

Electronic Submission Portal



ESP is a secure investor data and documentation collection platform. It is used by banks and brokers to support withholding tax reclaims on worldwide investments, including equity and debt holder disclosure programs.

ESP:

- Generates documents required for financial institutions to satisfy due diligence and reporting.
- Features customizable, auto-verification of data fields.
- Produces reports in practical formats.

Users

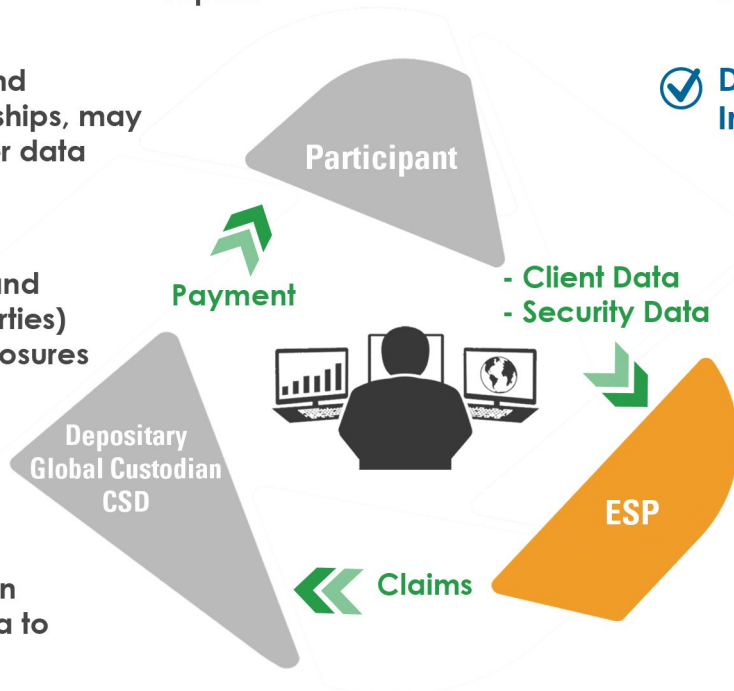
Financial Institutions can:

- ✓ Collect shareholders' tax residence data
- ✓ Identify entities under foreign control through the submission of client asset and income reports
- ✓ Provide tax authorities with data on account holders' assets, income payments, and trade flows

- ✓ **Global Custodians**, and correspondent relationships, may source beneficial owner data

- ✓ **Custodians or CSDs** (and downstream counterparties) can provide client disclosures and receive submitted claim updates

- ✓ **Tax authorities** (and partner jurisdictions) can collect and access data to prevent tax evasion



Designated (downstream) Intermediaries can:

- Expedite secure data collection throughout a complex custody chain
- Source data from the financial institution closest to the entity under foreign control
- Utilize self-certification where possible

Security Features

All information submitted to and stored in ESP is protected by a Symantec Certificate with minimum 256-bit AES encryption.

Access

Users may upload their firms' internal transaction identifiers to simplify entity tracking and reconciliation. Previous entries and documents are stored in the system for viewing or reprint. Data may be entered manually or via file upload. Users access ESP at <https://esp.globetax.com/>