No2:** Complete the 2nd business telephone number of the Reporting Financial Institution contact person.
- **Cell No:** Complete the cell number of the Reporting Financial Institution contact person.
- Email Address: Complete the email address of the Reporting Financial Institution contact person.



- The following buttons are displayed on the top of the form. They represent the following:
 - Back This will take the user back to the search page.
 - Save return This will save the data/information completed on the form for future completion.
 - **File return –** This will submit the declaration to SARS.
 - Save as PDF This will allow the user to save the declaration to their compauter in PDF format.
 - **Print –** This will allow the user to print the declaration.

6.2 SUBMITTED DATA (FTI01)

- This section is to be utilised when the user wants to view all the submitted FTI01 forms.
- To do this, proceed as follows:
 - Click on Submitted Data (FTI01)
 - The Submitted Data page will be displayed

USER ORGANISATIO		CUSTOMS DUTIES & LEVIES SERVIC	ES TAX STATUS CONTACT LOGOUT	Taxpayer List			SATIONS
Inbox	Submitted Dat	a					
Returns Issued	Name	Reference Num	Period	Return Type	Status	Open	
Returns History	No Records ava	ilable for your selection.					
Returns Search							=
Levies and Duties							
Third Party Data							
Automatic Exchange Of Information (AEOI)							
Submit New Data							
(FTI01) Submitted Data							
(FTI01)							
Submit New Declaration (FTI02)							
Submitted Declaration							
(FTIU2) Dashboard							_
Non-Core Taxes							
Payments							
Additional Payments							
•			III				

• Click on the **Open** hyperlink adjacent to the appropriate file of interest

• The Foreign Tax Information Work Page will be displayed

Taxpayer Name		eFiling Status	
ax Reference			
Return Type			
	FTI		
Period	2017		
	2017		
Return Type	Status	Date	Version
FTI01	Filed through eFiling	2016/12/20	1
tequest for Correction Back to Search			

HOW TO DECLARE YOUR FOREIGN TAX INFORMATION (FTI) FOR THE AUTOMATIC EXCHANGE OF INFORMATION (AEOI) GEN-ENR-01-G04 • The user can either click on the **Request for Correction** button to rectify any corrections he/she wishes to make. When clicking on the **Back to Search** button, the user will be taken to the **Submitted data** work page.

6.3 SUBMIT NEW DECLARATION (FTI02)

- To declare your FTI proceed as follows:
 - Select Submit New Declaration (FTI02)

USER ORGANISATIC	EFILING FOR TAX PRACTITIONERS DNS RETURNS DUTIES & LEVIES SERVICES TAX STATUS CONTACT LOGOUT	
Inbox Returns Issued Returns History	Submit New Declaration (FTI) Taxpayer Name	
Returns Search Dividends Tax Third Party Data	Tax Reference FTI 2015 V Request Financial Institution	
Automatic Exchange Of Information (AEOI) Submit New Data (FTI01)	Automatic Exchange Of Information	
Submitted Data (FTI01) Submit New Declaration (FTI02)	To ask for an AEOI declaration you need to have submitted the necessary data that will form your declaration to SARS. Please note that the ability to save issued declarations has been removed because the data is pre-propulated from your data submission(s) If you have any queries please e-mail: <u>Bus_Sys_CDSupport@sars.gov.za</u>	
Submitted Declaration (FTI02) Dashboard Non-Core Taxes	Please Note: • Helpdesk operating hours: 08h00 - 17h00 (excluding weekends and public holidays)	
Payments Additional Payments	Reporting Financial Institution	

- Note: FTI declarations must be submitted as follows:
 - 1 July 2014 to 28 February 2015, must be submitted by 30 June 2015
 - Thereafter annually for every year commencing 1 March and ending
 February the next year, must be submitted by 31 May of that year.
- Select the appropriate year
- Click on Request Financial Institution
- The following screen will be displayed

USER ORGANISATIO	ONS RETURNS DUTIES & LEVIES SERVICES TAX STATUS CONTACT LOGOUT	•
Inbox		
Returns Issued	Submit New Declaration (FTI)	
Returns History	Taxpayer Name	
Returns Search	Tax Reference	
Dividends Tax	Return Type	
Third Party Data	FTI 2015 V Request Financial Institution	
Automatic Exchange Of Information (AEOI)		
Submit New Data (FTI01)	Automatic Exchange Of Information	
Submitted Data	To ask for an AEOI declaration you need to have submitted the necessary data that will form your declaration to SARS. Please note that the	E
Submit New	along to save insued orectatations has been removed because the data is pre-proputated norm your data submission(s) If you have any queries please e-mail itsus Six CDSupportil@ars gov za	
Declaration (FTI02)		
(FTI02)	Please Note:	
Dashboard	Helpdesk operating hours: U8hUU - 1/hUU (excluding weekends and public holidays)	
Non-Core Taxes	Reporting Financial Institution	
Payments		
Additional Payments	Registered Name GIIN Number Select	
SARS	O	
Paguest For Passon	Request Return	
Request For Reason		-
•	Ш	

- Select the approprate row (in the case of multiple records being displayed)
 - For a single Reporting Financial Institution (RFI) Tax Reference Number there might exist various GIIN Numbers or Registered Names linked to it. If such options exist the user should be able to view the various options on the screen. The users must use the radio button to select the appropriate combination and the declaration will then be created for the selected options.
 - Note that all of the listed options (list of files) displayed for the RFI must be declared in order to finalize all submissions under a single RFI Tax Reference Number.
 - The Business Administrater of the RFI is required to validate the correctness of the sumitted data files for the RFI. Furthermore he/she should validate whether all the files (options) have been declared.
 - When an error is detected, (this can be from an incorrect combination declared by the RFI or an incorrect file /data submitted) the user must rectify this by resubmitting data file or FTI01 null submission and declaring by making use of the FTI02 again. This should be done ASAP to avoid inaccuracy of data.
- Click on Request Return
- Click on the hyperlink FTI Returns

EXTERNAL GUIDE HOW TO DECLARE YOUR FOREIGN TAX INFORMATION (FTI) FOR THE AUTOMATIC EXCHANGE OF INFORMATION (AEOI) GEN-ENR-01-G04

USER ORGANISAT	ONS RETURNS DUTIES &	& LEVIES SERVICES TAX STATUS	CONTACT LOGOUT		۱
Inbox	Back Save As PDF P	Print			
Returns Issued Returns History	合 🖡 🚺 / 3	😑 🕀 75% -			
Returns Search Dividends Tax		V SARS	Automatic Exchange of Information (FATCA)	Reporting Year End 2016 FTI02	
Third Party Data Automatic Exchange Of Information (AEOI)	Tax Bat	Reporting Financial Institution		RFI01	
Submit New Data (FTI01) Submitted Data	Nam Nam				
Submit New Declaration (FTI02) Submitted Declaration (FTI02)	C. Fini Sur	Contact Person Details (RFI) nil Nemes T J A N			
Dashboard Non-Core Taxes Payments	Bus Ema Add	vet TE No. 1			
Additional Payments SARS Correspondence Request For Reason		Postal Address			

• Verify and Edit the form



- Notice at the top left of the form, the following selection buttons
 - **Back** Will take you back to the search screen
 - File Return Will submit the declaration to SARS
 - Save as PDF Will allow the user to save the declaration to your PC in PDF format
 - **Print** Will allow you to print the declaration
- Click on File Return

DETAILS	
RESULT	
Thank you for submitting your FTI Declaration to SARS.	
	Continue

• This will take you to the Foreign Tax information Work Page

V SARS	FILING						FOR TAX PRACTITIONE	F
USER ORGANISATIO	ONS RETURNS DUTIE	S & LEVIES SERVICES TAX S	TATUS CONTACT	LOGOUT			@	
nbox Returns Issued	Foreign Tax Inform	ation Work Page						
Returns History	Taxpayer Name	-		eFiling Status				
Returns Search				Your request could not	be processed at thi	s time, please try again in 24 hours		
)ividends Tax	Tax Reference					or contact the Call Centre.		
hird Party Data	Return Type							
utomatic Exchange			FTI02					
Submit New Data	Period		2016					
FTI01) Submitted Data	GIIN No		2010					
(FTI01) Submit Now								
Declaration (FTI02)								
Submitted Declaration (FTI02)	Return Type	Status	Date	Declared Amount	Version	Last Undated By		
Dashboard	FTI Returns	Filed through eFiling	2017/02/24	0.00	1	cust opulated by		
Ion-Core Taxes	FTI Returns	Filed through eFiling	2017/02/24	0.00	2			
ayments	Revised Declaration	Query SARS Status Dashboa	rd Back to Search					
daltional Payments			•					
								1

- When you click on the hyperlink **FTI returns** it will lead you back to the form
- To save a copy of the form on your computer click on **Save as PDF** and the following screen will be displayed

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Tax Ref No.							Ι			Ι																													Gil	NN	а.		Ι				Ι				Ι			L	Γ	Ι			Т	Ι		Γ	Τ	Ι							
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Sumame	J	0	A	N	s		Ι			Γ	Τ			Ι	Ι			Τ	Ι		Γ	Ι		Γ	Τ		Γ	Ι		Γ	Ι			Τ				Γ	Ι			Ι	Τ			Γ	Ι			Γ	Τ			Γ	Τ				Τ	Ι		Γ	Τ				Ι		Γ	Т	
Bus Tel No. 1		Τ	Τ				Τ			Γ	Τ			Τ	Τ			Τ			Bus	Te	No	a. 2	Γ			Τ		Γ	Τ			Γ	Ι			Γ	Τ			Γ	Τ]		c	Cell 1	¥o.	Γ			Γ	Τ				Τ	Ι		Γ	Τ				Τ		Γ	Т	
Email	T	E	s	E	т	I	T	N	G	6	•	G	M	1	1	I	L	T	.	С	0		M	Γ	Ť		Γ	T		Г	Τ			T	Ι			T	T			T	T			Ī	Τ			Γ	Ť			Ē	T	Τ			T	Τ		T	T				T		Г	Ī	ĺ
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Registered	T	H	0	M	A	S	Ť			Ť	Ť			Ť	Ť			Ť	Ť	_	ŕ	Ť	_	Ê	Ť		ŕ	Т		Г				Т				Г	Т			Ť	Ť			Ť	Ť			Ť	Ť	ī		Ē	Ť	T		Ē	Ť	ī		ŕ	Ť	T		Ê	ī				
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Trading	Ħ	Ť	Ť	ī	-		Ť			Ť	Ť			Ť	Ť			Ť	Ť	_	Ť	Ť	-	Ê	Ť		Ê	Ť	_	Ê	Ť	_		Ť	ī			Ť	Ť			Ť	Ť			Ť	Ť			Ť	Ť	ī		Ê	Ť	ī			Ť	Ť	_	Ť	Ť	ī		Ē	ī				
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Note that the saved copy will inform you whether you saved a filed copy or not and further state the date and time which the copy was saved.

• On the Foreign Tax Information Work page, you will notice at the bottom of the page the following buttons

Revised Declaration	Query SARS Status	Dashboard	Back to Search
EXTERNAL GUIDE			REVISION:
HOW TO DECLARE YOU	R FOREIGN TAX		2
INFORMATION (FTI) FOR	R THE AUTOMATIC		2
EXCHANGE OF INFORM	ATION (AEOI)		
GEN-ENR-01-G04			

- **Revised Declaration** should be used when you want to revise your FTI declaration.
- When you click on the tab, the FT102 form will be displayed, this acts as a data refresh command where the FT102 form will be un-editable.
- When you have selected **Query SARS Status** a message will pop up displaying the status of your submitted FTI. An example of a message is given below

SARS Status		
Your declaration has been re	eceived and has been processed.	
	Close	

- When you select dashboard the summary **Dashboard** will appear, which is displayed.
- When you select back to search the listed Submitted Declarations screen will be displayed.

6.4 SUBMITTED DECLARATION (FTI02)

• If you click on **Submitted Declaration (FTI02)** displayed at the left of the menu screen. The **Submitted Declarations** page will be displayed

USER ORGANISATI	C FILIN	DUTIES & LEVIES SERVICES TAX STATUS	CONTACT LOGOUT			FOR TAX PRAC	
Returns Issued	Name	Reference Num	Period	Status	Amount Due	Complete Date	Open
Returns History		<u>Reference main</u>	TaxPeriod: 2016	Filed through eFiling on 24/02/2017	0.00	24/02/2017	Open
Dividends Tax			TaxPeriod: 2016	Filed through eFiling on 24/02/2017	0.00	24/02/2017	Open =
Third Party Data			TaxPeriod: 2015	Filed through eFiling on 12/01/2017	0.00	12/01/2017	Open
Automatic Exchange Of Information (AEOI)	1						
Submit New Data							
Submitted Data							
Submit New							
Declaration (F1102) Submitted Declaration							
(FTI02) Dashboard							
Non-Core Taxes							
Payments							
Additional Payments							

- Click on the **Open** hyperlink
- This will lead you to the Foreign Tax Information Work Page

V SARS	FILING						FOR TAX PRACTITIONERS
USER ORGANISATIO	ONS RETURNS DUTIE	S & LEVIES SERVICES TAX S	TATUS CONTACT	LOGOUT			(a)
Inbox	Family Tay Inform	ofien Work Dave					
Returns Issued	Foreign Tax Inform	lation work Page					
Returns History	Taxpayer Name			eFiling Status			
Returns Search				Your request could no	t be processed at this	s time, please try again in 24 hours	
Dividends Tax	Tax Reference					or contact the Call Centre.	-
Third Party Data							-
Automatic Exchange	Return Type						
Of Information (AEOI)			FTI02				
Submit New Data (FTI01)	Period		2016				
Submitted Data (FTI01)							
Submit New Declaration (FTI02)	Return Type	Status	Date	Declared Amount	Version	Last Undated By	
Submitted Declaration	FTI Returns	Filed through eFiling	2017/02/24	0.00	1		
(FTI02)	FTI Returns	Filed through eFiling	2017/02/24	0.00	2		
Dashboard				-			
Non-Core Taxes	Revised Declaration	Query SARS Status Dashbo	ard Back to Search				
Payments							
Additional Payments							
				m			• •

6.5 DASHBOARD

- You can either access the dashboard directly without going through the Foreign Tax Information work page or by clicking on the left menu screen below Automatic Exchange of Information tab
- When you click on **Dashboard**, the following screen will be displayed:

USER ORGANISATI		VIES SERVICES TAX STATUS	CONTACT LOGOUT			E 9	OR TAX	PRA	PRACT	PRACTITIC	PRACTITIO
Inbox Deturne leaved	FATCA DASHBOARD										
Returns issued	Client Details	A	Search Criteria								
Returns History	Client Name:		From Period:	201	16 🗸						
Returns Search	Trading As:		To Period:	201	18 🗸						
Dividends Tax	Registration Number:			Refr	esh						
Third Party Data	Tax Reference:										
Automatic Exchange Of Information (AEOI)	Search Results										
Submit New Data	Period Tax Type	Source	Status Date	Return Amount	Indicator						
(FTI01) Submitted Data	2016 INCOME_TAX		2017-02-	R 0.00							
(FTI01)			24T11:09:00								
Submit New											
Declaration (FTI02)											
(FTI02)											
Dashboard											
Non-Core Taxes											
Pavments											
Additional Payments											
Ruunionar r ayments											
			III					_			

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7 CROSS REFERENCES

DOCUMENT #	DOCUMENT TITLE	APPLICABILITY
GEN-ENR-01-G02	Guide for submission of third party data	All
	using the HTTPS Channel	
GEN-ENR-01-G01	Guide for submission of third party data	All
	using the Connect Direct Channel	

8 DEFINITIONS AND ACRONYMS

FTI	Foreign Tax Information
OECD	Organisation for Economic Co-operation and Development
FATCA	Foreign Account Tax Compliance Act
FFI	South African Foreign Financial Institutions
SARS	South African Revenue Service
AEOI	Automatic Exchange of Information
GIIN	Global Intermediary Identification Number
RFI	Reportable Financial Institution

DISCLAIMER

The information contained in this guide is intended as guidance only and is not considered to be a legal reference, nor is it a binding ruling. The information does not take the place of legislation and readers who are in doubt regarding any aspect of the information displayed in the guide should refer to the relevant legislation, or seek a formal opinion from a suitably qualified individual.

For more information about the contents of this publication you may:

- Visit the SARS website at www.sars.gov.za
- Visit your nearest SARS branch
- Contact your own tax advisor/tax practitioner
- If calling from within South Africa, contact the SARS Contact Centre on 0800 00 SARS (7277)
- If calling from outside South Africa, contact the SARS Contact Centre on +27 11 602 2093 (only between 8am and 4pm South African time).

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