Oracle Financial Services
FATCA Regulatory Reporting

Release 6.2.4
August 2014

ORACLE
FINANCIAL SERVICES

ORACLE

Oracle Financial Services
FATCA Regulatory Reporting

Release 6.2.4
August 2014

Document Control Number: 9MN11-6.2.4-05
Document Number: UG-14-RR-005-6.2.4-01

Contents

Contents

List of Tables

List of Figures

List of Figures

Oracle Financial Services FATCA Regulatory Reporting User Guide

About This Guide

The *OFS FATCA Regulatory Reporting User Guide* explains the concepts behind OFS FATCA Regulatory Reporting application and provides step-by-step instructions for navigating through the application.

This chapter discusses the following topics:

- Who Should Use this Guide
- How this Guide is Organized
- Where to Find More Information
- Conventions Used in this Guide

Who Should Use this Guide

The *OFS FATCA Regulatory Reporting User Guide* is designed for use by various users. Their roles and responsibilities, as they operate within the OFS FATCA Regulatory Reporting application, include the following:

- **FATCA RR Analyst**: This user can create new reports, edit report details, add comments to the report, request reports for approval, and also cancel filing of reports from open and reopen status.
- **FATCA RR Supervisor**: This user can create new reports, edit report details, approve reports, request for cancellation, add comments, rework on reports, cancel filing of reports, view final report, mark reports as submitted, reopen cancelled reports, and reopen submitted reports.
- **FATCA RR Auditor**: This user can view reports and add comments to the report.
- **FATCA RR Admin**: This user is responsible for mapping security attributes to the users.

How this Guide is Organized

The *OFS FATCA Regulatory Reporting User Guide,* includes the following topics:

- Chapter 1, *About OFS FATCA Regulatory Reporting,* provides an overview of the OFS FATCA Regulatory Reporting application.

- Chapter 2, *Getting Started,* explains the steps to login to the OFS FATCA Regulatory Reporting application and provides a brief overview of the various users and their roles in the application.

- Chapter 3, *Managing OFS FATCA Regulatory Reporting,* explains the workflow of FATCA reports.

Where to Find More Information

For additional information about OFS FATCA Regulatory Reporting, refer to the following documents:

- *OFS FATCA Administration and Configuration Guide*
- *OFS FATCA RR Administration and Configuration Guide*

To find additional information about how Oracle Financial Services solves real business problems, see our website at www.oracle.com/financialservices.

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

Convention	Meaning
Italics	- Names of books, chapters, and sections as references - Emphasis
Bold	- Object of an action (menu names, field names, options, button names) in a step-by-step procedure - Commands typed at a prompt - User input
Monospace	- Directories and subdirectories - File names and extensions - Process names - Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	Substitute input value
Asterisk*	Indicates mandatory fields in the UI

CHAPTER 1   *About OFS FATCA Regulatory Reporting*

This chapter provides an overview of the OFS FATCA Regulatory Reporting application.

Introduction to OFS FATCA Regulatory Reporting

The Foreign Account Tax Compliance Act (FATCA) is an important development in the United States, that aims to combat tax evasion by US persons holding accounts and other financial assets in other countries. Under FATCA, certain US taxpayers holding financial assets outside the United States must report those assets to the Internal Revenue Service (IRS).

FATCA also requires certain foreign financial institutions to report directly to the IRS information about financial accounts held by US taxpayers or by foreign entities in which US taxpayers hold a substantial ownership interest. The reporting institutions include not only banks, but also other financial institutions, such as investment entities, brokers, and certain insurance companies.

The OFS FATCA Regulatory Reporting application focuses on reporting:

- By US taxpayers about certain foreign financial accounts and offshore assets
- By foreign financial institutions about financial accounts held by US taxpayers or foreign entities in which US taxpayers hold substantial ownership interest

FATCA reports are of two types, namely, Individual reports and Pooled reports.

- **Individual Reports**: Individual Reports are used for reporting specific account holder information.
- **Pooled Reports**: Pooled Reports are used for reporting on an aggregate basis in a reporting pool rather than reporting specific account holder information.

The OFS FATCA Regulatory Reporting helps generate FATCA reports as per Form 8966 provided by the IRS. For more information on the workflow of FATCA reports, refer to *OFS FATCA Regulatory Reporting Workflow*.

CHAPTER 2 — *Getting Started*

This section explains the steps to login to OFS FATCA Regulatory Reporting and provides a brief overview of the various users and their roles within the application.

This chapter explains the following topics:

- User Roles
- User Access
- Logging in to OFS FATCA Regulatory Reporting

User Roles

The following user roles are defined in OFS FATCA Regulatory Reporting:

- FATCA RR Analyst
- FATCA RR Supervisor
- FATCA RR Auditor
- FATCA RR Admin

Note: If OFS FATCA Regulatory Reporting is integrated with OFS FCCM, then you can map the FATCA admin role to the ECM admin role.

User Access

The following table explains the tasks that can be performed by various users in OFS FATCA Regulatory Reporting.

Table 2. User Roles and Actions

Function	Roles			
	FATCA RR Analyst	FATCA RR Supervisor	FATCA RR Auditor	FATCA RR Admin
View FATCA reports	X	X	X	
Create New Report	X	X		
Request Reports for Approval	X			
Approve Reports		X		
Rework on Reports		X		
Cancel Filing of Reports from Open and Reopen Status	X	X		
Cancel Filing of Reports from Requested for Approval and Approved Status		X		
Add Comments	X	X	X	
View/Save Final Report	X	X	X	
Submit Approved Reports	X	X		
Mark Reports as Submitted	X	X		
Reopen Cancelled Reports	X	X		
Reopen Submitted Reports	X	X		
Set Security Attributes				X

Logging in to OFS FATCA Regulatory Reporting

To access OFS FATCA Regulatory Reporting, follow these steps:

1. Go to the **OFSAAI** Login page.

2. Select the **Language**.

3. Enter your **User ID**.

4. Enter your **Password**.

5. Click **Login**. The Oracle Financial Services Analytical Applications Infrastructure page is displayed with a link to **FCCM**.
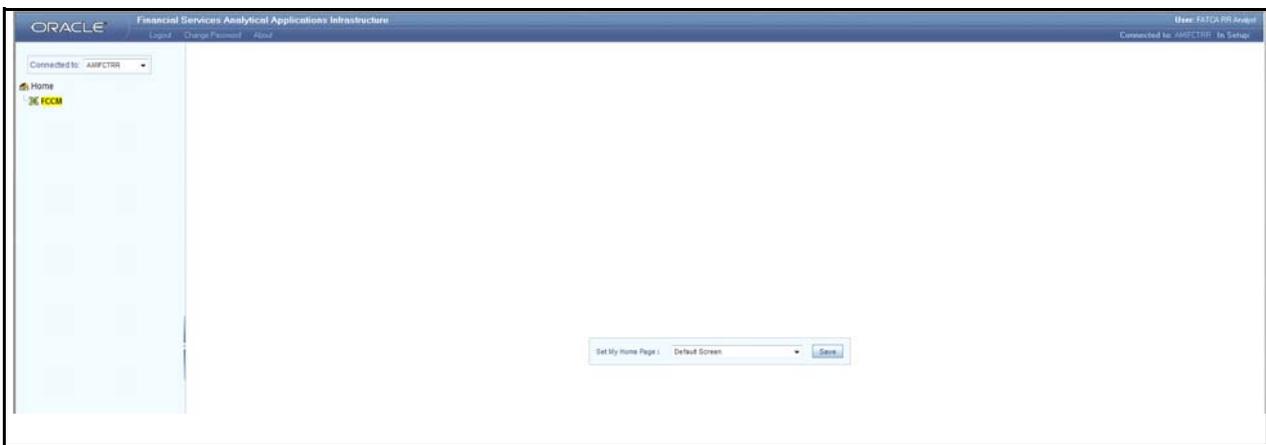
Figure 1. OFSAAI Home page

6. Click **FCCM**.

7. Hover over **Regulatory Reporting.** Click **FATCA Reports**. The Search and List page is displayed.
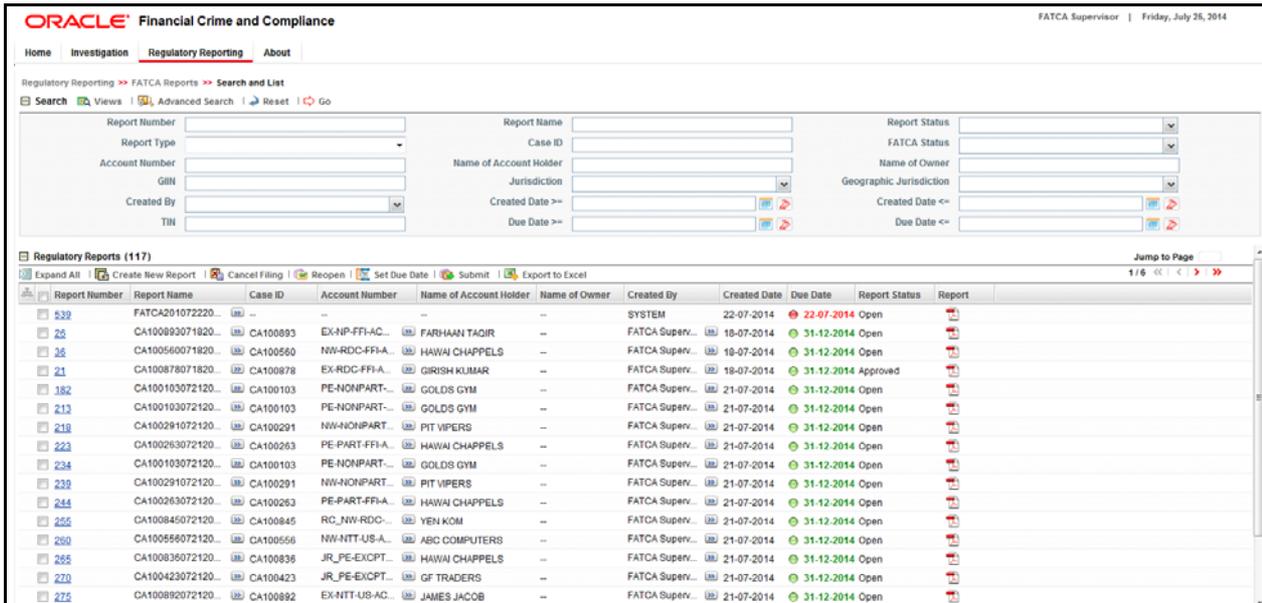
Figure 2. Search and List page

Based on user roles and access permission, FATCA Reporting displays the following menu options.

- Users mapped to FATC RR Analyst, FATC RR Supervisor, and FATC RR Auditor role can access the **FATCA Reports** Menu.

- Users mapped to FATCA RR Admin role can access the **FATCA Regulatory Reporting User Attribute Administration** menu.

The FATCA Reports menu displays the following sub-menus:

- **Search and List**: This menu allows you to navigate to the Search and List page. From this page you can use various criteria to search for FATCA Regulatory Reports.

- **Case Search:** This menu allows you to navigate to the Case Search page. From this page, you can search for FATCA cases that are ready for regulatory filing, incase your firm has implemented OFSECM.

- **Create New Report**: This menu allows you to navigate to the Create New Reports page where you can initiate a user created FATCA Regulatory Report.

The Administration menu displays the following menu:

- **FATCA Regulatory Report User Attribute Administration**: This menu allows you to map and maintain the security attributes for each user role.

CHAPTER 3   *Managing OFS FATCA Regulatory Reporting*

This section provides step-by-step instructions to manage FATCA reports and includes the following topics:

- OFS FATCA Regulatory Reporting Workflow
- Creating FATCA Reports
- Searching FATCA Cases
- Searching FATCA Reports
- Submitting FATCA Reports for Approval
- Setting Due Date For Reports
- Adding Comments to Report
- Exporting the Report Details to Excel

OFS FATCA Regulatory Reporting Workflow

FATCA Reports can be created manually with OFS FATCA Regulatory Reporting application, or from the Case Search page or through batch process. For more information on creating reports, refer to *Creating FATCA Reports*.

Once the reports are created they are displayed in the Search and List page. Users mapped to the role of Analyst can update the report information as needed and submit the report details for approval to the Supervisor.

The Supervisor can approve, rework, or cancel filing of reports once an Analyst has requested approval. On the other hand, Supervisors can also edit the report details and approve reports directly, if needed.

If the report is approved by the Supervisor, the OFS FATCA Regulatory Reporting application generates the final PDF after all the necessary validations. The status of the report changes to Approved. For more information on approving reports, refer *Approving Reports*.

Once the report is approved, the PDF can be submitted to IRS. Submission to IRS occurs outside of the application. The report can then be marked as Submitted in the application. The status of the Report changes to *Submitted*. For more information, refer to *Marking Reports as Submitted*.

If required, the Supervisor can send the report for rework when the report is in request for approval status. The analyst must then re-work the report and re-submit the report for approval. This process continues until the report is approved or canceled. For more information, refer to *Sending Reports For Rework*.

If the Supervisor determines that a report should not be filed, they can cancel it. If the report is canceled, the report details cannot be edited and the report is in View mode. The status of the report changes to *canceled*. For more information, refer to *Cancel Filing of Reports*.

The application allows users mapped to the role of Supervisor to re-open canceled reports. The status of the report changes to *Reopened*. For more information, refer to *Reopening Reports*.

For more information on user roles, refer to *Table 2*.

The report has a life cycle which begins with the *Open* status and ends when it is in *Submitted* status.

Note: You cannot edit report details when the report is in *View Only* mode. You can add comments to a report in all statuses.

To view the report details, click the report name in the Search and List page.

The following figure depicts the workflow of FATCA reports:
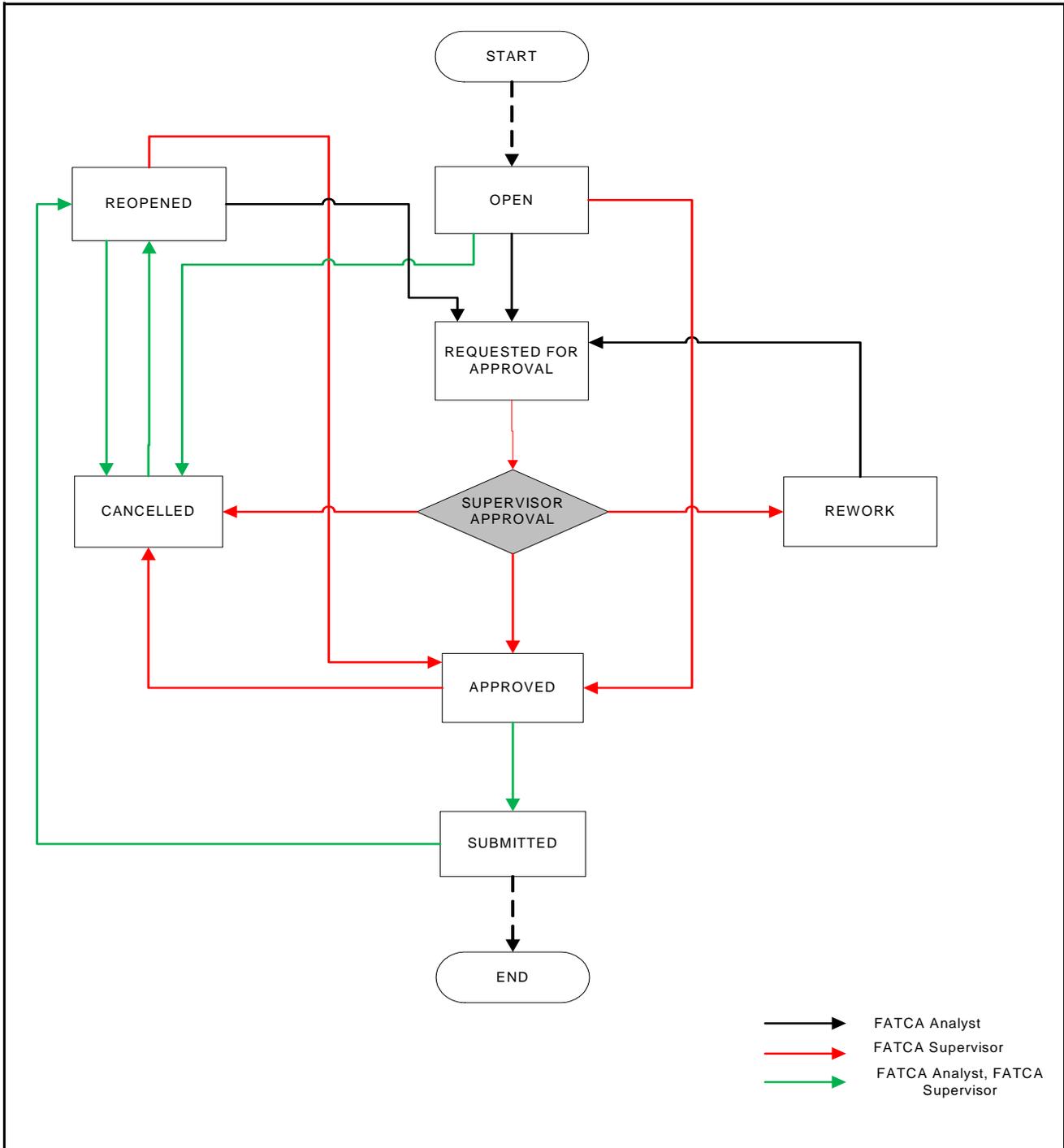
Figure 3. Workflow of FATCA Reports

If you try to take action on more than one report and some reports are locked by another user, the application displays the following message: *<Report Name(s)> are locked by another user. Click OK to take action on the remaining reports or CANCEL to go back to the previous page.*

If you try to take action on one or more than one report and all the reports are locked by another user, the application displays the following message: *All the selected reports are locked by another user. Please try again later.*

If you try to open a report that is already opened by another user, the application displays the following message: *The report is currently locked by another user. You will not be able to edit/take action on the report. Do you wish to open report details in read only mode.*

Table 3. Actions that can be performed in Various Statuses

Status	Possible Action	User	Resulting Status
Open	Request for Approval	Analyst	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst, Supervisor	canceled
Reopened	Request for Approval	Analyst	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst, Supervisor	canceled
Requested for Approval	Approve	Supervisor	Approved
	Rework	Supervisor	Rework
	Cancel Filing	Supervisor	canceled
Approved	Submitted	Analyst, Supervisor	Submitted
	Cancel Filing	Supervisor	canceled
Rework	Request for Approval	Analyst	Requested for Approval
Canceled	Reopen	Analyst, Supervisor	Reopened
Submitted	Reopen	Analyst, Supervisor	Reopened

The following table explains in which statuses an Analyst or Supervisor user can edit the report details.

Table 4. Status in which Reports are Editable by Users

Status	Edit Report Details*		
	Analyst	Supervisor	Auditor
Open	X	X	
Reopened	X	X	
Requested for Approval		X	
Approved			
Rework	X	X	
Submitted			
canceled			

Note: Editing reports does not include addition of comments.

Creating FATCA Reports

You can create new FATCA reports whenever you identify tax non-compliance by US taxpayers with foreign accounts, and want to report it to the IRS. The reports can be generated from within the application, or through the Case Search page, or through Batch Process.

This section covers the following topics:

- Creating Reports Manually from OFS FATCA Regulatory Reporting

- Creating Reports from Case Search Page

- Creating Reports Through Batch Process

Creating Reports Manually from OFS FATCA Regulatory Reporting

You can manually create a new report using the **Create New Report** option in the OFS FATCA Regulatory Reporting application.

Note: Users mapped to the role of Analyst and Supervisor can create new FATCA reports.

To create FATCA reports from OFS FATCA Regulatory Reporting, follow these steps:

1. From the FATCA Reporting menu, hover over **FATCA Reports** and click **Create New Report**. The Create New Report container is displayed.

Or

2. Click **Create New report** in the Search and List page. The Create New Report container is displayed.

Figure 4. Create New Report

3. Enter the required information.

   Note: Always specify values for fields marked as required. Required fields are identified by a red asterisk.

The following table explains the fields in the Create New Report container:

Table 5. Create New Report

Fields	Description
Report Name	Enter a name for the report being created. This is a mandatory field.
Report Type	Select the report type from the drop-down list. Following are the possible options: ● Individual Report ● Pooled Report This is a mandatory field.
Case ID	Enter the Case ID associated with the report.
Jurisdiction	Select the jurisdiction from the drop-down list. The attributes that are available in the drop-down list are based upon your firm's configuration. This is a mandatory field.
Business Domain	Select the business domain from the drop-down list. The attributes that are available in the drop-down list are based upon your firm's configuration.
Geographic Jurisdiction	Select the geographic jurisdiction from the drop-down list. The attributes that are available in the drop-down list are based upon your firm's configuration.
FATCA Status	Select the FATCA status from the drop-down list. This is a mandatory field.
Created Date	This field is auto-populated with the current system date. This field cannot be edited.
Created By	This field is auto-populated with the logged in user's name. This field cannot be edited.

4. Click **Save**. The following confirmation message is displayed: <> *Report created successfully. Click Ok to view the report details or Cancel to create more reports.*

5. Click **OK**. The Report Details page is displayed.

   A new report is created and the due date is set as per the number of days configured in the application parameter Table.

   If the Report Name, Report Type, Jurisdiction, or FATCA Status is missing in the Create new Report container, and when you click on Save, the application displays the following message: *Report Name, Report Type, Jurisdiction and FATCA Status are mandatory.*

Creating Reports from Case Search Page

The Case Search page allows you to create reports from cases generated in OFSFCCM. However, the OFS FATCA Regulatory Reporting application does not support creating reports from the Case Search page, if it is installed as a standalone application.

The Case Search page allows you to create individual/pooled FATCA reports for FATCA cases. For more information on generation of FATCA cases, refer to the *FATCA Administration and Configuration Guide*.

Creating Individual Reports

Individual Reports are used for reporting specific account holder information.

You can create individual reports for more than one FATCA status listed in the Case Summary grid. Each FATCA status can contain one or more cases. If you click **Create Individual Report**, all the cases under the selected FATCA status are converted into Individual FATCA reports.

For example, consider having 15 cases under FATCA status *Non-Participating FFI* and 10 cases under FATCA status *Recalcitrant*. If you click **Create Individual Report** after checking these two FATCA statuses in the Case Summary grid, the application generates 25 individual reports: 10 reports for Non-Participating FFI and 15 reports for Recalcitrant.

To create individual reports, follow these steps:

1. Navigate to the Case Search page.

2. Select the FATCA status for which you want to create an individual report.

3. Click **Create Individual Report**. The following message is displayed: *Reports were created successfully.*

4. Click **OK**.

   Note: The selected FATCA status records are removed from the Case Summary grid after the reports are created successfully.

Creating Pooled Reports

Pooled Reports are used for reporting on an aggregate basis in a reporting pool rather than report specific account holder information. Pooled reports can contain only a given FATCA status.

You can create pooled reports for more than one FATCA status listed in the Case Summary grid. Each FATCA status can contain one or more than one case. If you click **Create Pooled Report**, all the cases under the selected FATCA status are converted into a Pooled Report summarizing each FATCA status into one report.

For example, consider having 15 cases under FATCA status *Non-Participating FFI* and 10 cases under FATCA status *Recalcitrant*. If you click **Create Pooled report** after checking these two FATCA statuses in the Case Summary grid, the application generates 2 reports, 1 report for Non-Participating FFI and 1 report for Recalcitrant.

To create pooled reports, follow these steps:

1. Navigate to the Case Search page.

2. Select the FATCA status for which you want to create an individual report.

3. Click **Create Pooled Report**. The following message is displayed: *Reports were created successfully.*

4. Click **OK**. The selected FATCA status is removed from the Case Summary grid

Creating Reports Through Batch Process

For a standalone application, reports are generated using Batch Process. Reports are generated based on FATCA Status, Overall Indicia, and FATCA Pool Report Code. For standalone implementations, these values are provided by the client as part of the Account reference data and are used to determine if an account should be reported and under what classification. The reports are generated automatically whenever the batch is run.

For more information on batch process, refer to the *FATCA RR Administration and Configuration Guide*.

Searching FATCA Cases

The Case Search page enables you to search for cases that you want to view and analyze using the search criteria.

By default, the search criteria is blank.

The Case Summary in the Case Search page displays the number of latest created FATCA cases matching the search criteria, for an account. All cases are grouped by FATCA status of an account. The search results are further filtered based on the following logic:

1. Only FATCA cases in the following statuses are considered:

    a. Closed - Cases closed by users following an investigation.

    b. Closed by System - These are cases which are automatically closed by the system upon creation based upon configurable settings. For example, if the FATCA status is clear and due diligence is not required, the case may be automatically closed and ready for filing depending on status.

2. Based on the search criteria, the latest cases for an account number are displayed, if the cases are in *Closed* or *Closed by System* status.

3. The cases are displayed only for the current filing financial year configured in static tables.

4. Cases are displayed based on the security attributes mapped to the current user. Users can only see cases to which they have access rights.

Searching FACTA Cases Using Search Criteria

To search for FATCA cases using the search components, follow these steps:

1. Navigate to the Case Search page.

Figure 5. Case Search Page

2. Enter the details in the relevant search fields to retrieve the number of reportable cases for each reportable FATCA status. The following table explains the search fields in Case Search page.

Table 6. Search Criteria in Case Search Page

Field Name	Description
Case Created By	Select the user who has created the case from the drop-down list. This field allows searching of cases with multiple options selected with user names displayed as drop-down option.
Case Closed Date >=	Select the case closed date from the calendar to display cases having a closed date greater than or equal to the specified date. You can either perform a range search using 'Closed Date >=' and 'Closed Date<=' or use them independently. If you specify Case Closed Date <= or Case Closed Date >= outside the current financial year in search criteria in Case Search page and click on Go, the application displays the following message: *The Case Closed Dates should fall in between Current Financial Year.*
Case Closed Date <=	Select the closed date from the calendar to display cases having a closed date lesser than or equal to the specified date. You can either perform a range search using 'Closed Date >=' and 'Closed <=' or use them independently. If you enter a Case Closed Date <= which is less than Case Closed Date >=, the application displays the following message: *Please enter a 'Case Closed Date <=' which is equal to or greater than 'Case Closed Date >='.* If you enter a Case Closed Date <= which is greater than the system date, the application displays the following message: *Please enter a 'Case Closed Date <=' which is earlier than or equal to sysdate.*

Table 6. Search Criteria in Case Search Page

Field Name	Description
FATCA Status	Select the FATCA status from the drop-down list to display the number of reportable closed cases for the selected FATCA status. This field allows searching of reports with multiple options selected. The drop-down displays only reportable FATCA status as options and these options are configurable.
Overall US Indicia	Select the overall US Indicia to display number of cases with the specified US Indicia.
Customer Name	Enter the customer name to display number of reportable cases that involves the specified customer. This field supports wildcard search and allows you to enter a maximum of 255 characters.
Customer Identifier	Enter the customer identifier number to display number of reportable cases where the customer identifier is the focal entity. You can perform multiple customer identifier search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Account Number	Enter the account number to display number of reportable cases where the account number is focal entity. You can perform multiple account number search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Account Status	Select the account status from the drop-down list to display number of reportable cases in the selected status. Following are the options available for Account status drop-down list: ● Dormant ● Active
Jurisdiction	Select the jurisdiction from the multi-select drop-down list to display number of reportable cases of the specified jurisdiction. The possible options for jurisdiction is derived from the static table.
Geographic Jurisdiction	Select the geographic jurisdiction from the multi-select drop-down list to display number of reportable cases of the selected jurisdiction. The possible options for geographic jurisdiction is derived from the static tables.
Business Domain	Select the business domain from the multi-select drop-down list to display number of reportable cases of the specified business domain. The possible options for business domain is derived from the static tables.

3. Click **Go**. The relevant search list is displayed.

Searching FATCA Reports

The Search and List page enables you to filter the list of reports that you want to view and analyze. The search bar supports three types of search, namely, Views, Basic Search, and Advanced Search.

The Reports List displays the list of reports that meet the criteria specified on the Search bar.

This section explains the following topics:

- Searching FACTA Reports Using Basic Search
- Searching FACTA Reports Using Advanced Search
- Searching FACTA Reports Using Pre-defined Views

Searching FACTA Reports Using Basic Search

This search is based on a limited set of search components and helps to retrieve the required reports details.

To search for FATCA reports using the basic search components, follow these steps:

1. Navigate to the Search and List page.

Figure 6. Basic Search Components

> **Note**: The basic **Search** option is displayed by default.

2. Enter the details in the relevant search fields to retrieve the list of reports. For detailed descriptions of search fields, refer to *Table 7*.

3. Click **Go**. The relevant search list is displayed.

> **Note**: If there is no match for the entered search criteria, the application displays *No Data Found* message.

Searching FACTA Reports Using Advanced Search

The Advanced Search offers the same search fields as provided for a simple search along with additional fields. If you know any of the report details such as approver details, last modified details, report submitted details, and so on, then you can filter the list of reports using the advanced search components.

To search for reports using advanced search components, follow these steps:

1. Navigate to the Search and List page.

2. Click **Advanced Search** from the search bar.

Figure 7. Advanced Search Components

3. Enter the search components to filter the reports.

   The following table provides the description of the search components that display in the Advanced Search bar:

Table 7. Components of Advanced Search Bar

Criteria	Search Component of Advanced/Basic Search	Description
Report Number	Basic Search	Enter the Report number in the text field to search for details of the exact report. This field supports wildcard search. You can enter a maximum of 50 characters in this field beyond which the application displays the following message: *Number of characters exceeded.*
Report Name	Basic Search	Enter the report name to display the list of reports with name as specified in the search criteria. This field supports wildcard search. You can enter a maximum of 50 characters beyond which the application displays the following message: *Number of characters exceeded.*

Criteria	Search Component of Advanced/Basic Search	Description
Report Status	Basic Search	Select the report status from the drop-down list to display reports in the selected status. Following are the options available for Report status drop-down list: ● Open ● Requested for Approval ● Approved ● Rework ● Submitted ● canceled ● Reopened This field allows searching of reports with multiple options selected.
Report Type	Basic Search	Select the report type from the drop-down list to display reports of the selected type. Following are the possible options: ● Individual Reports ● Pooled Reports
Case ID	Basic Search	Enter the Case ID to display reports with the selected Case ID. You can perform multiple Case ID search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
FATCA Status	Basic Search	Select the FATCA status from the drop-down list to display reports in the selected status. This field allows searching of reports with multiple options selected. The drop-down displays only reportable FATCA status as options and these options are configurable.
Account Number	Basic Search	Enter the account number to display reports with the selected account number. You can perform multiple account number search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Name of Account Holder	Basic Search	Enter the name of the account holder to display reports where the person specified is the account holder. This field allows you to enter a maximum of 255 characters and supports wildcard search.
Name of Owner	Basic Search	Enter the name of the account owner to display reports where the person specified is the owner of the account. This field allows you to enter a maximum of 255 characters and supports wildcard search.

Criteria	Search Component of Advanced/Basic Search	Description
GIIN	Basic Search	Enter the GIIN of the filer to display reports with the specified GIIN of the filer. You can perform multiple GIIN search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters. GIIN stands for Global Intermediary Identification Number (GIIN) and is a unique identification number provided to the Filer.
Jurisdiction	Basic Search	Select the jurisdiction from the multi-select drop-down list to display reports of the selected jurisdiction. The possible options for jurisdiction is derived from the DIM tables.
Geographic Jurisdiction	Basic Search	Select the geographic jurisdiction from the multi-select drop-down list to display reports of the selected jurisdiction. The possible options for jurisdiction is derived from the kdd_geo_jrsdcn tables.
TIN	Basic Search	Enter the TIN number to display reports based on TIN of account owner or account holder. You can perform multiple TIN search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Due Date>=	Basic Search	Select the due date from the calendar to display reports having due date greater than or equal to the specified date. 1. If you enter a date in 'Due Date <=' which is less than 'Due Date >=', the application displays the following message: *Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.* 2. If Due date >= is not mentioned but Due date <= is available, the application displays the following message: *'Due Date >=' is mandatory if 'Due Date <=' is mentioned. Please enter a date in 'Due Date >='.* 3. If you enter a due date which is less than current date, the application displays the following message: *Please enter a due date which is equal to or greater than sysdate.*
Due Date<=	Basic Search	Select the due date from the calendar to display reports having due date lesser than or equal to the specified date. While performing a range search, if you enter a value in 'Due date <=' less than 'Due date >=', the application displays the following message: *Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.*
Created By	Basic Search	Select the user who has created the report from the drop-down list. This field allows searching of reports with multiple options selected with user names displayed as drop-down option.

Criteria	Search Component of Advanced/Basic Search	Description
Created Date >=	Basic Search	Select the created date from the calendar to display reports having a created date greater than or equal to the specified date. You can either perform a range search using 'Created Date >=' and 'Created <=' or use them independently.
Created Date <=	Basic Search	Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date. 1. While performing a range search, if you enter a value in 'Created Date <=' less than 'Created Date >=', the application displays the following message: *Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.* 2. If you enter a value in created date <= greater than the system date, the application displays the following message: *Please enter a 'Created Date <=' which is earlier than or equal to sysdate.*
Last Modified By	Advanced Search	Select the user who has last modified the report from the drop-down list. This field allows searching of reports with multiple options selected with user names displayed as drop-down option.
Last Modified Date >=	Advanced Search	Select the last modified date from the calendar to display reports having a last modified date greater than or equal to the specified date. You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.
Last Modified Date <=	Advanced Search	Select the Last Modified Date from the calendar to display reports having a last modified date lesser than or equal to the specified date. 1. While performing a range search, if you enter a value in 'Last Modified Date <=' less than 'Last Modified Date >=', the application displays the following message: *Please enter a 'Last Modified Date <=' which is equal to or greater than 'Last Modified Date >='.* 2. If you enter a value in 'Last Modified Date <=' greater than the system date, the application displays the following message: *Please enter a 'Last Modified Date <=' which is earlier than or equal to sysdate.* 3. If Last Modified Date >= is not mentioned but Last Modified Date <= is available, the application displays the following message: *'Last Modified Date >=' is mandatory if 'Last Modified Date <=' is mentioned. Please enter a date in 'Last Modified Date >='.*
Approved By	Advanced Search	Select the name of the approver to search for reports approved by the selected user. This field allows searching of reports with multiple options selected with user names displayed as drop-down option.

Criteria	Search Component of Advanced/Basic Search	Description
Approved Date >=	Advanced Search	Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.
Approved Date <=	Advanced Search	Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date. 1. While performing a range search, if you enter a value in 'Approved Date <=' less than 'Approved Date >=', the application displays the following message: *Please enter an 'Approved Date <=' which is equal to or greater than Approved Date >=.* 2. If you enter a value in 'Approved Date <=' greater than the system date, the application displays the following message: *Please enter an 'Approved Date <=' which is earlier than or equal to sysdate.* 3. If Approved date >= is not mentioned but Approved date <= is available: 'Approved Date >=' is mandatory if 'Approved Date <=' is mentioned. Please enter a date in 'Approved Date >='.
Submitted By	Advanced Search	Select the name of the filer from the drop-down list to search for reports submitted by the selected user. This field allows searching of reports with multiple options selected.
Submitted Date >=	Advanced Search	Select the filed date from the calendar to display reports having filed date greater than or equal to the specified date.
Submitted Date <=	Advanced Search	Select the filed date from the calendar to display reports having filed date lesser than or equal to the specified date. 1. While performing a range search, if you enter a value in 'Filed Date <=' less than 'Filed Date >=', the application displays the following message: *Please enter a 'Submitted Date <=' which is equal to or greater than "Submitted Date >=".* 2. If you enter a value in '*Submitted* Date <=' greater than the system date, the application displays the following message: *Please enter a 'Submitted Date <=' which is earlier than or equal to sysdate.*

Criteria	Search Component of Advanced/Basic Search	Description
Type of Filing	Advanced Search	Select the type of filing from the multi-select drop-down list to display reports of the specified filing type. Following are the possible options: ● Initial ● Corrected ● Amended ● Voided
Business Domain	Advanced Search	Select the business domain from the multi-select drop-down list to display reports of the specified business domain. The possible options for business domain is derived from the DIM tables.

3. Click **Go**. The relevant search list is displayed.

   Note: If there is no match for the entered search criteria, the application displays the following message: *No Data Found.*

Searching FACTA Reports Using Pre-defined Views

Views search helps you to quickly filter the reports based on pre-defined search queries.

To search for reports using pre-defined views, follow these steps:

1. Navigate to Search and List page.

   Note: By default, the Search and List page displays all the available records.

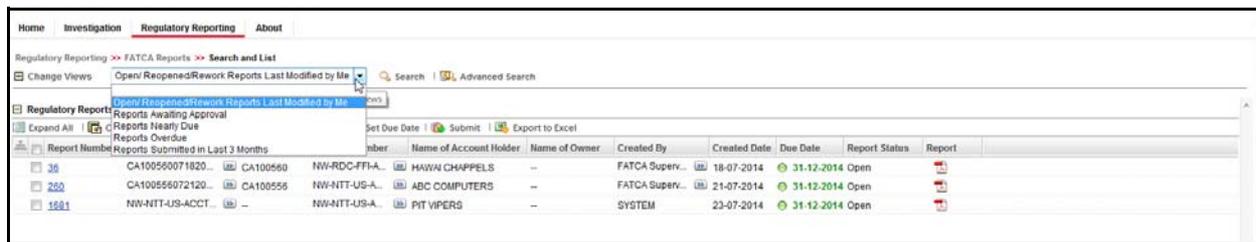2. Click **Views** from the search bar.

Figure 8. Views Search

3. Select any of the pre-defined views from the Views drop-down list. The Search and List page refreshes to show results matching the View criteria.

   The following table explains the different types of default pre-defined views available:

Table 8. Pre-defined Views

Views	Description
Reports Awaiting Approval	Select **Reports Awaiting Approval** from the drop-down list to display the list of reports in *Requested for Approval* status. This option is the default view for Supervisor. **Note:** Users will be allowed to take action on the Reports Awaiting Approval based on the user role, actions and status mapping.
Open/ Reopened/Rework – Last Modified by Me	Select **Open/ Reopened - Reports Last Modified by Me** from the drop-down list to display reports in Open/Reopened/Rework status for which the logged in user is the last modifier. This option is the default view for an Analyst.
Reports Nearly Due	Select **Reports Nearly Due** from the drop-down list to display the reports that are approaching their due dates. The Nearly Due date is defined as 4 days from the due date or all the reports in which due date is System date +4. Reports which are nearly due are highlighted in *Yellow* color.
Reports Overdue	Select **Reports Overdue** from the drop-down list to display the list of reports that have exceeded their due dates. When a report is past its due date or when the due date is same as the system date, the reports in the Search and List page are highlighted in *Red* color.

Table 8. Pre-defined Views

Views	Description
Reports Submitted in the Last 3 Months	Select **Reports Filed in Last 3 Months** from the drop-down list to display reports that were submitted in the last 3 months. This option is the default view for an Auditor.
All saved views by user	Select any of the views that you have created and saved using the **Save as View** button to display reports as per the view selected. For more information, refer to section *Saving Views.* The saved view is available only to the user creating the view and will not be available to other users.

Saving Views

The **Save as View** action allows you to save the search criteria as a view. The saved views will be available in the Views drop-down list.

To save a view, follow these steps.

1. Navigate to Search and List page and click **Advanced Search**.

2. Enter the search criteria you want to save as view.

3. Click **Save as View**. The Save as View window is displayed.

Figure 9. Save as View Window

4. Enter the view name and view details.

   The View Details box in the **Save as view** window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in this box, the following message is displayed: *Number of characters exceeded.*

5. Click **Save**. The following message is displayed: *Add Operation Successful.*

6. Click **OK**. The view is saved and is displayed in the Views drop-down list.

   The saved view is available only to the user creating the view and will not be available to any other users.

Submitting FATCA Reports for Approval

This process involves the following steps:

- Entering Report Details in Report Details Page

- Taking Actions on FATCA Reports

Entering Report Details in Report Details Page

The Report Details page allows users mapped to the role of Analyst and Supervisor to enter or update report information depending upon the report status.

Click the report name in the Search and List page to navigate to the Report Details page.

The Report Details page allows you to manage the following sections:

- Report Context

- Identification of Filer

- Account Holder/Payee Information

- Financial Information

- Related Reports

- Pooled Reporting Type

- Documents

- Audit

Note: For Individual reports, the Report Details page displays the tabs namely, Identification of Filer, Account Holder/Payee Information, Financial Information, Related Reports, Documents, and Audit.

For Pooled reports, the Report Details page displays the tabs namely, Identification of Filer, Pooled Reporting Type, Documents, and Audit.

This section explains the following topics:

- Managing Identification of Filer Tab

- Managing Account Holder/Payee Information Tab

- Managing Financial Information Tab

- Managing Related Reports Tab

- Managing Pooled Reporting Tab

- Managing Documents Tab

- Viewing Audit Information

Report Context

The Report Context section in the Report Details page displays information about the report and is non-editable. It contains minimize and maximize buttons that allow you to expand and collapse the details in the Report Context. By default, the Report Context container is in minimized mode and displays report number, report name, and report status.

Figure 10. Report Context

The Report Context displays the following information:

- Report Number
- Report Name
- Report Status
- Report Type
- Case ID
- Due Date
- Created By
- Last Modified By
- Approved By
- Created Date
- Last Modified Date
- Approved Date
- Jurisdiction
- Geographic Jurisdiction
- FATCA Status

Managing Identification of Filer Tab

This tab refers to the **Part I Identification of Filer** section in the FATCA report.

Figure 11. Identification of Filer Information in Final Report

The Identification of Filer tab is the default tab selected when you navigate to the Report Details page. This tab provides information about the bank or the financial institution filing the report.

Figure 12. Identification of Filer Tab

The following table explains the fields in Identification of Filer tab.

Table 9. Fields in Identification of Filer Tab

Fields	Description
Type of Filing	Select the type of filing from the drop-down list. Following are the possible values: ● **Initial Report**: Select Initial report from the drop-down list if you are submitting the report to the Internal Revenue Service (IRS) for the first time. ● **Amended Report**: Select Amended Report from the drop-down list if the report was previously submitted to IRS, but is being resubmitted with modifications to correct the earlier provided information. ● **Voided**: Select Void Data if you want to erase the previously-filed records submitted to IRS and when data must be re-transmitted. Only records with the following errors should be voided: ■ No Account Holder or Substantial US Owner TIN ■ Incorrect Account Holder or Substantial US Owner TIN ■ Incorrect Account Holder or Substantial US Owner Name ■ Incorrect Account Holder or Substantial US Owner Name and Address ● **Corrected**: Select Corrected Data if the report was previously submitted to IRS, but is being resubmitted due to IRS request to correct the errors in the data filed previously. Corrected Data should be used only while responding to an IRS request to correct the report data. (not used for Decryption, XML or other file-level errors). If Type of Filing is missing from the Identification of Filer Tab, the application displays the following message: *Please enter Type of Filing as it is a mandatory field.* If Type of Filing and Name of Filer are missing from the Identification of Filer Tab and if you click on Save, the application displays the following message: *Type of Filing and Name of Filer are mandatory.*
Name of Filer	Select the name of the filing institute from the drop-down list. The fields Number, Street and Room or Suite #, City or Town, Country, GIIN, and TIN are auto populated on selection of the filer. If Name of Filer is missing from the Identification of Filer Tab, the application displays the following message: *Please enter Name of Filer as it is a mandatory field.*
Number, Street and Room or Suite #	Displays the address of the filing institute.
City or Town	Displays the city in which the filing institution is located.
Country	Displays the country in which the filing institution is located.
GIIN	Displays the GIIN of the filing institution. GIIN stands for Global Intermediary Identification Number. It is a unique identification number provided by IRS to the filing institute.
TIN	Displays the TIN of the filing institution. TIN stands for Tax Identifier Number.
Sponsored Entity or Intermediary, If applicable	Select the name of the sponsored FFI or other intermediary from the drop-down list. The fields Number, Street and Room or Suite #, City or Town, State/Province/Region, Country, Postal Code, GIIN, TIN are auto populated
Number, Street and Room or Suite #	Displays the address of the filing institute.

Table 9. Fields in Identification of Filer Tab

Fields	Description
City or Town	Displays the city of the filing institute.
State/Province/Region	Displays the state of the filing institute.
Country	Displays the country of the filing institute.
Postal Code	Displays the postal code of the filing institute.
GIIN	Displays the Unique Identification Number provided by IRS to the Sponsored FFI or other Intermediary.
TIN	Displays the Tax identifier Number for Sponsored FFI or other Intermediary.

To save information in Identification of Filer tab, enter the required information in the fields and then click **Save**.

Click **Reset**, to reset the values to last saved data.

If you click on **Request for approval/approve** and if required mandatory fields such as Type of Filing, or Name of Filer are missing in the Identification of Filer tab, the application displays the following message: *Required mandatory information is missing on Identification of Filer tab*.

Managing Account Holder/Payee Information Tab

This tab refers to the **Account Holder or Payee Information section** in the Final report.

If required information is missing in Account Holder/Payee Information tab and when you click on Validate, the application displays the following message: *1,2 - Records are missing required information. Please make sure that you have provided values for Name of Owner, City or Town, Country and TIN of Owner.*

Figure 13. Account Holder/Payee Information in Final Report

The Account Holder/Payee Information tab provides details about the account holder/payee.

This tab displays the following sections:

- Part II: Account Holder or Payee Information
- Part III: Identifying Information of US Owners that are specified US Persons

Part II: Account Holder or Payee Information

This section provides details about the account holder or payee.

An Account Holder/Payee can be classified into two types namely, Person and Entity.

You must select the Account Holder type as *Person* when the reported account holder or payee is an individual, and *Entity* when the reported account holder or payee involved is an organization or a financial institution.

If the Type of Account Holder or Payee is entity in the Account Holder/Payee Information Tab and if you have not checked any box in the field "If Account Holder or Payee is an Entity, check applicable box to specify the Entity's type" and try to save it, the application displays the following message: *Type of Account Holder or Payee has been marked as an entity. It is required specify the Entity's Type in field "If Account Holder or Payee is an Entity, check applicable box to specify the Entity's type".*

If the Name of Account Holder or Payee, City or Town, Country, and TIN are missing from the Account Holder/Payee Information tab, and when you click Save, the application displays the following message: *Name of Account Holder or Payee, City or Town, Country and TIN are mandatory.*

Figure 14. Account Holder/Payee Information Tab

The following table displays the details you must enter in the Account Holder or Payee Information section:

Table 10. Fields in Account Holder or Payee Information

Fields	Description
Name of Account Holder or Payee	Enter the name of the primary account holder of the reported account. This field allows you to enter a maximum of 120 characters.
Customer Identifier	Enter the Customer Identifier of the primary account holder of the reported account. This field allows you to enter a maximum of 120 characters.
Number, Street and Room or Suite #	Enter the address of the primary account holder of the reported account. This field allows you to enter a maximum of 255 characters.
City or Town	Enter the city of the primary account holder of the Reported account. This field allows you to enter a maximum of 50 characters.
State/Province/Region	Enter the state of the primary account holder of the reported account. This field allows you to enter a maximum of 50 characters.
Country	Enter the country of the primary account holder of the reported account. This field allows you to enter a maximum of 50 characters.
Postal Code	Displays the postal code of the primary account holder of the reported account. This field allows you to enter a maximum of 50 characters.
TIN	Displays the TIN information of the account holder.
If Account Holder or Payee is an Entity, Check Applicable Box to Specify the Entity's Type:	Check any of the following options based on the FATCA report status: ● Owner-Documented FI with Specified US Owner(s) ● Passive Non-Financial Entity with Substantial US Owner(s) ● Non-Participating FI ● Specified US Person ● Direct Reporting NFFE

To save the details in Account Holder or Payee Information section, follow these steps:

1. Enter the required information in the fields in Account Holder or Payee Information section.

2. Click **Save**. The following message is displayed: *Update Operation Successful.*

3. Click **OK**. The saved details are displayed in Account Holder or Payee Information section.

Part III: Identifying Information of US Owners that are Specified US Persons grid

The Part III: Identifying Information of US Owners that are specified US Persons grid displays details about the individual account owner information as specified. Users are allowed to add US owners irrespective of the account type. The final report does not include the US Owner details, when the account type is Person. It is included only if the account type is Entity.

Part III: Identifying Information of US Owners that are specified US Person information is displayed only if the Type of Account Holder or Payee is *Entity*.

If there is no record with *Include Owner in Report* as *Yes* in grid and when you click on Save, the application displays the following message: *You need to specify one Owner with "Include Owner in Report?" as "Yes" in Account Holder/Payee Information tab*.

Adding Part III US Owners

To add US Owners, follow these steps:

1. Navigate to the Report Details page.

2. Click the **Account Holder/Payee Information** tab.

3. Click **Add** in the Part III: Identifying Information of US Owners that is Specified US Persons grid.

4. The Add US Owner section expand below the Part III: Identifying Information of US Owners that is Specified US Persons grid.

Figure 15. Adding U.S Owner Details

5. Enter the required information.

   Note: If you click on Request for Approval/Approve, and if required mandatory fields such as Name of Account Holder or Payee, City or Town, Country, TIN, Name of Owner, TIN of Owner are missing in Account Holder/Payee Information tab, the application displays the following message: *Required mandatory information is missing on Account Holder/Payee Information tab*.

The following table explains the fields in Add US Owner section

Table 11. Fields in Add US Owner Section

Fields	Description
Include Owner in Report	Select the Yes or No Radio Button to indicate whether the owner of the account must be reported in the report. **Note:** Only one owner can be included in the report. By default, No is selected.
Name of Owner	Enter the name of Owner of the reported account. This field allows you to enter a maximum of 120 characters.
Customer Identifier	Enter the Customer Identifier of the owner of the reported account. This field allows you to enter a maximum of 120 characters.
Number, Street and Room or Suite #	Enter the address of the owner of the reported account. This field allows you to enter a maximum of 255 characters.
City or Town	Enter the city of the owner of the reported account if the account is of entity type. This field allows you to enter a maximum of 50 characters.
State/Province/Region	Enter the state of the owner of the reported account if the account is of entity. This field allows you to enter a maximum of 50 characters.
Country	Select the country of the owner of the reported account if the account is of entity. This field allows you to enter a maximum of 50 characters.
Postal Code	Enter the postal code of the reported account if the account is of entity type. This field allows you to enter a maximum of 50 characters.
TIN of Owner	Enter the TIN of the owner of the reported account if the account is of entity type. This field allows you to enter a maximum of 50 characters.

6. Click **Save**. The following message is displayed: *Add Operation Successful.*

7. Click **OK**. The entered details are saved and is displayed in the Part III: Identifying Information of US Owners that is Specified US Persons grid.

Editing US Owner Details

To edit US Owner details, follow these steps:

1. Navigate to the Report Details page.

2. Click the **Account Holder or Payee Information** tab.

   This list of US Owners associated with the report are displayed in the Part III: Identifying Information of U.S Owners that is Specified US Persons grid.

3. Select the check box at the beginning of a record row or click anywhere in the row. The details are displayed in the *US Owner* Details section.

4. Modify the required details.

   Note: If you try to change *Include Owner in Report* as *Yes* when another Owner is already noted as "Yes" and try to save it, the application displays the following message: *Only one Owner can be reported on this form. Changing the Owner to be included in the report will set previously selected Owner to "No". Click OK to continue or Cancel to abort.*

5. Click **Save**. The following message is displayed: *Update Operation Successful.*

6. Click **OK**. The modified details are saved.

Removing US Owner

To remove owner details, follow these steps:

1. Navigate to the Report Details page.

2. Click the Account Holder or Payee Information tab.

   This list of US Owners associated with the report are displayed in the Part III: Identifying Information of US Owners that is Specified US Persons grid.

3. Select the check box at the beginning of the record or click anywhere in the row.

4. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record?*

5. Click **OK**. The following message is displayed: *Record Removed Successfully.*

6. Click **OK**. The owner record is removed from the Part III: Identifying Information of US Owners that is Specified US Persons grid.

   Note: If you have added, edited or deleted owner details, a corresponding audit entry is tracked in the Audit tab. For more information, refer to *Viewing Audit Information.*

Note: If the Name of Owner, City or Town, Country and TIN of Owner are missing from the Account Holder/Payee Information tab and when you click on Save, the application displays the following message: *Name of Owner, City or Town, Country and TIN of Owner are mandatory.*

Managing Financial Information Tab

This tab refers to the **PART IV Financial Information** section in the FATCA report.

Figure 16. Financial Information in Final Report

This tab provides details such as account balance and account payables of the reported account.

Figure 17. Financial Information Tab

The following table explains the fields in Financial Information tab.

Table 12. Fields in Financial Information Tab

Fields	Description
Account Number	Enter the account number of the reported account.
Currency Code	Enter the currency code of the reported account.
Account Balance	Enter the account balance of the reported account.
Interest	Enter any interest payments received by the reported account.
Gross Proceeds/Redemptions	Enter any gross proceeds/redemptions received by the reported account.
Dividends	Enter any dividend payments received by the reported account.
Other	Enter any other payments received by the reported account.

To save the information in this tab, enter the required information, and click **Save** or click **Reset** to revert to the last saved values.

Note: If the Account Number, Currency Code and Account Balance are missing from the Financial Information Tab and when you click Save, the application displays the following message: *Account Number, Currency Code and Account Balance are mandatory.*

If you click on **Request for Approval** or **Approve** while the required mandatory fields such as Account Number, Currency Code, and Account Balance are missing in Financial Information tab, the application displays the following message: *Required mandatory information is missing on Financial Information tab.*

Managing Related Reports Tab

This tab displays all the related reports associated to the main report.

Figure 18. Related Reports Tab

Related Reports are identified based on Account Number. A related report is defined as a report that is created for the same account as the reported account specified in Part IV Financial Information section of the Financial Information tab.

This tab displays two fields, namely, Financial year and Account number. The Related reports grid displays reports with the same account number for the Financial Year configured. For more information on configuring financial year, refer *to the FATCA RR Administration and Configuration Guide*.

The related reports grid allows you to select reports based on report status. The reports in the Related Reports grid are arranged in ascending order of the created date.

Note: The Related Reports grid allows users mapped to the role of Supervisor to select multiple reports and take Cancel Filing action when the reports are in *Submitted* status, and are not locked by any other user. The Cancel Filing button is hidden in View mode.

The following table displays the columns in the Related Reports grid.

Table 13. Fields in Related Reports Grid

Column Name	Description
Report Number	Displays report number of the related report.
Report Name	Displays report name of the related report.
Name of Account Holder	Displays the name of the account owner of the related report.
Case ID	Displays the case ID of the related report.
Name of Owner	Displays the account owner of the related report.
FATCA Status	Displays the FATCA status of the related report.
Report Status	Displays the status of the report.
Created By	Displays the user who has created the report.
Created Date	Displays the date on which the report was created.
Due Date	Displays the due date of the related report.
Last Modified Date	Displays the last modified date of the related report.

Managing Pooled Reporting Tab

This tab is displayed only for pooled reports. This tab displays all the details of the accounts involved in creating pooled reports.

Figure 19. Pooled Reporting Tab

This tab displays the following sections:

- Pooled Reporting Type
- Accounts Included in Report

Pooled Reporting Type

The Pooled Reporting Type section displays the following fields:

Table 14. Fields in Pooled Reporting Grid

Field Name	Description
Pooled Reporting Type	Select any of the following pooled reporting classification type: • Recalcitrant Account Holders without US Indicia • Recalcitrant Account Holders without US Indicia • Dormant Accounts • Non-participating Foreign Financial Institutions • Recalcitrant Account Holders that are US Persons • Recalcitrant Account Holders that are Passive NFFEs **Note**: If Pooled Reporting Type, Number of Accounts, Aggregate Account Balance and Currency Code are missing from the Pooled Reporting Type Tab and if you click save, the application displays the following message*: Pooled Reporting Type, Number of Accounts, Aggregate Account Balance and Currency Code are mandatory.*
Number of Accounts	Displays the number of accounts included in pooled reports. This field displays two text boxes. The first text box field is non-editable and displays the system calculated value for number of accounts and the second text box is an editable field allowing you to enter and save your values. **Note**: The edited value will be given first priority while pushing data into the final report. The value for this field will be hyperlinked. On click of the hyperlink Account Details Grid will be shown. For more information on fields in Account Details grid, refer

Table 14. Fields in Pooled Reporting Grid

Field Name	Description
Aggregate Payment Amount	Displays the aggregate payments to the accounts included in pooled reports. This field displays two text boxes. The first text box field is non-editable and displays the system calculated value for the total payment amount and the second text box is an editable field allowing you to enter and save your values. **Note**: The edited value will be given first priority while pushing data into the final report.
Aggregate Account Balance	Displays the aggregate account balance of the accounts included in pooled reports. This field displays two text boxes. The first text box field is non-editable and displays the system calculated value for aggregate account balance and the second text box is an editable field allowing you to enter and save your values. **Note**: The edited value will be given first priority while pushing data into the final report.
Currency Code	Displays the currency code of the accounts included in pooled reports. This field displays two text boxes. The first text box field is non-editable and displays the system calculated value for currency code and the second text box is an editable field allowing you to enter and save your values. **Note**: The edited value will be given first priority while pushing data into the final report.

Accounts Included in Report

Click on the number of accounts hyperlink to view the accounts involved in pooled reporting.

This grid displays the following columns:

Table 15. Fields in Accounts Included in Report Grid

Field Name	Description
Account Number	Displays the account number of the account included in pooled reports.
FATCA Status	Displays the account status of the bank account included in pooled report.
Account Status	Displays the status of the account.
Overall Indicia	Displays the overall indicia of the account.
Account Balance	Displays the account balance.
Currency Code	Displays the currency code of the account.

If required mandatory fields such as Pooled Reporting Type, Number of Accounts, Aggregate Account Balance, and Currency Code are missing in Pooled Reporting Type tab, the application displays the following message: *Required mandatory information is missing on Pooled Reporting Type tab*.

Managing Documents Tab

The Documents tab allows you to attach and remove documents related to the FATCA report. While filing the FATCA report with the IRS, you can also send additional documents. The process of sending additional documents to the regulatory authorities occurs outside of the application.

Report Context				
✦ Report Number 587		Report Name FATCA20207222014083051		Report Status Open

Identification of Filer | Pooled Reporting Type | **Documents** | Audit

⊟ Documents (1) | 🗒 Add | ⊗ Remove | 🖫 Save

☐ ID	Name	Document Description
☐ 895	Data.txt	Reporting Doc

Figure 20. Documents Tab

Sending the documents to IRS is the responsibility of the user and out of scope of the application.

Attaching Documents

Users mapped to the role of an Analyst, Reviewer, or Supervisor can attach and delete documents in all statuses except when the report is in *View Only* mode.

To attach a document, follow these steps:

1. Navigate to the Report Details page.

2. Click **Documents**. The Documents section is displayed.

3. Click **Add**. The Add Document window is displayed.

Document Description	[ ]
Logical File Name	[ ]
Choose a file*	[ ] Browse... 📎 Attach File

Clear | Close

Figure 21. Adding Documents to FATCA Report

4. Enter the **Document Description** and the **Logical File Name**.

   Note: The application allows you to enter a a maximum of 255 characters in the Document Description field.

5. Click **Browse** to choose a file from your machine.

6. Click **Attach File**. The following message is displayed: *Add Operation Successful.*

7. Click **OK**. The file is attached and you are navigated back to the Add Document window.

   Click **Close** to navigate back the Report Details page or attach additional documents.

Editing the Logical File Name and Document Description of an Added Document

The Reports Details page allows you to edit the logical file name and the document description of the document.

Note: If the logical file name is provided then the application considers the document name as the logical file name.

To edit the logical file name and the document description, follow these steps:

1. Navigate to the Report Details page.

2. Click the **Documents** tab.

   The list of added documents associated to the report is displayed in the Documents grid.

3. Select the check box at the beginning of the Document row or click anywhere in the row.

   The document record changes into editable mode.

Figure 22. Editing the Logical File Name and Document Description of an Added Document

4. Edit the Logical File Name or the Document Description.

5. Click **Save**. The following message is displayed: *Update Operation Successful.*

6. Click **OK**. The document is updated in the Documents section.

Removing Documents

The Report Details page also allows you to remove the documents attached to a report.

To remove the documents attached, follow these steps:

1. Navigate to the Report Details page.

2. Click the **Documents** tab.

   The list of documents associated to the report is displayed in the Documents section.

3. Select the check box of the document you want to delete.

4. Click **Remove**. The following message is displayed: *Are you sure you want to remove this record.*

5. Click **OK**. The following message is displayed: *Record removed successfully.*

6. Click **OK**. The document is removed and you are navigated back to the Report Details page.

Viewing Audit Information

The Audit tab displays actions taken on the report. This tab contains the Actions and the Comments section.

Figure 23. Audit Tab

The Audit tab displays the following sections:

- Actions

- Comments

Actions

The Actions section displays all the actions taken on the regulatory report. This section displays the following fields:

Table 16. Actions Section Field Descriptions

Fields	Description
Date	Displays the date on which the action was taken.
Action By	Displays the name of the user who performed the action.

Table 16. Actions Section Field Descriptions

Fields	Description
Actions	Displays a short description of the action. The application captures the following actions in the Audit tab: • Created from case • Created by System • Created manually • Modified Identification of Filer • Modified Account US Holder/Payee Information • Added New US Owner – Name of the added US Owner • Removed US Owner – Name of the deleted US Owner • Modified US Owner Details – Name of the edited US Owner • Modified Financial Information • Modified Pooled Reporting Type • Added New Document – Name of the added document • Modified Document – Name of the Modified document • Removed Document – Name of the Removed document
Comments	Displays the comments entered by the user while performing an action.

Comments

The Comments section displays the comments entered while performing the **Add Comments** action. The Comments section displays the following fields:

Table 17. Comments Section Field Descriptions

Fields	Description
Date	Displays the date on which the comment was recorded.
Comment By	Displays the name of the user who has given that comment.
Comments	Displays the comments added to the report by the user.

Note: You can export the list of actions and comments to an Excel format using the **Export to Excel** option. Refer to *Exporting the Report Details to Excel* for more information.

Taking Actions on FATCA Reports

The Report Details page allows authorized users to take the following actions on the report.

- Requesting the Report Details for Approval
- Approving Reports
- Sending Reports For Rework
- Cancel Filing of Reports
- Reopening Reports
- Marking Reports as Submitted

Requesting the Report Details for Approval

After updating the report details, they must be validated. The Report Details page allows authorized users to validate the report details and then submit the report for approval. When the user submits the report for approval, it is validated if the mandatory fields within the report have been populated. When a report is requested for approval, the status of the report changes to *Requested for Approval*.

A Supervisor user can review the report submitted for approval by an analyst and can either approve report or send reports for rework, or cancel filing of report.

For more information, refer to *Table 2*.

To submit a report for approval, an analyst must follow these steps:

1. Navigate to the Reports Details page of a report in *Open / Reopen status*.

2. Click **Request for Approval**.

Figure 24. Request for Approval Window

3. Enter the comments in the Request for Approval window.

    Note: The comments box in the Request for Approval window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following error message is displayed: *Number of characters exceeded*.

    If you click Save without entering the comments in the Request for Approval window, the following error message is displayed: *Mandatory fields are not entered*.

4. Click **Save.** The following message is displayed: *Update Operation Successful*.

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Requested for Approval*.

The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Request for Approval** action.

Approving Reports

Authorized users can approve a report when it is in *Open*, *Reopened*, *Requested for Approval* status. For more information, refer to *Table 2*.

To approve a report, follow these steps:

1. Navigate to the Report Details page of a report in *Open*, *Reopened*, *Requested for Approval* status.

2. Click **Approve**.

Figure 25. Approve Window

3. Enter the comments in the **Approve** window.

   Note: The comments box in the **Approve** window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save** without entering the comments in the Approve Action window, the following message is displayed: *Mandatory fields are not entered.*

4. Click **Save**. The following message is displayed: *Update Operation Successful.*

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Approved*.

   The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Approve** action.

Sending Reports For Rework

A Supervisor can send reports for rework for incomplete, inaccurate information in the report, or for additional investigation. The Report Details page allows a Supervisor to take Rework action on reports.

If a report is sent for rework, the Analyst must rework on the report and request the report again for approval. This process continues until the report is approved or canceled.

To send a report to rework, follow these steps:

1. Navigate to the Report Details page of a report in *Requested for Approval* status.

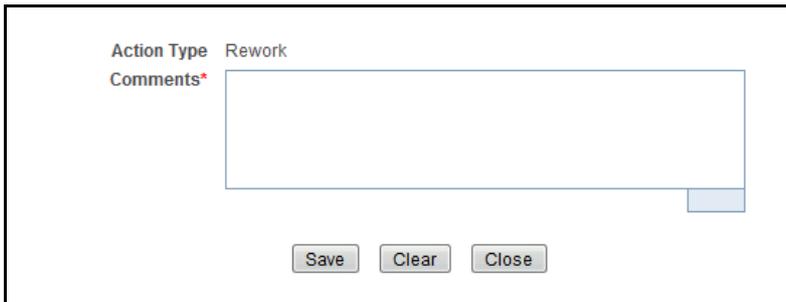2. Click **Rework**. The Rework window is displayed.

Figure 26. Rework Window

3. Enter the comments in the **Rework** window.

   Note: The comments box in the Rework window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save**, without entering the comments in the Rework window, the following message is displayed: *Mandatory fields are not entered.*

4. Click **Save** The following message is displayed: *Update Operation Successful.*

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Rework*.

   The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Rework** action.

Cancel Filing of Reports

If a user determine that a report should not be filed they can cancel it.

The Report Details page allows authorized users to cancel the reports from being filed. For more information on users who can cancel filing, refer to *Table 2*.

Once the report is canceled, you cannot edit the report details and the report changes into *View Only* mode.

Note: A canceled report can be reopened by authorized users.

To cancel the filing of a report, follow these steps:

1. Navigate to the Report Details page.

2. Click **Cancel Filing**. The Cancel window is displayed.

Figure 27. Cancel Filing Window

3. Enter the comments in the **Cancel Filing** window.

   Note: The comments box in the Cancel window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save** without entering the comments in the Cancel window, the following message is displayed: *Mandatory fields are not entered.*

4. Click **Save.** The following message is displayed: *Update Operation Successful.*

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *canceled.* The due date of the report is deleted on taking canceled action

   Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Cancel** action.

   If you try to perform Cancel Filing action on reports that are in Submitted status, the application displays the following message: *Cancel Filing action cannot be taken on Submitted and canceled reports. Please deselect those reports and try again.*

Reopening Reports

The Search And List page and the Report Details page allows authorized users to initiate reopen action on a report. For more information, refer to *Table 2*.

To reopen a report from Search and List page, follow these steps:

1. Navigate to the Search and List page.

2. Select the check box of the report(s) you want to reopen.

    Note: You can select multiple reports from the Search and List page and collectively reopen them. If you try to perform the reopen action on reports that are not in canceled or Submitted status, the application displays the following message: *Reopen action can only be taken on canceled and Submitted reports*.

3. Click **Reopen**. The Reopen window is displayed.

4. Enter your comments in the Reopen reports window.

Figure 28. Reopen Window

    Note: The comments box in the Reopen report window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded*.

    If you click Save without entering the comments in the Reopen report window, the following error message is displayed: *Mandatory fields are not entered*.

    If you are mapped to Edit due Date role and if you try to save the Reopen action without entering due date, the application displays the following message: *Due Date is mandatory*.

5. Click **Save**. The following message is displayed: *Update Operation Successful*.

6. Click **OK**. The Search and List page is displayed and the status of the report changes to *Reopen*.

To reopen a report from Report Details page, follow these steps:

1. Navigate to the Report Details page of a report in *canceled/Submitted* status.

2. Click **Reopen**. The Reopen window is displayed.

Figure 29. Reopen Window

3. Set the due date and enter the comments in the **Reopen** pop-up window.

   Note: The comments box in the **Reopen** window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save** without entering the comments in the Reopen window, the following error message is displayed: *Mandatory fields are not entered.*

4. Click **Save.** The following message is displayed: *Update Operation Successful.*

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Reopen*ed.

   The Actions section in the Audit tab tracks both the **Actions** and the **Comments** entered while performing the Reopen action.

Marking Reports as Submitted

For tracking and reporting purposes, the application allows you to mark the reports that are filed with the regulatory authorities as **Submitted** once the report has been sent to the regulatory authorities, or whenever is defined as appropriate per your institution's business practices.

Authorized users can mark the reports submitted to the regulatory authorities as Submitted. This action can be performed only when the report is in *Approved* status.

If you try to perform submitted action on reports that are not in Approved status, the application displays the following message: *Submitted action can only be taken on Approved reports.*

For more information on user roles, refer to *Table 2.*

The Report Details page allows authorized users to mark the reports as submitted.

To mark a report as submitted from the Report Details page, follow these steps:

1. Navigate to the Report Details page of a report in *Approved* status.

2. Click **Submit**. The **Submit Window** is displayed.

Figure 30. Submit Window

3. Enter the comments in the **Submit** window.

   Note: The comments box in the Submit window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save** without entering the comments in the Submit window, the following error message is displayed: *Mandatory fields are not entered.*

4. Click **Save.** The following message is displayed: *Update Operation Successful.*

5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Submitted*.

   Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Submit** action.

Setting Due Date For Reports

Users mapped to the role of Analyst and Supervisor can set due date for reports.

Authorized users can modify due date based on the configurability as mentioned in the following table:

Table 18. Due Date Attributes

Attribute	Behavior
Due Date with Edit	Users mapped with this role can set/edit/view due date This is the default mode for all users.
Due date with View	User mapped to this role can view due date but cannot edit due date.

The following table explains the various statuses where the users can perform the Set Due Date action:

Table 19. Setting Due Date

Set Due Date Action as per Report Status	Analyst	Supervisor
Open	X	X
Reopened	X	X
Requested for Approval	X	X
Rework	X	X
Approved	X	X

To set the due date of a FATCA Report from the Report Details page, follow these steps:

1. Navigate to the Report Details page of a report.

2. Click **Set Due Date**. The Set Due Date Action window is displayed.

Figure 31. Set Due Date Window

3. To set a due date, select a date from the calender icon.

   Note: This field is a mandatory field.

4. Enter the comments in the **Set Due Date** window.

   Note: The comments box in the **Set Due Date** window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

If you click **Save** without entering the Set Due Date and Comments, in the **Set Due Date** Action pop-up window, the following message is displayed: *Mandatory fields are not entered.*

5. Click **Save**. The following message is displayed: *Update Operation Successful.*

6. Click **OK**. The Report Details page is displayed.

   Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Set Due Date** action.

   If you select some reports which are in Submitted or canceled state and try to set due date for the selected reports, the application displays the following message: *Due date cannot be set on reports in Submitted and canceled status. Please deselect those reports and try again.*

To set the due date of a FATCA report from the Search and List page, follow these steps:

1. Navigate to Search and List page.

2. Select the check box of the report you want to set the due date for.

3. Click **Set Due Date** in the Action bar. The Set Due Date window is displayed.

Figure 32. Set Due Date from Search and List Page

Note: If the selected report already has a due date set, then the existing due date can be edited.

4. To set a due date, select a date from the calender icon.

   Note: This field is a mandatory field.

   If you enter a due date which is less than the current date, the application displays the following message: *Please enter a due date which is equal to or greater than sysdate.*

5. Enter the comments in the **Set Due Date** window.

   Note: The comments box in the **Set Due Date** action pop-up window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following message is displayed: *Number of characters exceeded.*

   If you click **Save** without entering the Set Due Date and Comments, in the **Set Due Date** Action window, the following message is displayed: *Mandatory fields are not entered.*

6. Click **Save**. The following message is displayed: *Update Operation Successful.*

7. Click **OK**. The Search and List page is displayed.

   Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Set Due Date** action

Adding Comments to Report

The Report Details page allows you to add comments to a report. You can add comments to a report in any status. To add comments to a report, follow these steps:

1. Navigate to the Report Details page of a report.

2. Click **Add Comments**. The Add Comments Action window is displayed.

Figure 33. Add Comments Action Window

3. Enter the comments in the Action window.

   The comments box in the Action window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in the Comments box, the following error message is displayed: *Number of characters exceeded.*

   If you click **Save**, without entering the comments in the Action pop-up window, the following error message is displayed: *Mandatory fields are not entered.*

4. Click **Save**. The following message is displayed: *Update Operation Successful.*

5. Click **OK**. The Action window closes and displays the Report Details page.

   Note: The **Actions** and the **Comments** section in the Audit tab tracks both the actions and the comments entered while performing the **Add Comments** action.

Exporting the Report Details to Excel

The Search and List page allows you to export the report list into an Excel template.

To export the report details into an Excel template, follow these steps:

1. Navigate to the Search and List page.

2. Click **Export to Excel**. The Export Properties dialog box is displayed.

   All the reports in the Search and List page are exported into an Excel template. You cannot export individual reports into Excel.

3. Set Document Type as **Excel** and select Form Data/Grid Data as **Grid** Data.
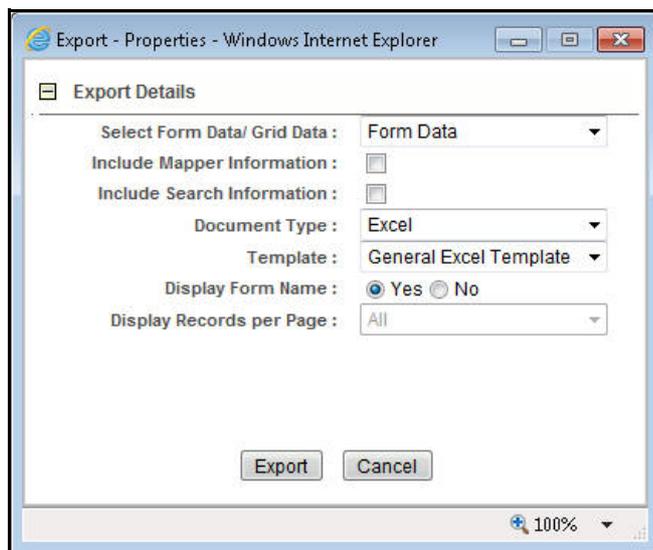

Figure 34. Export Properties Dialog Box

4. Click **Export** in the Export Properties dialog box.

   When processing is complete, the data is displayed in an IE window with a dialog box.

5. Click **Save** from the dialog box. The Save As dialog box is displayed.

6. Select a directory location where you want to save the file.

7. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.

8. Click **Save**.

   The application saves your file to the specified location.

   Note: Open the file in Microsoft Excel to edit as needed.