

**Request for Waiver of the 2011 Tax Year Qualified Intermediary Audit Requirement
(Reportable amounts not exceeding \$1,000,000)**

Name of Qualified Intermediary	Name of Responsible Party
	Title
Name on QI Agreement (if different than above)	Telephone Fax
QI-EIN	Email
Street Address	Name of Contact (if different from Responsible Party) Title
City, Province, Postal Code	Telephone Fax
Country	Email

1. Did the QI file Form 1042 for the 2011 withholding year?	Yes	No
2. Amounts shown on 2011 Forms 1042-S Box 2 Gross Income issued to the QI in its capacity as a QI		
3. a. Amounts shown on 2011 Forms 1042-S Box 2 Gross Income issued by the QI		
b. Amounts included in amounts shown on 2011 Forms 1099 Box 1 Gross Income issued by the QI		
c. Add line 3a and line 3b		
4. Subtract line 3c from line 2. This is your <i>variance</i>		
5. Explanation of variance (Fill in a short description for any amount listed below on lines 5a through d):		
a.		
b.		
c.		
d.		
6. Total explained variance (Add lines 5a through 5d)		
7. Unexplained variance (Subtract line 6 from line 4)		
8. Total tax withheld by the QI from the amount shown on line 2		
9. Total amount claimed as withheld by other withholding agents (2011 Form 1042, line 66)		
(Attach a copy of all 2011 Forms 1042-S issued to the QI which fully support the amount claimed as withheld by other withholding agents AND provide a copy of the 2011 Form 1042 filed)		
10. Enter the amount of any under-withholding or over-withholding for each year listed below.	Under-withholding	Over-withholding
a. 2010		
b. 2009		
c. 2008		
11. Enter the number of each type of account holder (as defined in QI Agreement Sec 2.01) which received reportable amounts during 2011. Include all such accounts, whether documented or undocumented (see QI Agreement Secs 2.49 and 5).		
	Direct account holders	Indirect account holders
a. U.S. exempt recipient (see QI Agreement Sec 2.15)		
b. U.S. non-exempt recipient (see QI Agreement Sec 2.3)		
c. Intermediary (see QI Agreement Sec 2.27)		
d. Flow-through entity (see QI Agreement Sec 2.17)		
e. Other (i.e. foreign direct account holder)		
f. Total (add lines 11a through 11e)		
12. Enter the number of undocumented account holders included on Line 11f		
13. Check all that apply.		
The QI is not in material violation or under investigation for violation of any of the know-your-customer rules, practices, or procedures applicable to any branches of the QI located in countries named in the attachments to the QI Agreement.		
No event of default under section 11 of the QI Agreement has occurred during the audit year.		
The QI did not refer account holders to an affiliated entity with the effect of circumventing the \$1,000,000 threshold.		
The QI was in compliance with the QI Agreement throughout the 2011 year.		
The QI is not related to a group of QIs for which the IRS has permitted a consolidated audit under Rev. Proc. 2002-55, AG 10.01.3.		

Under penalties of perjury, I declare that I have examined this waiver request, including any accompanying statements, and, to the best of my knowledge and belief, it is true, correct and complete.

Signature of QI Responsible Party	Name (Please print)	Date (MM-DD-YYYY)
-----------------------------------	---------------------	-------------------