

**Annual Withholding Tax Return for U.S. Source  
Income of Foreign Persons**

**2016**

Information about Form 1042 and its separate instructions is at [www.irs.gov/form1042](http://www.irs.gov/form1042).

If this is an amended return, check here

Name of withholding agent		Employer identification number		<b>For IRS Use Only</b>			
Ch. 3 Status Code		Ch. 4 Status Code		CC		FD	
Number, street, and room or suite no. (if a P.O. box, see instructions)				RD		FF	
City or town, state or province, country, and ZIP or foreign postal code				CAF		FP	
				CR		I	
				EDC		SIC	

If you do not expect to file this return in the future, check here  Enter date final income paid

**Section 1 Record of Federal Tax Liability** (Do not show federal tax deposits here)

Line No.	Period ending	Tax liability for period (including any taxes assumed on Form(s) 1000)	Line No.	Period ending	Tax liability for period (including any taxes assumed on Form(s) 1000)	Line No.	Period ending	Tax liability for period (including any taxes assumed on Form(s) 1000)
1	7		21	7		41	7	
2	Jan. 15		22	May 15		42	Sept. 15	
3	22		23	22		43	22	
4	31		24	31		44	30	
5	Jan. total		25	May total		45	Sept. total	
6	7		26	7		46	7	
7	Feb. 15		27	June 15		47	Oct. 15	
8	22		28	22		48	22	
9	29		29	30		49	31	
10	Feb. total		30	June total		50	Oct. total	
11	7		31	7		51	7	
12	Mar. 15		32	July 15		52	Nov. 15	
13	22		33	22		53	22	
14	31		34	31		54	30	
15	Mar. total		35	July total		55	Nov. total	
16	7		36	7		56	7	
17	Apr. 15		37	Aug. 15		57	Dec. 15	
18	22		38	22		58	22	
19	30		39	31		59	31	
20	Apr. total		40	Aug. total		60	Dec. total	

**61** No. of Forms 1042-S filed: **a** On paper \_\_\_\_\_ **b** Electronically \_\_\_\_\_

**62** Total gross amounts reported on all Forms 1042-S and 1000:

<b>a</b> Total U.S. source FDAP income (other than U.S. source substitute payments) reported	<b>62a</b>	
<b>b</b> Total U.S. source substitute payments reported:		
(1) Total U.S. source substitute dividend payments reported	<b>62b(1)</b>	
(2) Total U.S. source substitute payments reported other than substitute dividend payments	<b>62b(2)</b>	
<b>c</b> Total gross amounts reported (Add lines 62a-b)	<b>62c</b>	
<b>d</b> Enter gross amounts actually paid if different from gross amounts reported	<b>62d</b>	

**Third Party Designee** Do you want to allow another person to discuss this return with the IRS (see instructions)?  Yes. Complete the following.  No

Designee's name	Phone no.	Personal identification number (PIN)
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**Sign Here** Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than withholding agent) is based on all information of which preparer has any knowledge.

Your signature	Date	Capacity in which acting
		Daytime phone number

**Paid Preparer Use Only**

Print/Type preparer's name	Preparer's signature	Date	Check <input type="checkbox"/> if self-employed	PTIN
Firm's name	Firm's EIN		Phone no.	
Firm's address				

<b>63</b>	Total tax reported as withheld or paid by withholding agent on all Forms 1042-S and 1000:		
<b>a</b>	Tax withheld by withholding agent . . . . .	<b>63a</b>	
<b>b</b>	Tax withheld by other withholding agents:		
	(1) For payments other than substitute dividends . . . . .	<b>63b(1)</b>	
	(2) For substitute dividends . . . . .	<b>63b(2)</b>	
<b>c</b>	Adjustments to withholding:		
	(1) Adjustments to overwithholding . . . . .	<b>63c(1)</b>	( )
	(2) Adjustments to underwithholding . . . . .	<b>63c(2)</b>	
<b>d</b>	Tax paid by withholding agent . . . . .	<b>63d</b>	
<b>e</b>	<b>Total tax reported as withheld or paid</b> (Add lines 63a-d) . . . . .	<b>63e</b>	
<b>64</b>	Total net tax liability		
<b>a</b>	Adjustments to total net tax liability . . . . .	<b>64a</b>	
<b>b</b>	Total net tax liability under chapter 3 . . . . .	<b>64b</b>	
<b>c</b>	Total net tax liability under chapter 4 . . . . .	<b>64c</b>	
<b>d</b>	Excise tax on specified federal procurement payments (Total payments made x 2%) . . . . .	<b>64d</b>	
<b>e</b>	<b>Total net tax liability</b> (Add lines 64a-d) . . . . .	<b>64e</b>	
<b>65</b>	Total paid by electronic funds transfer (or with a request for extension of time to file):		
<b>a</b>	Total paid during calendar year . . . . .	<b>65a</b>	
<b>b</b>	Total paid during subsequent year . . . . .	<b>65b</b>	
<b>66</b>	Enter overpayment applied as credit from 2015 Form 1042 . . . . .	<b>66</b>	
<b>67</b>	Credit for amounts withheld by other withholding agents:		
<b>a</b>	For payments other than substitute dividend payments . . . . .	<b>67a</b>	
<b>b</b>	For substitute dividend payments . . . . .	<b>67b</b>	
<b>68</b>	<b>Total payments.</b> Add lines 65 through 67 . . . . .	<b>68</b>	
<b>69</b>	If line 64e is larger than line 68, enter balance due here . . . . .	<b>69</b>	
<b>70a</b>	Enter overpayment attributable to overwithholding on U.S. source income of foreign persons . . . . .	<b>70a</b>	
<b>b</b>	Enter overpayment attributable to excise tax on specified federal procurement payments . . . . .	<b>70b</b>	
<b>71</b>	Apply overpayment (sum of lines 70a and 70b) to <b>(check one)</b> : <input type="checkbox"/> Credit on 2017 Form 1042 or <input type="checkbox"/> Refund		

<b>Section 2 Reconciliation of Payments of U.S. Source FDAP Income</b>			
<b>1</b>	Total U.S. source FDAP income required to be withheld upon under chapter 4 . . . . .	<b>1</b>	
<b>2</b>	Total U.S. source FDAP income required to be reported under chapter 4 but not required to be withheld upon under chapter 4 because:		
<b>a</b>	Amount of income paid to recipients whose chapter 4 status established no withholding is required . . . . .	<b>2a</b>	
<b>b</b>	Amount of excluded nonfinancial payments . . . . .	<b>2b</b>	
<b>c</b>	Amount of income paid with respect to grandfathered obligations . . . . .	<b>2c</b>	
<b>d</b>	Amount of income effectively connected with the conduct of a trade or business in the U.S. . . . .	<b>2d</b>	
<b>e</b>	Amount of excluded payments on offshore obligations . . . . .	<b>2e</b>	
<b>f</b>	Amount of excluded payments on collateral . . . . .	<b>2f</b>	
<b>g</b>	Total U.S. source FDAP income required to be reported under chapter 4 but not required to be withheld upon under chapter 4 (Add lines 2a-f) . . . . .	<b>2g</b>	
<b>3</b>	Total U.S. source FDAP income reportable under chapter 4 (Add lines 1 and 2g) . . . . .	<b>3</b>	
<b>4</b>	Total U.S. source FDAP income reported on all Forms 1042-S (from line 62a, (b)(1), and (b)(2)) . . . . .	<b>4</b>	
<b>5</b>	Total variance, subtract line 3 from line 4, if amount other than zero, provide explanation on line 6 . . . . .	<b>5</b>	
<b>6</b>	_____		
	_____		
	_____		

**Section 3 Notional principal contract payments and other payments on derivative contracts that reference (in whole or in part) a U.S. security**

Check here if any payments (including gross proceeds) were made by the withholding agent under notional principal contracts or other derivatives contracts that reference (in whole or in part) a U.S. security (see instructions)