

# FATCA Administration and Configuration Guide

*Release 8.0.7.0.0*  
*December 2018*





# **FATCA Administration and Configuration Guide**

*Release 8.0.7.0.0  
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Oracle Financial Services Software, Inc.  
1900 Oracle Way  
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Oracle Financial Services Software, Inc.  
1900 Oracle Way  
Reston, VA 20190  
*Phone:* (703)478-9000  
*Fax:* (703)318-6340  
*Internet:* [www.oracle.com/financialservices](http://www.oracle.com/financialservices)

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# About This Guide

This guide explains the structure behind the Oracle Financial Services Foreign Account Tax Compliance Act (OFS FATCA) application and provides comprehensive instructions for configuring modifiable components. It provides comprehensive instructions for proper system administration, as well as daily operations and maintenance.

This chapter discusses the following sections:

- 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 *FATCA Administration and Configuration Guide* is designed for Oracle Financial Services Installers and System Administrators. Their roles and responsibilities, as they operate within Oracle Financial Services FATCA, include the following:

- **FATCA Administrator:** Configures, maintains, and adjusts the system and is usually an employee of a specific Oracle Financial Services customer. The System Administrator maintains user accounts and roles, monitors data ingestion and case management, archives data, loads data feeds, and performs post-processing tasks.

**Note:** A FATCA Administrator must also be assigned to the Mantas AM Administration Group for mapping the FATCA cases to owners. For more information on mapping the User(s) to User Group(s) and mapping the User Group(s) to Domain(s), refer to section *Mapping User Group(s) to Domain(s)* in *Administration Guide*.

## How this Guide is Organized

The *FATCA Configuration and Administration Guide* includes the following chapters:

- Chapter 1, *Configuring FATCA Application Parameters* provides instructions for configuring and managing the FATCA Application Parameters.
- Chapter 2, *FATCA Batch Execution*, provides details about configuring the FATCA batches.
- Chapter 3, *Configuring the FATCA Status*, provides details on how to configure the FATCA statuses.
- Chapter 4, *Configuring the FATCA Assessment Rules*, provides details on how to configure the FATCA rules.
- Appendix A, *FATCA Batch Processing Task List*, provides details on the batch processing task list.

## Where to Find More Information

For more information about Oracle Financial Services FATCA, refer to the following documents:

- *FATCA Management Assessment Guide*
- *Enterprise Case Management User Guide*
- *FATCA Data Model Reference Guide*
- *Oracle Financial Services Analytical Applications Infrastructure User Manual*
- *Administration Guide*

These documents can be found at the following link:

[http://docs.oracle.com/cd/E60570\\_01/homepage.htm](http://docs.oracle.com/cd/E60570_01/homepage.htm)

To find additional information about how Oracle Financial Services solves real business problems, see our website at [www.oracle.com/financialservices](http://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
<i>Italics</i>	<ul style="list-style-type: none"><li>● Names of books, chapters, and sections as references</li><li>● Emphasis</li></ul>
<b>Bold</b>	<ul style="list-style-type: none"><li>● Object of an action (menu names, field names, options, button names) in a step-by-step procedure</li><li>● Commands typed at a prompt</li><li>● User input</li></ul>
Monospace	<ul style="list-style-type: none"><li>● Directories and subdirectories</li><li>● File names and extensions</li><li>● Process names</li><li>● Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text</li></ul>
<Variable>	Substitute input value

# *Configuring FATCA Application Parameters*

To initiate the FATCA processing, you must configure the FATCA Application Parameters.

FATCA Application Parameters define the attributes required for generating a FATCA status for Accounts, Customers, or for newly created FATCA cases based on the assessments. All the application parameters are stored in the `FATCA_SETUP_PARAMS` table. Based on your firm's requirement, you can either Enable or Disable these parameters.

This section provides instructions for configuring and managing the FATCA Application Parameters and includes the following topics:

- Batch Running Parameters
- Other Batch Parameters
- Case Creation Parameters
- Other Parameters

## ***Batch Running Parameters***

The batch running parameters are required for configuring the batches of FATCA processing. There are three types of batch running parameters namely, **New**, **Existing** and **Pre-existing** batches. You can enable or disable these parameters before running a batch.

By default, the New and Existing batch parameter are enabled and the Pre-existing batch parameter is disabled.

Once the batch is run, the parameter value of the Pre-existing batch is set to N and the parameter value for New and Existing batch remains unchanged.

**Note:** When all three batches are enabled, if there are any conflicts among accounts or customers coming in multiple batches, then the priority for running batch parameters is set in order of Pre-existing, Existing, and New respectively. For more information on batch maintenance, refer to Chapter 2, *FATCA Batch Execution*.

This section includes the following topics:

- Configuring Processing Details Existing Parameter Attributes
- Configuring Processing Details New Parameter Attributes
- Configuring Processing Details Exempt Parameter Attributes
- Configuring Processing Details Pre-Existing Parameter Attributes

## Configuring Processing Details Existing Parameter Attributes

The Processing Details Existing parameter includes the details of the all the attributes required for FATCA Assessment of existing accounts or customers through the Existing Batch process run.

This parameter includes the `Last_Proc_DT_Existing` attribute which stores the last batch execution date or the batch processing date. The accounts and customers that are modified since the last batch execution will be selected in this batch process run.

**Note:** You must specify the batch processing date while running this batch for the first time. Subsequently, when you run the New Batch, the `FIC_MIS_DATE` or the batch processing date is automatically updated every time.

**Table 2. Processing Details of Existing Parameter Attribute Description**

Attribute	Description
<code>Last_Proc_DT_Existing</code>	Last Processing Batch Date for Existing Account or Customers

To modify the last processing date for an Existing Batch parameter attributes, follow these steps:

1. From the Administration menu, hover over **Manage Parameters** and click **Manage FATCA Application Parameter**.

The FATCA Application Parameter page is displayed.

2. Select **Default** from the Jurisdiction drop-down list.
3. Select **Proc\_Dtls\_Existing** from the Parameter Name drop-down list.

The screenshot shows the 'FATCA Application Parameter' configuration interface. At the top, there are navigation tabs: 'Administration >> Manage Parameters >> FATCA Application Parameter'. Below this is a search bar and two dropdown menus: 'Jurisdiction' set to 'DEFAULT' and 'Parameter Name' set to 'Proc\_Dtls\_PreExisting'. The main content area is divided into sections: 'Parameter Context' and 'Parameter Details'.  
 In the 'Parameter Context' section, it shows 'Jurisdiction: DEFAULT', 'Parameter Name: Proc\_Dtls\_PreExisting', and 'Parameter Enabled? :  No  Yes'. The description reads: 'This Parameter provide the details of all sub-parameters required for FATCA Assessment for PreExisting Batch.' The 'Last Modified Date' and 'Last Modified By' fields are empty.  
 The 'Parameter Details' section contains a table with 10 rows. The first row is populated with 'Attribute 1 : Description : Account Open Date below which Preexisting Batch will run', 'Name : PreExisting\_Account\_Open\_DT', and 'Value : 10/30/2009'. The remaining rows (Attribute 2 to 10) have empty descriptions, names, and values. At the bottom of the table are 'Save' and 'Cancel' buttons.

**Figure 1. Configuring Processing Details Existing Parameter Attributes**

4. Choose a Parameter Enabled flag as either **Yes** or **No** depending on a firms’s requirement.
5. Edit the value of **Last\_Proc\_DT\_Existing** attribute using the calendar icon.
6. Click **Save**. The following confirmation message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*
7. Click **OK**. The following message is displayed: *Update Operation Successful.*
8. Click **OK**.



## Configuring Processing Details New Parameter Attributes

The Processing Details New Parameter includes the details of all the attributes required for FATCA Assessment of new accounts or customers through the New Batch process run.

This parameter includes the `Last_Proc_DT_New` attribute which stores the last batch execution date or the batch processing date. The accounts and customers that are opened since the last batch execution date will be selected in this batch process run..

**Table 3. Processing Details New Parameter Attribute Description**

Attribute	Description
<code>Last_Proc_DT_New</code>	Last Processing Batch Date for New Batch

**Note:** You must specify the batch processing date while running this batch for the first time. Subsequently, when you run the New Batch, the `FIC_MIS_DATE` or the batch processing date is automatically updated every time.

To modify the Processing Details New Parameter attributes, follow these steps:

- From the Administration menu, hover over Manage Parameters and click **Manage FATCA Application Parameter**.  
The FATCA Application Parameter page is displayed.
- Select **Default** from the Jurisdiction drop-down list.
- Select **Proc\_Dtls\_New** from the Parameter Name drop-down list.

**Figure 2. Configuring Processing Details New Parameter Attributes**

- Choose a Parameter Enabled flag as either **Yes** or **No** depending on a firms’s requirement.
- Edit the value of **Proc\_Dtls\_New** attribute using the calendar icon.
- Click **Save**. The following confirmation message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*
- Click **OK**. The following message is displayed: *Update Operation Successful.*

8. Click **OK**.

## Configuring Processing Details Exempt Parameter Attributes

The Processing Details Exempt Parameter includes the details of all the attributes required for FATCA Assessment of exempt accounts or customers through the Exempt Batch process run.

This parameter includes the `Exempt_Batch_Next_Due_Date` attribute which stores the last batch execution date or the batch processing date. The accounts and customers that are opened since the last batch execution date will be selected in this batch process run.

Batch is run on this date (Start date). One year previous assessments having status as exempt is assessed again. Processing flag for all accounts having an aggregate year end closing balance amount greater than or equal to the value set in the `D_SUB_PARAM_DT_1_VAL` table is made **Y** and these related accounts and customer is reassessed. FATCA status is derived based on previously configured rules and new assessments is created.

For all account that have aggregate year end closing balance amount lesser than the value set in the `D_SUB_PARAM_DT_1_VAL` table existing assessments date is updated to the current date and `Exempt_Batch_Next_Due_Date` is set to 'Below limit exempt'

**Table 4. Processing Details Exempt Parameter Attribute Description**

Attribute	Description
<code>Exempt_Batch_Next_Due_Date</code>	Next due date for the exempt batch

**Note:** You must specify the batch processing date while running this batch for the first time. Subsequently, when you run the Exempt Batch, the `Exempt_Batch_Next_Due_Date` or the batch processing date is automatically updated every time.

To modify the Processing Details Exempt Parameter attributes, follow these steps:

1. From the Administration menu, hover over Manage Parameters and click **Manage FATCA Application Parameter**.  
The FATCA Application Parameter page is displayed.
2. Select **Default** from the Jurisdiction drop-down list.
3. Select `D_SUB_PARAM_DT_1_VAL` from the Parameter Name drop-down list.
4. Choose a Parameter Enabled flag as either **Yes** or **No** depending on a firm's requirement.
5. Edit the value of `Exempt_Batch_Next_Due_Date` attribute using the calendar icon.
6. Click **Save**. The following confirmation message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*
7. Click **OK**. The following message is displayed: *Update Operation Successful.*
8. Click **OK**.

## Configuring Processing Details Pre-Existing Parameter Attributes

This Processing Details Pre-Existing Parameter includes the details of all the attributes required for FATCA Assessment of pre-existing accounts or customers through the Pre-Existing Batch process run.

This parameter includes the `PreExisting_Account_Open_DT` attribute which signifies that the accounts that have their Account Opening Date less than or equal to the attribute's date will be selected for the batch process run along with their related customers.

**Table 5. Processing Details Pre-Existing Parameter Attribute Description**

Attribute	Description
<code>PreExisting_Account_Open_DT</code>	Account Open Date Before Which PreExisting Batch will run. This parameter includes the <code>PreExisting_Account_Open_Start_DT</code> and <code>PreExisting_Account_Open_End_DT</code> attributes which signifies accounts that have their account opening date lying between these attribute's. The dates will be selected for batch process run along with their related customers.
<code>PreExisting_Account_Open_Start_DT</code>	Account Open Date after which PreExisting Batch will run.
<code>PreExisting_Account_Open_End_DT</code>	Account Open Date before which PreExisting Batch will run.

**Note:** Firms must configure and enable this parameter's attribute value every time they want to run Pre-existing batch.

To modify the Processing Details Pre-Existing Parameter attributes, follow these steps:

1. From the Administration menu, hover over Manage Parameters and click **Manage FATCA Application Parameter**.  
 The FATCA Application Parameter page is displayed.
2. Select **Default** from the Jurisdiction drop-down list.
3. Select **Proc\_Dtls\_PreExisting** from the Parameter Name drop-down list.



**Figure 3. Configuring Processing Details Pre-Existing Parameter Attributes**

4. Choose a Parameter Enabled flag as either **Yes** or **No** depending on a firms's requirement.
5. Edit the value of the `PreExisting_Account_Open_Start_DT` and `PreExisting_Account_Open_End_DT` attributes using the calendar icon.

6. Click **Save**. The following confirmation message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*
7. Click **OK**. The following message is displayed: *Update Operation Successful.*
8. Click **OK**.

## **Other Batch Parameters**

- Configuring Ownership Parameters Attributes
- Configuring Relationship Parameters Attributes

### **Configuring Ownership Parameters Attributes**

The Ownership parameter specifies the threshold value of the ownership percentage among the customers that is considered for deriving the US Indicia of non-individual customers. This parameter will select only those individual customers who own more than the defined threshold. This attribute is used to derive the Customer to Customer Relationship among related customers.

**Note:** The threshold value must be between 0 and 100.

**Table 6. Ownership Parameter Attribute Description**

<b>Attribute</b>	<b>Description</b>
Entity_Ownrsh_Pct	Ownership Percentage for Entity Type Customers

To configure the ownership parameter attributes, follow these steps:

1. From the Administration menu, hover over Manage Parameters and click **Manage FATCA Application Parameter**.  
The FATCA Application Parameter page is displayed.
2. Select **Default** from the Jurisdiction drop-down list.
3. Select **Ownership\_Params** from the Parameter Name drop-down list.

Administration >> Manage Parameters >> FATCA Application Parameter

Search

Jurisdiction: DEFAULT      Parameter Name: Ownership\_Params

Parameter Context

Jurisdiction: DEFAULT      Parameter Name: Ownership\_Params

Parameter Enabled?:  No  Yes

Description: This Parameter provide the details of all sub-parameters required for Ownerships between entities in Processing.

Last Modified Date: 05/16/2014      Last Modified By: FATCAADMIN

Parameter Details

Attribute	Description	Name	Value
Attribute 1	Description: --	Name: --	Value: <input type="text"/>
Attribute 2	Description: --	Name: --	Value: <input type="text"/>
Attribute 3	Description: --	Name: --	Value: <input type="text"/>
Attribute 4	Description: --	Name: --	Value: <input type="text"/>
Attribute 5	Description: Ownership Percentage for Entity Type Customers	Name: Entity_Ownrshp_Pct	Value: <input type="text" value="56"/>
Attribute 6	Description: --	Name: --	Value: <input type="text" value="100"/>
Attribute 7	Description: --	Name: --	Value: <input type="text" value="100"/>
Attribute 8	Description: --	Name: --	Value: <input type="text"/>
Attribute 9	Description: --	Name: --	Value: <input type="text"/>
Attribute 10	Description: --	Name: --	Value: <input type="text"/>

Save      Cancel

**Figure 4. Configuring Ownership Parameter Attributes**

4. Choose a Parameter Enabled flag as either **Yes** or **No** depending on a firms's requirement.
5. Edit the numeric value of **Entity\_Ownrshp\_Pct** attribute in the text box. The attribute value must be between 0 and 100.
6. Click **Save**. The following confirmation message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*
7. Click **OK**. The following message is displayed: *Update Operation Successful.*
8. Click **OK**.

## Configuring Relationship Parameters Attributes

The Relationship Parameter includes the details of all the attributes required for relationships between customers to account for FATCA batch processing. Based on the specified relationships, the FATCA Assessments will identify the related customers.

This parameter specifies the Customer to Account Relationship Codes. You can enter multiple comma separated relationship codes with single quotation marks in this field.

**Note:** The values configured in this attribute should be the same while ingesting the data in FSDM. For more information, refer to the *Data Interface Specification*.

**Table 7. Relationship Parameter Attribute Description**

Attribute	Description
Cust-Acct_Rltnshp_Cd	Customer to Account Relationship Code

To configure the Relationship Parameter attributes, follow these steps:

1. From the Administration menu, hover over Manage Parameters and click **Manage FATCA Application Parameter**.  
The FATCA Application Parameter page is displayed.
2. Select **Default** from the Jurisdiction drop-down list.
3. Select **Rltnshp\_Params** from the Parameter Name drop-down list.

**Figure 5. Configuring Relationship Parameter Attributes**

4. Choose a Parameter Enabled flag as either **Yes** or **No** depending on a firms’s requirement.
5. Edit the value of **Cust\_Acct\_Rltnshp\_Cd** attribute in the text box.  
**Note:** By default, the application pre-packages the attribute values namely, OWNER and JTOWN.
6. Click **Save**. The following confirmation message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*

7. Click **OK**. The following message is displayed: *Update Operation Successful*.
8. Click **OK**.

## Case Creation Parameters

This section will cover the following topics:

- Configuring Case Due Period Parameters
- Configuring Case Creation Entity Type Parameter Attributes
- Configuring Case Assignment Parameter Attributes

### Configuring Case Due Period Parameters

Case Due Period Parameters specifies the due date for the cases promoted from the FATCA assessment. This Parameter provides the details of all attributes required for Case Management Due Period Processing. The period for which a particular case will be due can be modified by updating the attributes of `FATCA_SETUP_PARAMS` table.

There are four attributes related to this parameter namely, Due Period for New Batch FATCA Status, Due Period for Existing Batch FATCA Status, Due Period for Pre-existing Low Batch FATCA Status, and Due Period for Pre-existing High Batch FATCA Status.

**Table 8. Case Due Period Parameter Attributes Description**

Attribute	Description
New_Batch_Due_Period	This attribute specifies the due date (in days) of a case generated from assessments performed on new accounts and customers.
Existing_Batch_Due_Period	This attribute specifies the due date (in days) of a case generated from the assessments performed on existing accounts and customers.
Pre_Existing_Low_Batch_Due_Period	This attribute specifies the due date of a case generated from the assessments performed on pre-existing accounts that have low Net Worth.
Pre_Existing_High_Batch_Due_Period	This attribute specifies the due date of a case generated from the assessments performed on pre-existing accounts that have high Net Worth.

To modify the Case Due Period Parameter attributes, follow these steps:

1. From the Administration menu, hover over Manage Parameters and click **Manage FATCA Application Parameter**.  
The FATCA Application Parameter page is displayed.
2. Select **Default** from the Jurisdiction drop-down list.
3. Select **Case\_Due\_Period\_Params** from the Parameter Name drop-down list.

**Case Creation Parameters**  
**Chapter 1—Configuring FATCA Application Parameters**

**Figure 6. Configuring Case Due Period Parameter Attributes**

4. Choose a Parameter Enabled flag as either **Yes** or **No** depending on a firm’s requirement.
5. Edit the attribute values namely, PreExisting\_Low\_Batch\_Due\_Period, PreExisting\_High\_Batch\_Due\_Period, New\_Batch\_Due\_Period, and Existing\_Batch\_Due\_Period attributes.

**Note:** By default, the application pre-packages the attribute values as described in the following table:

Attribute Name	Default Value
PreExisting_Low_Batch_Due_Period	06/30/2015
PreExisting_High_Batch_Due_Period	06/30/2016
New_Batch_Due_Period	60 Days
Existing_Batch_Due_Period	90 Days

6. Click **Save**. The following confirmation message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*
7. Click **OK**. The following message is displayed: *Update Operation Successful.*
8. Click **OK**.



## Configuring Case Creation Entity Type Parameter Attributes

The FATCA Case Entity Type parameter provides the configuration for Case Creation through Batch or Manual and identify the Entity as Account or Customer that will be promoted to Cases as per the configured value in parameter Entity\_type. The values configured can be A (Account), C (Customer), or B (Both).

**Note:** The attribute values are case-sensitive.

To configure the FATCA Case Entity Type parameter attributes, follow these steps:

1. From the Administration menu, hover over Manage Parameters and click **Manage FATCA Application Parameter**.

The FATCA Application Parameter page is displayed.

2. Select **Default** from the Jurisdiction drop-down list.
3. Select **Case\_Creation\_Entity\_Type** from the Parameter Name drop-down list.

The screenshot shows the 'Manage Parameters' interface for the 'Case\_Creation\_Entity\_Type' parameter. The 'Jurisdiction' is set to 'DEFAULT' and the 'Parameter Name' is 'Case\_Creation\_Entity\_Type'. The 'Parameter Enabled?' flag is checked for 'Yes'. The description states: 'This Parameter provide the configuration for Case Creation (Batch/Manual) to identify the Entity (Account/Customer)'. The 'Parameter Details' section contains a table with 10 attributes. Attribute 8 is configured with the name 'Entity\_type' and the value 'C'. Attributes 1-7, 9, and 10 have empty value fields. 'Save' and 'Cancel' buttons are at the bottom.

Attribute	Description	Name	Value
Attribute 1	Description : --	Name : --	Value : <input type="text"/>
Attribute 2	Description : --	Name : --	Value : <input type="text"/>
Attribute 3	Description : --	Name : --	Value : <input type="text"/>
Attribute 4	Description : --	Name : --	Value : <input type="text"/>
Attribute 5	Description : --	Name : --	Value : <input type="text"/>
Attribute 6	Description : --	Name : --	Value : <input type="text"/>
Attribute 7	Description : --	Name : --	Value : <input type="text"/>
Attribute 8	Description : Account/Customer/Both Flag (A or C or B)	Name : Entity_type	Value : C
Attribute 9	Description : --	Name : --	Value : <input type="text"/>
Attribute 10	Description : --	Name : --	Value : <input type="text"/>

**Figure 7. Configuring Case Entity Type Parameter Attributes**

4. Choose a Parameter Enabled flag as either **Yes** or **No** depending on a firms's requirement.
5. Edit the Entity\_type attribute in the text box. You can enter the attribute value as either A, C or B.
6. Click **Save**. The following confirmation message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*
7. Click **OK**. The following message is displayed: *Update Operation Successful.*

8. Click **OK**.

## Configuring Case Assignment Parameter Attributes

This parameter provides the details for `execute.sh` which assigns the Owner to the created Cases.

To configure the FATCA Case Assignment Parameters attributes, follow these steps:

1. From the Administration menu, hover over Manage Parameters and click **Manage FATCA Application Parameter**.

The FATCA Application Parameter page is displayed.

2. Select **Default** from the Jurisdiction drop-down list.
3. Select **FATCA\_Case\_Assignment** from the Parameter Name drop-down list.

Administration >> Manage Parameters >> FATCA Application Parameter

Search

Jurisdiction: DEFAULT Parameter Name: Fatca\_Case\_Assignment

Parameter Context

Jurisdiction: DEFAULT Parameter Name: Fatca\_Case\_Assignment

Parameter Enabled?:  No  Yes

Description: This Parameter provide the details for execute.sh which aassigns the Owner to Cases created

Last Modified Date: -- Last Modified By: --

Parameter Details

Attribute	Description	Name	Value
Attribute 1:	Description: --	Name: --	Value: <input type="text"/>
Attribute 2:	Description: --	Name: --	Value: <input type="text"/>
Attribute 3:	Description: --	Name: --	Value: <input type="text"/>
Attribute 4:	Description: --	Name: --	Value: <input type="text"/>
Attribute 5:	Description: Mantas is remote or not	Name: Mantas_Inst_Arch	Value: <input type="text" value="0"/>
Attribute 6:	Description: --	Name: --	Value: <input type="text"/>
Attribute 7:	Description: --	Name: --	Value: <input type="text"/>
Attribute 8:	Description: Username for the machine	Name: MANTAS_USER_ID	Value: <input type="text" value="username"/>
Attribute 9:	Description: Password for Mantas Machine	Name: MANTAS_PASSWORD	Value: <input type="text" value="password"/>
Attribute 10:	Description: IP address of Mantas Installation	Name: IP_MANTAS_HOME	Value: <input type="text" value="IP Address"/>

Save Cancel

**Figure 8. Configuring Case Assignment Parameter Attributes**

4. Choose a Parameter Enabled flag as either **Yes** or **No** depending on a firms's requirement.
5. Edit the attributes in the text box.

The following table provides description of each attribute and the value that you can specify:

**Table 9. Configuring Case Assignment Parameter Attributes**

Attribute Name	Description
MANTAS_INST_ARCH	<p>This value specifies whether the Mantas Schema is remote or not.</p> <p>Enter either 0 or 1 as the attribute value. Selecting 0 indicates that the Mantas Schema is in local machine whereas selecting 1 indicates that the Mantas Schema is in remote location.</p> <p><b>Note:</b> By default, the application pre-packages 0 as the attribute value.</p>
MANTAS_USER_ID	<p>Enter the user name for the mantas machine.</p> <p><b>Note:</b> You must configure this attribute if the Mantas Schema is in a remote location. By default, the application pre-packages the value as <i>username</i>.</p>
MANTAS_PASSWORD	<p>Enter the password for the mantas machine</p> <p><b>Note:</b> You must configure this attribute if the Mantas Schema is in a remote location. By default, the application pre-packages the value as <i>password</i>.</p>
IP_MANTAS_HOME	<p>Enter the IP address of the mantas machine.</p> <p><b>Note:</b> You must configure this attribute only if the Mantas Schema is in a machine. By default, the application pre-packages the value as <i>IP Address</i>.</p>

6. Click **Save**. The following confirmation message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*
7. Click **OK**. The following message is displayed: *Update Operation Successful.*
8. Click **OK**.

## Other Parameters

The parameters used for other processing are not directly related to a Batch. These parameters are not currently used in FATCA processing and changing attributes has no impact.

- Configuring Initiate Regulatory Reporting Parameters Attributes
- Configuring Log Parameters Attributes
- Configuring Purge Parameter Attributes

### Configuring Initiate Regulatory Reporting Parameters Attributes

This parameter defines the type of entity that should be sent to the Regulatory Reporting application. As per the value mentioned in the flag either the Account cases or Customer cases or Both (A or C or B) can be promoted to Regulatory Reporting.

To configure the Initiate Regulatory Reporting Parameter attributes, follow these steps:

1. From the Administration menu, hover over Manage Parameters and click **Manage FATCA Application Parameter**.

The FATCA Application Parameter page is displayed.

2. Select **Default** from the Jurisdiction drop-down list.
3. Select **Initiate\_RR\_Params** from the Parameter Name drop-down list.

The screenshot shows a web application interface for configuring parameters. At the top, there is a breadcrumb trail: Administration >> Manage Parameters >> FATCA Application Parameter. Below this is a search bar and two dropdown menus: 'Jurisdiction' set to 'DEFAULT' and 'Parameter Name' set to 'Initiate\_RR\_Params'. The main content area is divided into three sections: 'Parameter Context', 'Parameter Details', and 'Parameter Enabled?'. The 'Parameter Enabled?' section has radio buttons for 'No' (selected) and 'Yes'. The 'Parameter Details' section is a table with 10 rows, each representing an attribute. The first row has a description 'Batch Date of Processing', name 'Last\_Batch\_Date', and value '01/01/1950'. The eighth row has a description 'Account/Customer/Both Flag (A or C or B)', name 'Entity\_type', and value 'B'. At the bottom of the form are 'Save' and 'Cancel' buttons.

Attribute	Description	Name	Value
Attribute 1	Batch Date of Processing	Last_Batch_Date	01/01/1950
Attribute 2	--	--	
Attribute 3	--	--	
Attribute 4	--	--	
Attribute 5	--	--	
Attribute 6	--	--	
Attribute 7	--	--	
Attribute 8	Account/Customer/Both Flag (A or C or B)	Entity_type	B
Attribute 9	--	--	
Attribute 10	--	--	

Figure 9. Configuring Initiate Regulatory Reporting Parameter Attributes

4. Choose a Parameter Enabled flag as either **Yes** or **No** depending on a firm's requirement.

5. Edit the attributes in the text box.

**Table 10. Configuring Initiate Regulatory Reporting Parameter Attributes**

Attribute	Description
Last_Batch_Date	Last Batch Processing Date.
Entity_Type	Account/Customer/Both Flag (A or C or B)

6. Click **Save**. The following confirmation message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*
7. Click **OK**. The following message is displayed: *Update Operation Successful.*
8. Click **OK**.

### Configuring Log Parameters Attributes

This parameter provides the details of all attributes required for Enabling Error Logs in Processing. To configure the Configuring Log Parameter attributes, follow these steps:

1. From the Administration menu, hover over Manage Parameters and click **Manage FATCA Application Parameter**.  
The FATCA Application Parameter page is displayed.
2. Select **Default** from the Jurisdiction drop-down list.
3. Select **Log\_Params** from the Parameter Name drop-down list.

**Figure 10. Configuring Log Parameters Attributes**

4. Choose a Parameter Enabled flag as either **Yes** or **No** depending on a firm's requirement.

5. Edit the required attributes in the text box.
6. Click **Save**. The following confirmation message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*
7. Click **OK**. The following message is displayed: *Update Operation Successful.*
8. Click **OK**.

## Configuring Purge Parameter Attributes

This parameter provides the details of all attributes required for Purging Assessments such as Age of Assessment. Assessments older than the specified time period will be purged (in months).

To configure the Purge Parameter attributes, follow these steps:

1. From the Administration menu, hover over Manage Parameters and click **Manage FATCA Application Parameter**.

The FATCA Application Parameter page is displayed.

2. Select **Default** from the Jurisdiction drop-down list.
3. Select **Purge\_Params** from the Parameter Name drop-down list.

The screenshot shows the 'FATCA Application Parameter' configuration page for 'Purge\_Params'. The page is titled 'Administration >> Manage Parameters >> FATCA Application Parameter'. It features a search bar, a jurisdiction dropdown set to 'DEFAULT', and a parameter name dropdown set to 'Purge\_Params'. The 'Parameter Context' section shows 'Jurisdiction: DEFAULT', 'Parameter Name: Purge\_Params', and 'Parameter Enabled?':  No  Yes. The description is 'This Parameter provide the details of all sub-parameters required for Purging Assessments.' and 'Last Modified Date: --'. The 'Parameter Details' section contains a table with 10 attributes:

Attribute	Description	Name	Value
Attribute 1	--	--	<input type="text"/>
Attribute 2	--	--	<input type="text"/>
Attribute 3	--	--	<input type="text"/>
Attribute 4	--	--	<input type="text"/>
Attribute 5	Age of Assessment records which can be purged (in months)	Age_Assessment	<input type="text" value="120"/>
Attribute 6	--	--	<input type="text"/>
Attribute 7	--	--	<input type="text"/>
Attribute 8	--	--	<input type="text"/>
Attribute 9	--	--	<input type="text"/>
Attribute 10	--	--	<input type="text"/>

At the bottom of the page are 'Save' and 'Cancel' buttons.

**Figure 11. Configuring Purge Parameter Attributes**

4. Edit the attribute `Age_Assessment`. By default, this field displays as **120** months.
5. Click **Save**. The following confirmation message is displayed: *You have selected to edit this record. Click OK to continue and save changes.*
6. Click **OK**. The following message is displayed: *Update Operation Successful.*

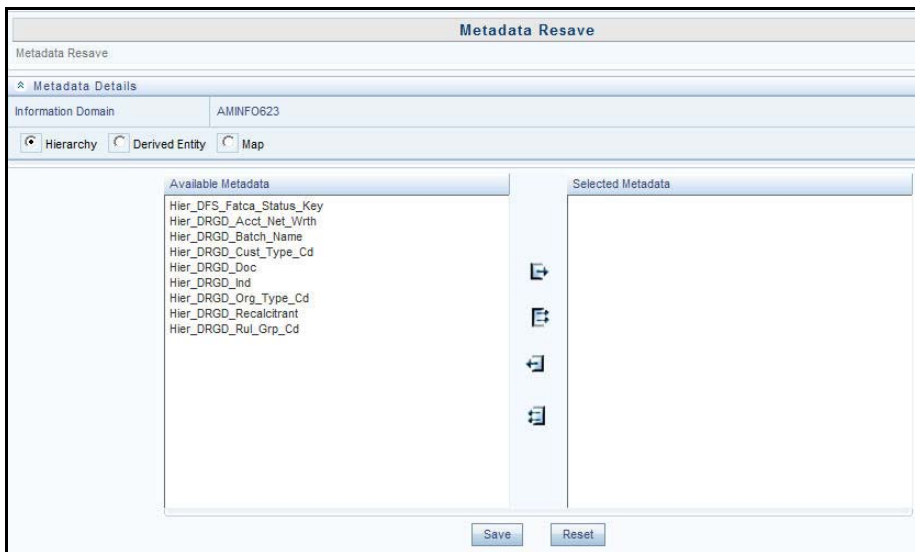
7. Click **OK**.

## Saving the Metadata

Saving the metadata is a mandatory step before proceeding with running the batches. If you fail to save the metadata, then you will not be able to execute the batches.

To save the metadata, follow these steps:

1. Login to the Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. Select the **Object Administration** tab and then select **Object Administration**.
3. Select **Utilities**.
4. Click **Save Metadata**. The Metadata Resave page is displayed.



**Figure 12. Saving Metadata**

5. Select all the hierarchies under **Available Metadata** section and move it to the **Selected Metadata** section.
6. Click **Save**.





FATCA Assessments can be performed through a batch process that can be executed once a year or periodically such as Daily, Weekly, Monthly, Quarterly, and Half-yearly depending on a firm's requirement.

A firm can configure the FATCA Assessments batches as per their business process. Oracle Financial Services FATCA classifies the batches processes as follows:

- **New Batch:** This batch will assess accounts that have been opened after a specified date as well as owning customers of new accounts.
- **Existing Batch:** This batch will assess the existing accounts whose information has changed as well as the existing customers whose information has changed.
- **Pre Existing Batch:** This batch will assess the accounts that have been opened between a date range as well as the owning customers of pre-existing accounts.

This chapter details the configuration of Batches and includes the steps for the following:

- Scheduling a Batch
- Running a Batch Through Fire Run
- Monitoring a Batch After Execution
- Cancelling a Batch After Execution
- Re-starting a Batch
- Re-running a Batch
- Running a Single Task Using a Batch
- FATCA Performance Improvement

## ***Scheduling a Batch***

Ensure all the required servers, that is, ICC, Router, and Message should be up and running before executing a batch. For more information on starting servers, refer to the *Installation Guide*.

When an organization wants to run the batches periodically, a FATCA Administrator user can schedule the batches to run either once, daily, weekly, or months.

**Note:** Before scheduling a batch, ensure that the ICC router and message server are up and running. For more information on starting ICC router and message server, refer to the *Oracle Financial Services Analytical Applications Infrastructure User Guide*.

This section includes the following topics:

- Scheduling a Batch Once
- Scheduling a Daily Batch
- Scheduling a Weekly Batch

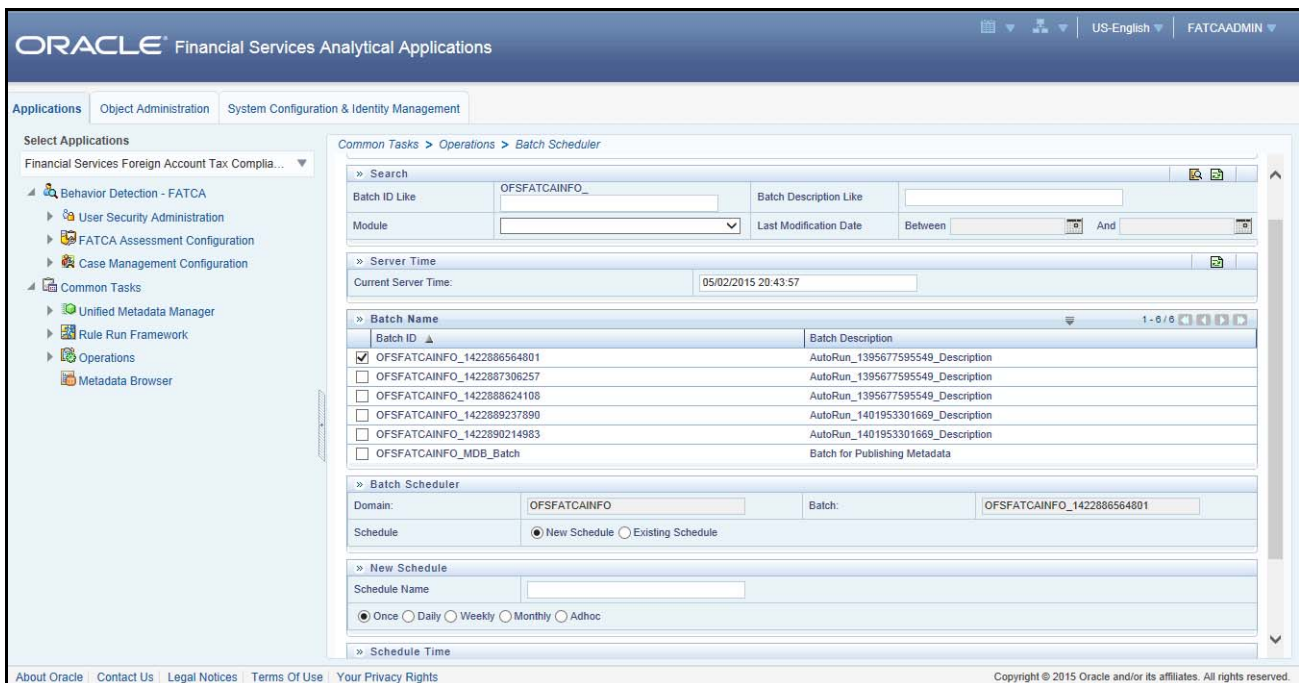
- Configuring a Monthly Batch

**Note:** Before starting a batch, you must update the TSNNames.ora file and the dbname column of the dsnmater and DB\_master tables. Information about these actions can be found in the *Oracle Financial Services Advanced Analytical Applications Infrastructure (OFS AAI) Applications Pack*.

## Scheduling a Batch Once

To schedule a batch that you want to run only once, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Scheduler**. The Batch Scheduler page is displayed.
4. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section is expanded and displays additional options.
5. Click **New Schedule**.
6. Set the frequency of the new schedule as **Once**.
7. Enter the schedule time of the batch by specifying the **Start Date** and the **Run Time**.



**Figure 13. Scheduling a Batch Once**

8. Click **Save**.

## Scheduling a Daily Batch

To schedule a batch that you want to run daily, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Scheduler**. The Batch Scheduler page is displayed.
4. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section is expanded and displays additional options.
5. Click **New Schedule**.
6. Set the frequency of the new schedule as **Daily**.
7. Enter the schedule time of the batch by specifying the **Dates**, **Run Time**, and **Every** information.

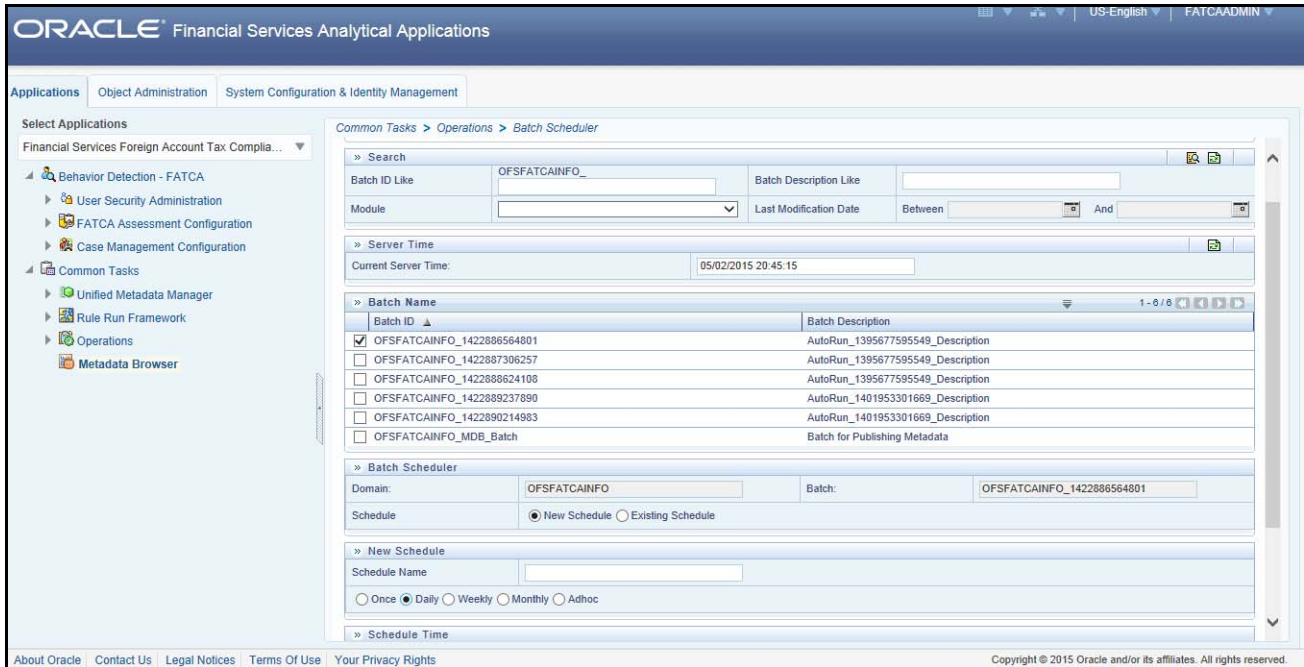


Figure 14. Scheduling a Daily Batch

8. Click on **Save**.

## Scheduling a Weekly Batch

To schedule a batch that you want to run weekly, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Scheduler**. The Batch Scheduler page is displayed.
4. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section is expanded and displays additional options.
5. Click **New Schedule**.
6. Set the frequency of the new schedule as **Weekly**.
7. Enter the schedule time of the batch by specifying the **Dates, Run Time, Every, Working days of the Week** information.

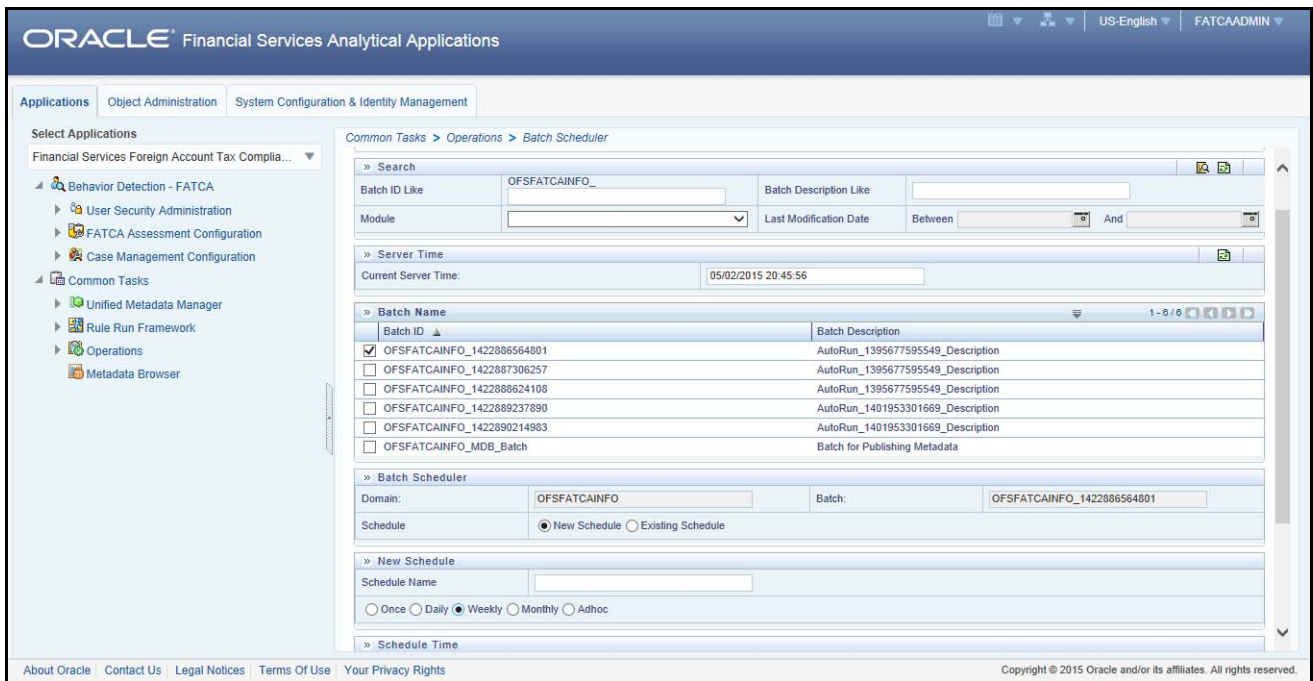


Figure 15. Scheduling a Weekly Batch

8. Click on **Save**.

## Configuring a Monthly Batch

To schedule a batch that you want to run monthly, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Scheduler**. The Batch Scheduler page is displayed.
4. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section is expanded and displays additional options.
5. Click **New Schedule**.
6. Set the frequency of the new schedule as **Monthly**.
7. Enter the schedule time of the batch by specifying the **Dates**, and **Run Time** information.

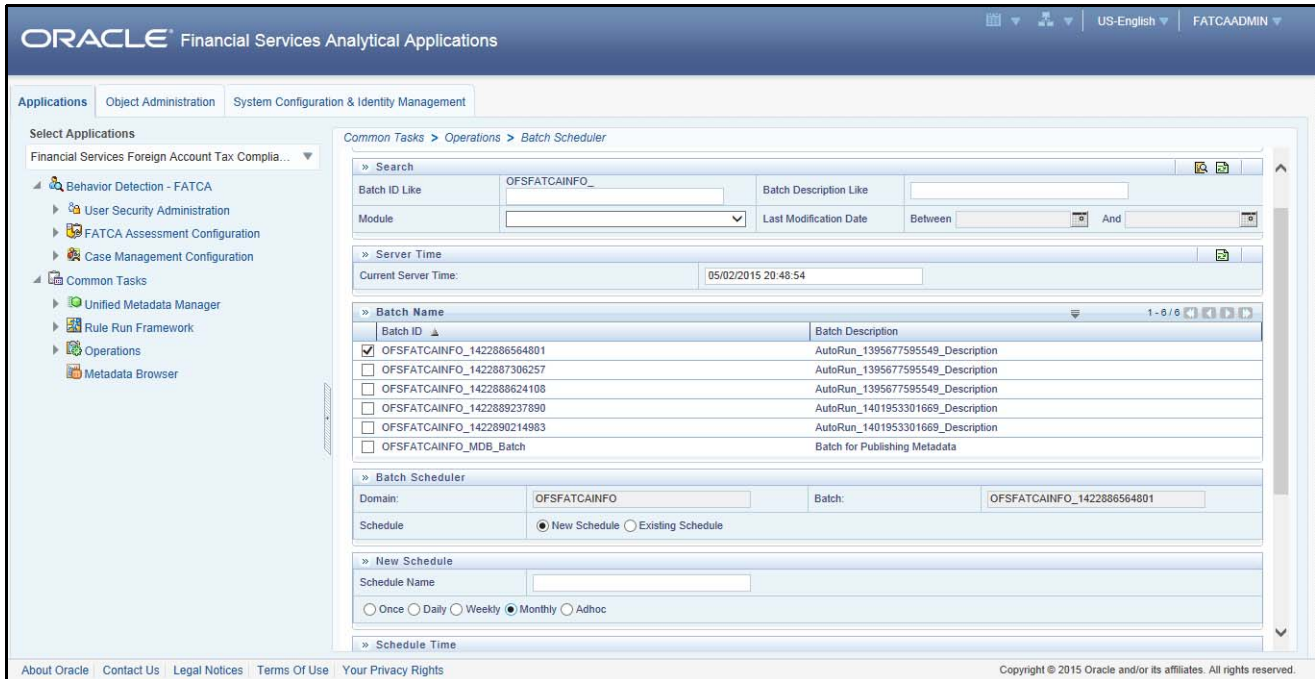


Figure 16. Configuring a Monthly Batch

8. Click on **Save**.

## Running a Batch Through Fire Run

When you want run a batch once without using the Batch Scheduler option, you can run a batch using a Fire Run.

To run a batch through a fire run, follow these steps:

1. Open the .profile and set the BDF\_HOME path to <BDF Home Directory>/scripts .
2. Navigate to \$FIC\_DB\_HOME/bin and assign execute permission to PTC\_Auto\_Case\_Assignment.sh as follows:  

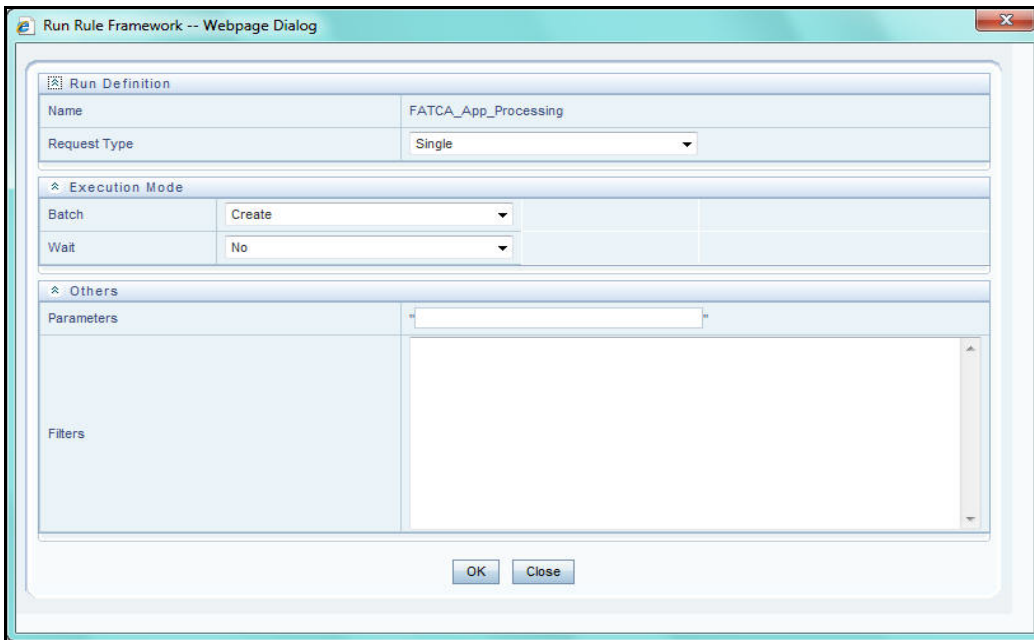
```
$ chmod 755 PTC_Auto_Case_Assignment.sh
```
3. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
4. Expand **Rule Run Framework** from LHS menu.
5. Click **Run**. The Run Rules Framework page is displayed.



Figure 17. Run Rules Framework Page

6. Select FATCA\_App\_Processing from the Run List using the checkbox. The action buttons in the List header are enabled.
7. Click **Fire Run**.

The Run Rule Framework window is displayed.



**Figure 18. Run Rule Framework Window**

8. Select Request Type as **Single**.
9. From Execution Mode section, select Batch as **Create and Execute** from the drop-down list. An MIS Date field is displayed adjacently.
10. Select an MIS Date using the calendar icon.
11. Select Wait as **No**.
12. Click **OK**.

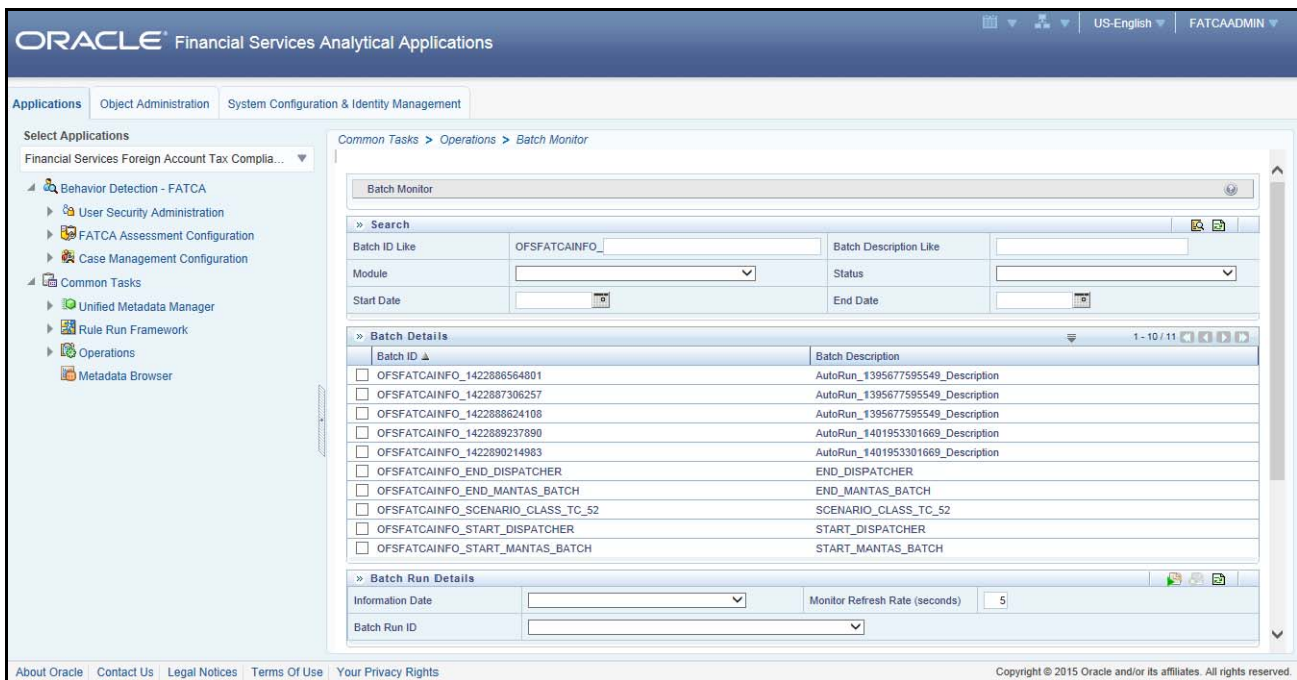
**Note:** In case of upgrade from BD804 to BD805, Meta data re-save required before running the batch. Batch gets successfully executed after doing the same.

## Monitoring a Batch After Execution


Monitoring a batch helps you track the status of execution of an individual task that was included in the batch. Through monitoring, you can also track the batch status which in turn helps you in debugging.

To monitor a batch after it is executed, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Monitor**. The Batch Monitor page is displayed in the RHS.



**Figure 19. Batch Monitor Page**

4. Select a batch from the Batch Details lists that you want to monitor.
5. From Batch Run Details section, select an Information Date and the Batch Run ID from the drop-down list.
6. Click  to start the monitoring.

The execution details namely, Batch Status, Task Details, and Event Log details are displayed.



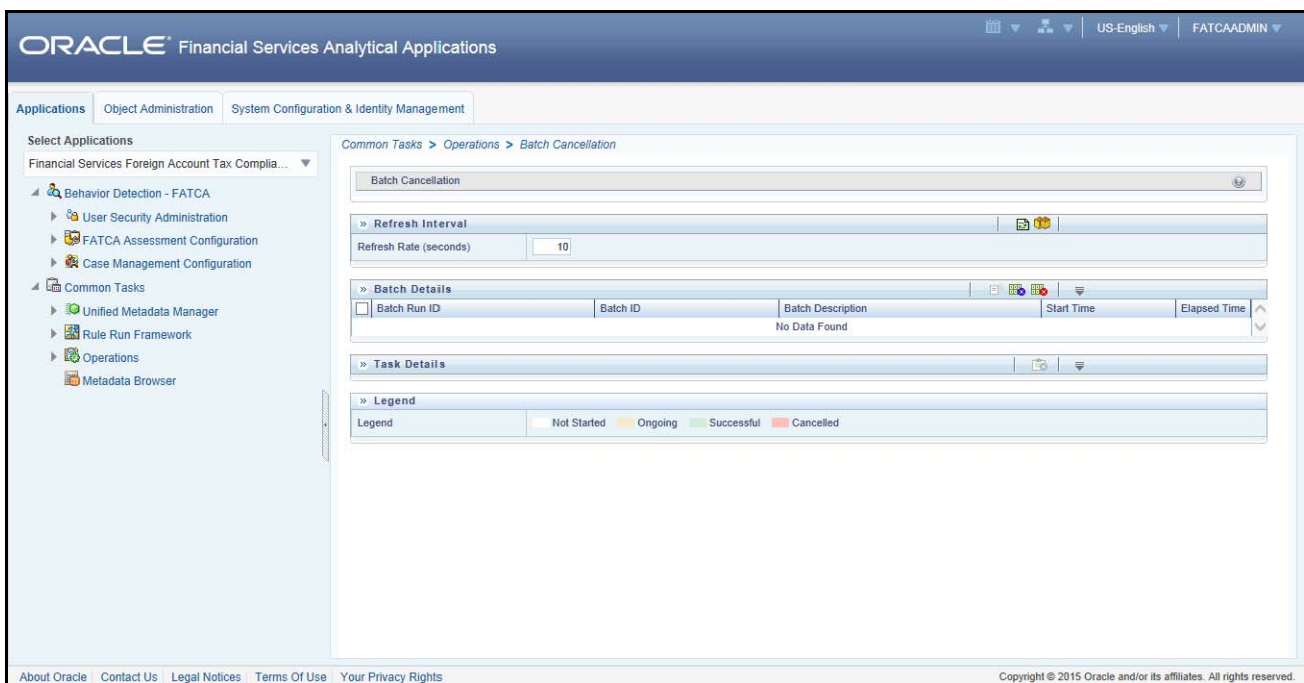
## Cancelling a Batch After Execution

Cancellation of a batch cancels a current batch execution.

**Note:** This is not recommended and should be done only when the batch was fired accidentally or when a particular is taking too long to execute.

To cancel a batch after it is executed, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Cancellation**. The Batch Cancellation page is displayed in RHS.



**Figure 20. Batch Cancellation Page**

4. Under the Batch Details section, select the batch whose execution you want to cancel.
5. Click **Cancel Batch**.

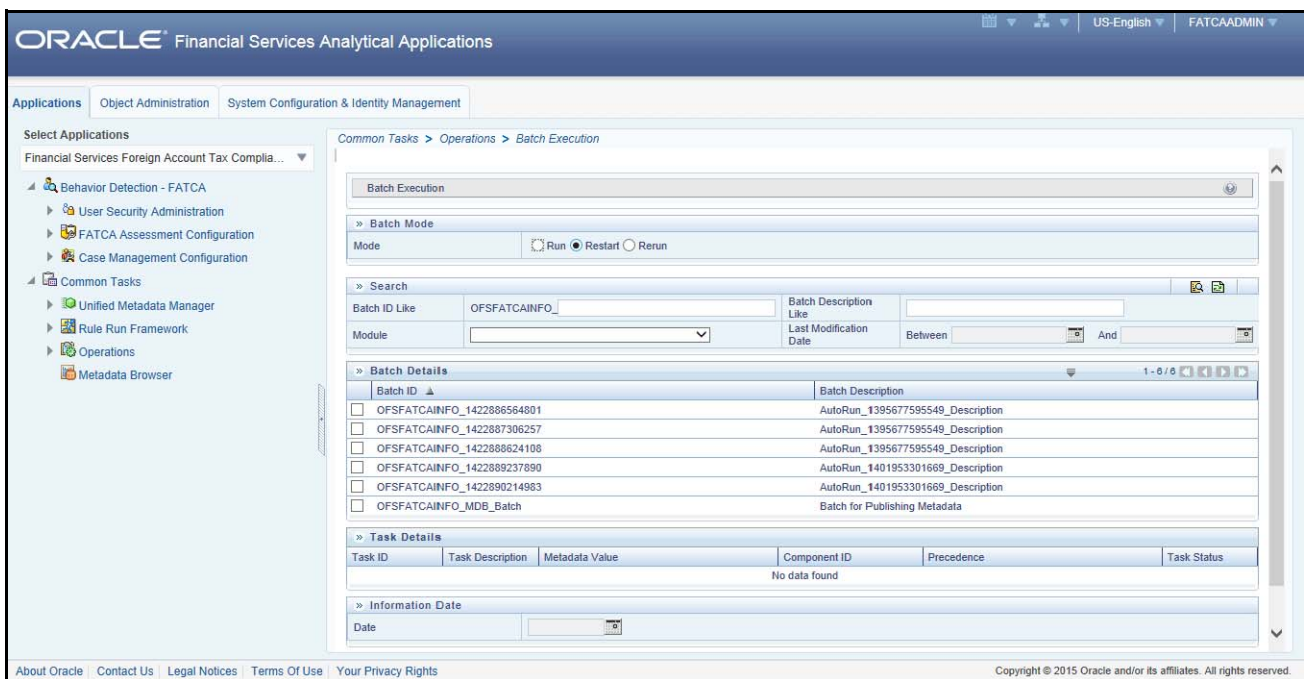
## Re-starting a Batch

You can restart a batch execution when they have failed in their execution. When you restart a batch, it starts from the task at which it had failed. This happens when the failed task issue is debugged and resolved.

**Note:** It is recommended that you debug and resolve a failed task before restarting the batch execution.

To restart a batch execution, follow these steps:

1. Login to the Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Execution**. The Batch Execution page is displayed.
4. Select the **Restart** radio button from the Batch Mode section.



**Figure 21. Re-starting a Batch**

5. Select the batch from the Batch Details section that you want to restart.
6. Select the Information Date and Batch Run ID for the selected batch from the drop-down list.
7. Click **Execute Batch**.

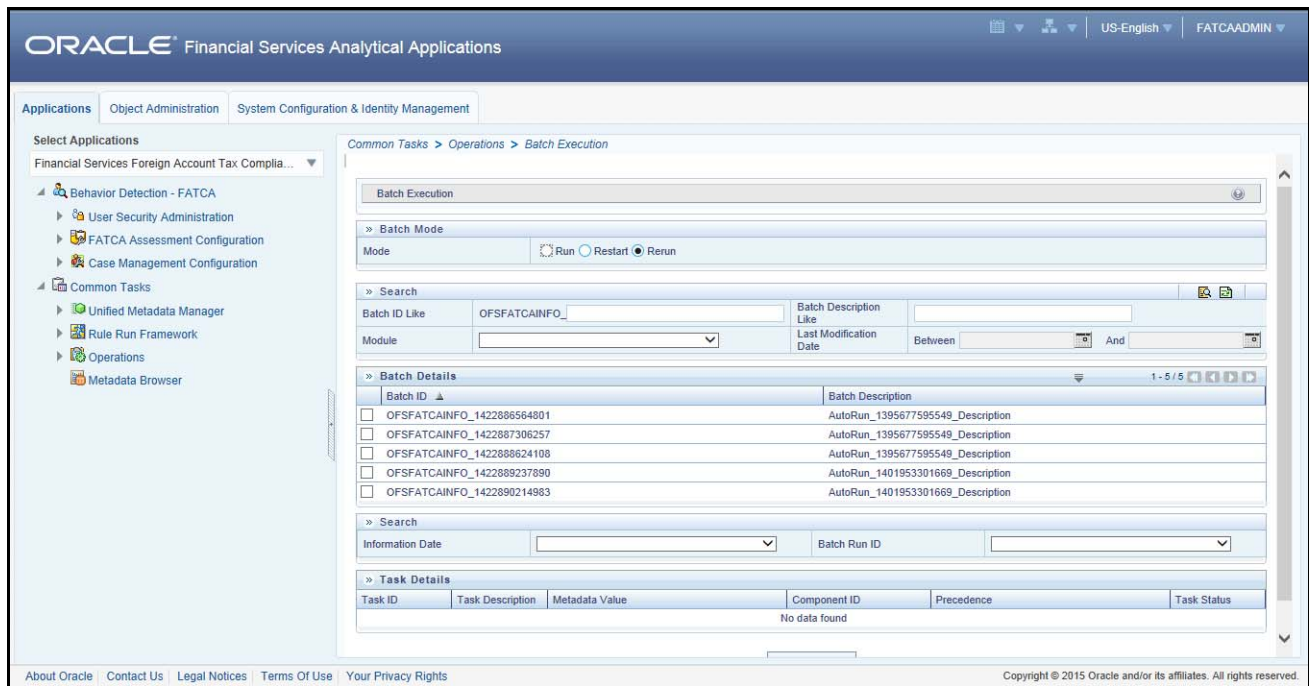
## Re-running a Batch

You can rerun a batch execution when you want all the tasks from a successful batch execution to be executed again from the beginning. When a successfully executed batch is rerun, a different Batch Run ID is created for each instance for the same Information Date.

**Note:** Creation of different Batch Run ID for each rerun of a batch is optional depending upon a firm's requirement.

To rerun a batch, follow these steps:

1. Login to Oracle Financial Services Analytical Applications Infrastructure as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Execution**. The Batch Execution page is displayed.
4. Select the **Rerun** radio button option from the Batch Mode section.



**Figure 22. Re-running a Batch**


5. Select the batch from the Batch Details section that you want to rerun.
6. Select the Information Date and Batch Run ID for the selected batch from the drop-down list.
7. Click **Execute Batch**.

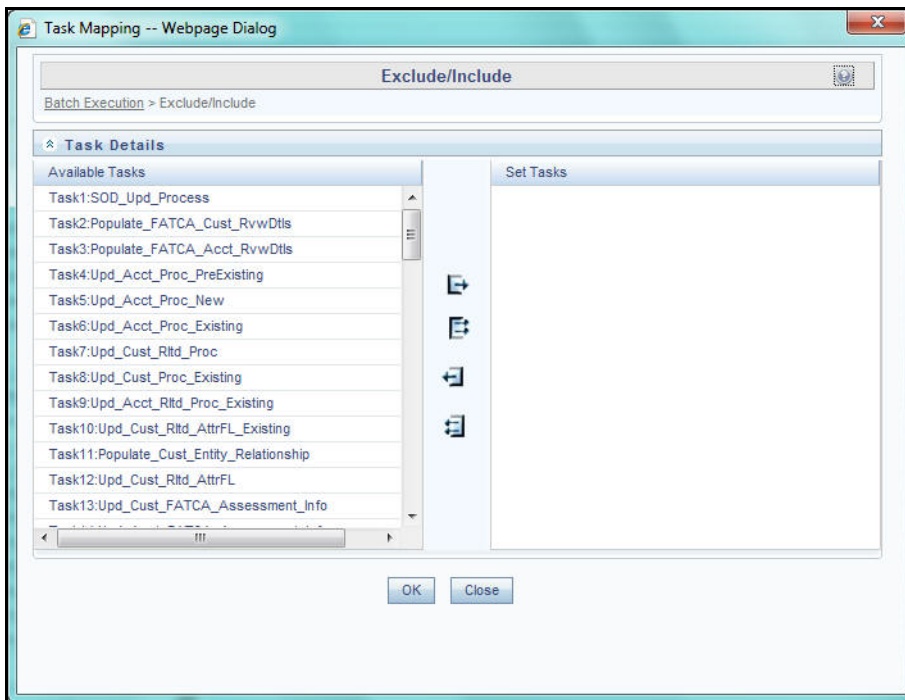
## Running a Single Task Using a Batch

From the Batch Execution page, you can also run a single task from a batch.

**Note:** Running a single task using a batch is not a recommended approach and should be done only for debugging a particular task.

To run a single task using a batch, follow these steps:

1. Login to the Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. From the **Common Tasks** option, select **Operations** in the LHS menu.
3. Click **Batch Execution**. The Batch Execution page is displayed.
4. From the Batch Details section, select the particular batch that you want to execute.
5. From the Task Details section, click . The Task Mapping window is displayed.



**Figure 23. Running a Single Task Using a Batch**

6. Retain the tasks that you want to execute under Available Tasks section and move the rest to the Set Tasks section.
7. Click **OK**. The following warning message is displayed: *If you exclude a task, it will be skipped when executing the batch but, the precedence will not be altered. Do you want to exclude the selected task(s)?*
8. Click **OK**.
9. Click **Execute Batch**.

## FATCA Performance Improvement

**Note:** Follow these steps mentioned in this section to resolve any performance issues. The following steps are not mandatory.

While running batches, firms may face performance issues on tasks related to classification and computational rules. If the tasks are taking longer time than expected, follow these steps for performance improvement:

1. Login to OFSAAI UI as a FATCA Administrator.
2. Click **Rule**, under Rule RunFramework tab.
3. Select a computation/classification rule.

The screenshot displays the 'Rule' definition page. At the top, there is a search and filter section with fields for Code, Name, Folder, Dataset, Version, Active, and Type. Below this is a table of rules. The table has the following columns: Code, Name, Type, Folder, Dataset, Version, and Active. The rule 'Upd\_Acct\_IndiciaPass2' is highlighted in blue, indicating it is selected.

Code	Name	Type	Folder	Dataset	Version	Active
<input type="checkbox"/>	Upd_Acct_AggNetWorth	Computation	AMS623UT	DS_Upd_Acct_AggNetWorth	0	Yes
<input type="checkbox"/>	Upd_Acct_Dochndicato...	Computation	AMS623UT	DS_Upd_Acct_Dochndicato	0	Yes
<input type="checkbox"/>	Upd_Acct_FATCA Asses...	Computation	AMS623UT	DS_Upd_Acct_FATCA_Assessment_I...	0	Yes
<input type="checkbox"/>	Upd_Acct_FATCA Statu...	Computation	AMS623UT	DS_Upd_Acct_FATCA_Status_Indet...	0	Yes
<input type="checkbox"/>	Upd_Acct_IndiciaPass...	Computation	AMS623UT	DS_Upd_Acct_IndiciaPass1	0	Yes
<input checked="" type="checkbox"/>	Upd_Acct_IndiciaPass...	Computation	AMS623UT	DS_Upd_Acct_IndiciaPass2	0	Yes
<input type="checkbox"/>	Upd_Acct_Overall_Ind...	Computation	AMS623UT	DS_Upd_Acct_Overall_Indicia	0	Yes
<input type="checkbox"/>	Upd_Acct_Owner_Type_...	Computation	AMS623UT	DS_Upd_Acct_Owner_Type_Info	0	Yes
<input type="checkbox"/>	Upd_Acct_Proc_Existi...	Computation	AMS623UT	DS_Upd_Acct_Proc_Existing	0	Yes
<input type="checkbox"/>	Upd_Acct_Proc_New	Computation	AMS623UT	DS_Upd_Acct_Proc_New	0	Yes
<input type="checkbox"/>	Upd_Acct_Proc_PreExi...	Computation	AMS623UT	DS_Upd_Acct_Proc_PreExisting	0	Yes
<input type="checkbox"/>	Upd_Acct_Rtld_Proc_E...	Computation	AMS623UT	DS_Upd_Acct_Rtld_Proc_Existing	0	Yes
<input type="checkbox"/>	Upd_Cust_Dochndicato...	Computation	AMS623UT	DS_Upd_Cust_Dochndicato	0	Yes
<input type="checkbox"/>	Upd_Cust_Entity_Indi...	Computation	AMS623UT	DS_Upd_Cust_Entity_IndiciaPass...	0	Yes
<input type="checkbox"/>	Upd_Cust_Entity_Indi...	Computation	AMS623UT	DS_Upd_Cust_Entity_IndiciaPass...	0	Yes
<input type="checkbox"/>	Upd_Cust_FATCA Asses...	Computation	AMS623UT	DS_Upd_Cust_FATCA_Assessment_I...	0	Yes
<input type="checkbox"/>	Upd_Cust_FATCA Statu...	Computation	AMS623UT	DS_Upd_Cust_FATCA_Status	0	Yes
<input type="checkbox"/>	Upd_Cust_IND_Indicia...	Computation	AMS623UT	DS_Upd_Cust_IND_IndiciaPass1	0	Yes
<input type="checkbox"/>	Upd_Cust_Overall_Ind...	Computation	AMS623UT	DS_Upd_Cust_Overall_Indicia	0	Yes
<input type="checkbox"/>	Upd_Cust_Proc_Existi...	Computation	AMS623UT	DS_Upd_Cust_Proc_Existing	0	Yes

**Figure 24. Rule Definition Page**

4. Click **Edit**. The Rule Definition (Edit Mode) page is displayed.

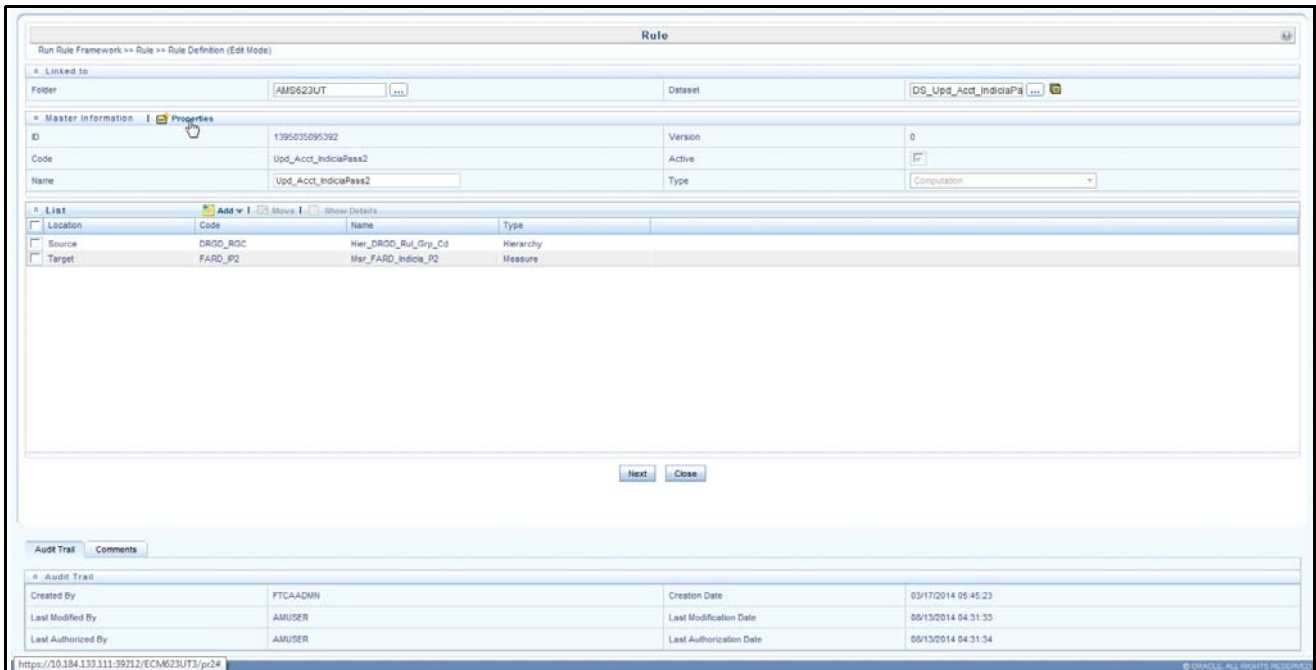


Figure 25. Rule Definition (Edit Mode) Page

5. Click **Properties**. The Properties window is displayed.
6. Change the Pre- built flag to 'Yes' and click **OK**.

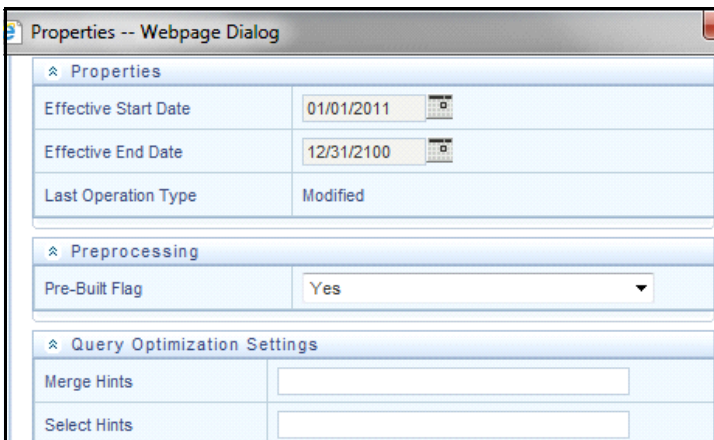
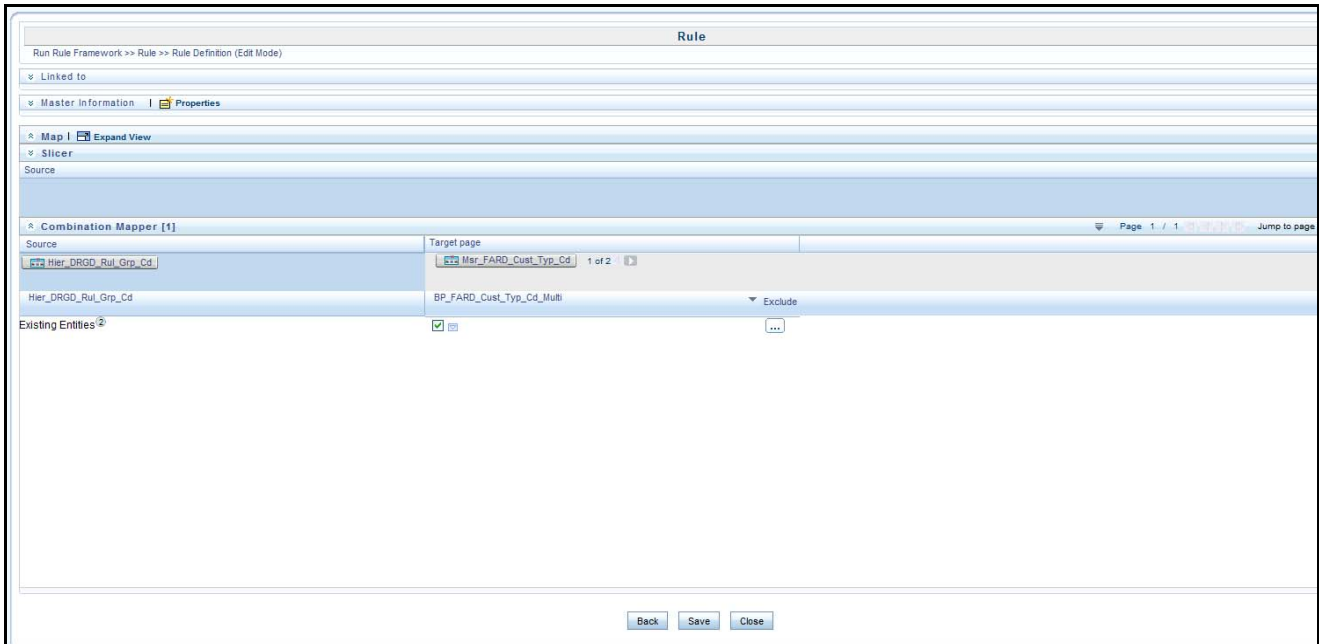


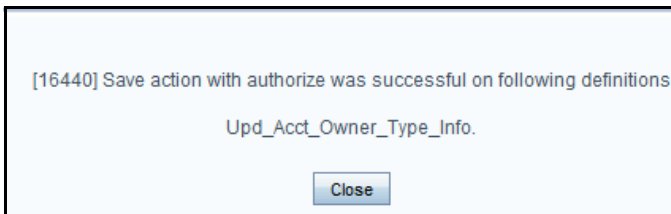
Figure 26. Rule Definition - Properties

7. Click **Next** in the Rule Definition (Edit Mode) page. The Combination mapper section is displayed.



**Figure 27. Rule Definition (Edit Mode) page -Combination mapper section**

8. Click **Save**. The following message is displayed: *Do you want to save this rule as a new version.*
9. Click *No*. The following message is displayed:



**Figure 28. Rule Definition (Edit Mode) page -Confirmation**

10. Fire the Run again. For more information, refer *Running a Batch Through Fire Run*.

## Configure Java Virtual Machine

While running several database intensive tasks in parallel, fetching the database connection from connection pool may face an error. To ensure no such error is encountered, add the line:

```
securerandom.source=file:/dev/./urandom
```

in the java.security configuration file available in \$JAVA\_HOME/jre/lib/security/ path.

This needs to be configured only on the machine where the OFSAI database components (ficdb layer) are installed.





A FATCA status is assigned to an account or a customer based on FATCA processing. The FATCA application pre-packages several FATCA statuses that are assigned to the accounts or customers. A firm can choose to add new FATCA statuses or can edit the attributes of the pre-packaged statuses.

The FATCA status for an account is derived through rule assessments whereas the FATCA status for a customer is derived on the basis of the FATCA statuses of accounts a customer holds. If a customer holds more than one account, then the FATCA status for that customer is based on the priority of all the FATCA statuses of accounts.

A FATCA status includes the following attributes:

- `Priority` - For deriving Customer FATCA status
- `Case Sub-Type` and `Case Status Code` - For Batch Promotion to Case from FATCA Assessments
- `F_PROMOTE_TO_CASE_FL` - For Enabling or Disabling Case Creation
- `F_PROMOTE_TO_EFILE_FL` - For Enabling or Disabling E-file Creation.

This chapter includes the following topics:

- Pre-Packaged FATCA Statuses
- Viewing the List of FATCA Statuses
- Editing the Attributes of FATCA Status
- Adding a New FATCA Status
- FATCA Status Derivation

## ***Pre-Packaged FATCA Statuses***

The following FATCA statuses are pre-packaged with the FATCA application:

- Indeterminate
- Recalcitrant
- US Person
- Non-participating FFI
- Passive NFFE
- Owner Documented FFI
- Participating FFI
- Excepted NFFE
- Active NFFE
- Exempt Beneficial Owner
- Certified Deemed Compliant FFI

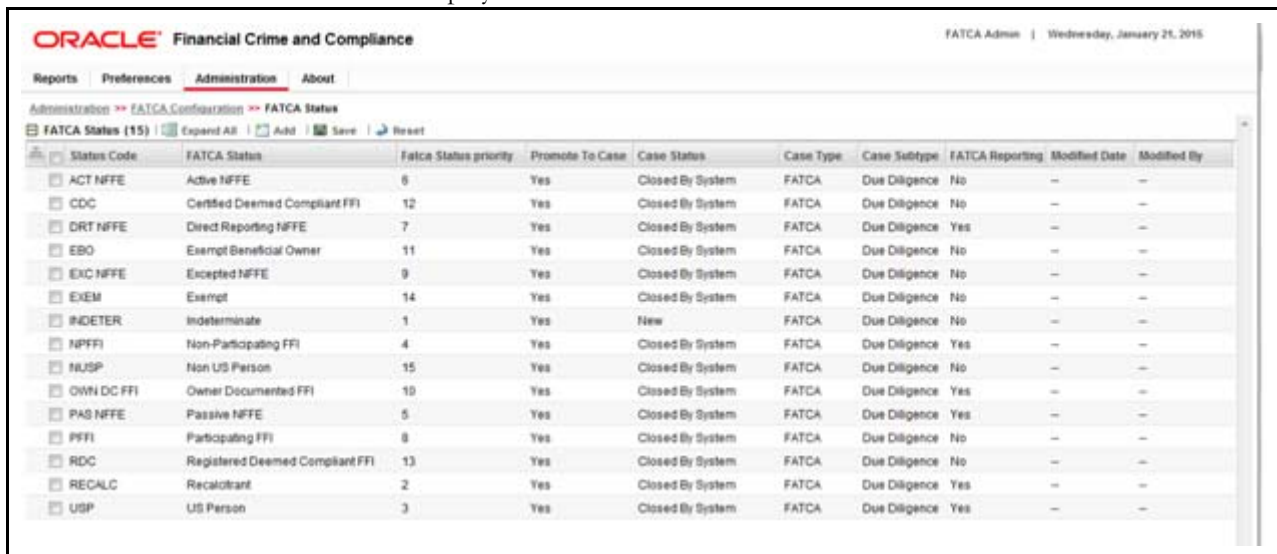
- Registered Deemed Compliant FFI
- Exempt
- Non US Person
- Direct Reporting NFFE

## Viewing the List of FATCA Statuses

To navigate to the list of FATCA statuses, follow these steps:

1. Login to the application as the FATCA Administrator user.
2. From the Administration menu, hover over FATCA Configuration and click **FATCA Status**.

The list of FATCA Statuses are displayed.



Status Code	FATCA Status	Fatca Status priority	Promote To Case	Case Status	Case Type	Case Subtype	FATCA Reporting	Modified Date	Modified By
<input type="checkbox"/> ACT NFFE	Active NFFE	6	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> CDC	Certified Deemed Compliant FFI	12	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> DRT NFFE	Direct Reporting NFFE	7	Yes	Closed By System	FATCA	Due Diligence	Yes	--	--
<input type="checkbox"/> EBO	Exempt Beneficial Owner	11	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> EXC NFFE	Excepted NFFE	9	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> EXEM	Exempt	14	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> INDETER	Indeterminate	1	Yes	New	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> NPFFI	Non-Participating FFI	4	Yes	Closed By System	FATCA	Due Diligence	Yes	--	--
<input type="checkbox"/> NUSP	Non US Person	15	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> OWN DC FFI	Owner Documented FFI	10	Yes	Closed By System	FATCA	Due Diligence	Yes	--	--
<input type="checkbox"/> PAS NFFE	Passive NFFE	5	Yes	Closed By System	FATCA	Due Diligence	Yes	--	--
<input type="checkbox"/> PFFI	Participating FFI	8	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> RDC	Registered Deemed Compliant FFI	13	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> RECALC	Recalcitrant	2	Yes	Closed By System	FATCA	Due Diligence	Yes	--	--
<input type="checkbox"/> USP	US Person	3	Yes	Closed By System	FATCA	Due Diligence	Yes	--	--

Figure 29. FATCA Statuses List

Note: To edit the attributes of a FATCA Status, select the checkbox against each FATCA status.

## Editing the Attributes of FATCA Status

A firm can edit a FATCA status when they want to change the description, priority, and other Case related attributes as per their requirements.

To edit the attributes of a FATCA status, follow these steps:

1. Login to the application as the FATCA Administrator user.
2. From the Administration menu, hover over FATCA Configuration and click **FATCA Status**.

The list of FATCA Statuses are displayed.

3. Select a FATCA status using the checkbox.

The selected FATCA status row changes into an editable mode.

ORACLE Financial Crime and Compliance  
FATCA Admin | Wednesday, January 21, 2015

Administration >> FATCA Configuration >> FATCA Status

Status Code	FATCA Status	Fatca Status priority	Promote To Case	Case Status	Case Type	Case Subtype	FATCA Reporting	Modified Date	Modified By
<input type="checkbox"/> ACT NFFE	Active NFFE	6	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> CDC	Certified Deemed Compliant FFI	12	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> DRT NFFE	Direct Reporting NFFE	7	Yes	Closed By System	FATCA	Due Diligence	Yes	--	--
<input checked="" type="checkbox"/> EBO	Exempt Beneficial Owner	11	<input type="radio"/> No <input checked="" type="radio"/> Yes	Closed By System	FATCA	Due Diligen	<input type="radio"/> No <input checked="" type="radio"/> Yes	--	--
<input type="checkbox"/> EXC NFFE	Excepted NFFE	9	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> EXEM	Exempt	14	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> INDETER	Indeterminate	1	Yes	New	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> NPFFI	Non-Participating FFI	4	Yes	Closed By System	FATCA	Due Diligence	Yes	--	--
<input type="checkbox"/> NUSP	Non US Person	15	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> OWN DC FFI	Owner Documented FFI	10	Yes	Closed By System	FATCA	Due Diligence	Yes	--	--
<input type="checkbox"/> PAS NFFE	Passive NFFE	5	Yes	Closed By System	FATCA	Due Diligence	Yes	--	--
<input type="checkbox"/> PFFI	Participating FFI	8	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> RDC	Registered Deemed Compliant FFI	13	Yes	Closed By System	FATCA	Due Diligence	No	--	--
<input type="checkbox"/> RECALC	Recalcitrant	2	Yes	Closed By System	FATCA	Due Diligence	Yes	--	--
<input type="checkbox"/> USP	US Person	3	Yes	Closed By System	FATCA	Due Diligence	Yes	--	--

Figure 30. Editing the Attributes of FATCA Status

4. Edit the required attributes.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**.

## **Adding a New FATCA Status**

A firm can add a new FATCA status based on their requirements. Adding a new FATCA status is a three step process.

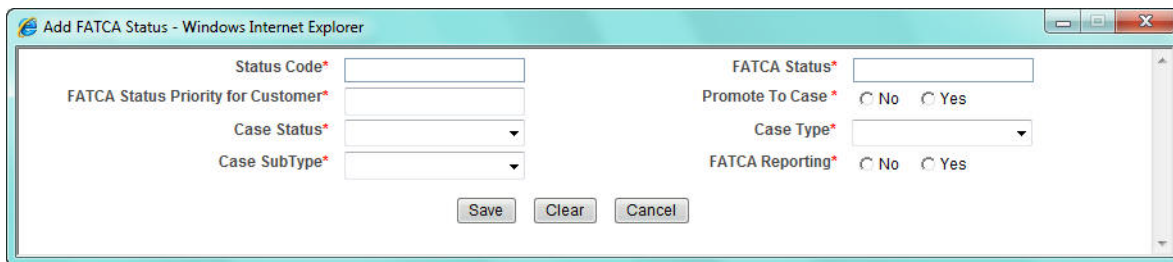
This section includes the following topics:

- Adding a New FATCA Status in FCCM
- Adding a New FATCA Status Derivation Using Rules Framework
- Adding a New Task for New FATCA status

### **Adding a New FATCA Status in FCCM**

To add a new FATCA Status from FCCM, follow these steps:

1. Login to the application as the FATCA Administrator user.
2. From the **Administration** menu, hover over **FATCA Configuration** and click **FATCA Status**.
3. Click **Add**. The following window is displayed.



The screenshot shows a web browser window titled "Add FATCA Status - Windows Internet Explorer". The form contains the following fields and controls:

- Status Code\***: Text input field.
- FATCA Status\***: Text input field.
- FATCA Status Priority for Customer\***: Text input field.
- Promote To Case\***: Radio buttons for "No" and "Yes".
- Case Status\***: Dropdown menu.
- Case Type\***: Dropdown menu.
- Case SubType\***: Dropdown menu.
- FATCA Reporting\***: Radio buttons for "No" and "Yes".
- Buttons**: "Save", "Clear", and "Cancel".

**Figure 31. Adding a New FATCA Status in FCCM**

4. Enter the details of the new FATCA status.

**Note:** All the fields are mandatory.

The following table describes the components of the Add FATCA Status window:

**Table 10. Add New FATCA Status Field Descriptions**

Field	Description
Status Code	Enter a unique status code for the new FATCA status.
FATCA Status	Enter the description of the new status code in the text field.
FATCA Status Priority for Customer	Enter a unique number denoting the FATCA Status Priority for the Customer. <b>Note:</b> The lower the number, the higher is the priority.
Promote to Case	Select either <b>Yes</b> or <b>No</b> on whether the new FATCA Status should be promoted to case.
Case Status	Select a case status for the new FATCA status from the drop-down list.
Case Type	Select <b>FATCA</b> as the case type from the drop-down list.
Case SubType	Select <b>Due Diligence</b> as the case subtype from the drop-down list.
FATCA Reporting	Select either <b>Yes</b> or <b>No</b> on whether FATCA Reporting is required the new FATCA Status.

5. Click **Save**.

**Note:** When you add a new FATCA status, a new classification rule must be added using the Rules Framework for the newly added FATCA status.

## Adding a New FATCA Status Derivation Using Rules Framework

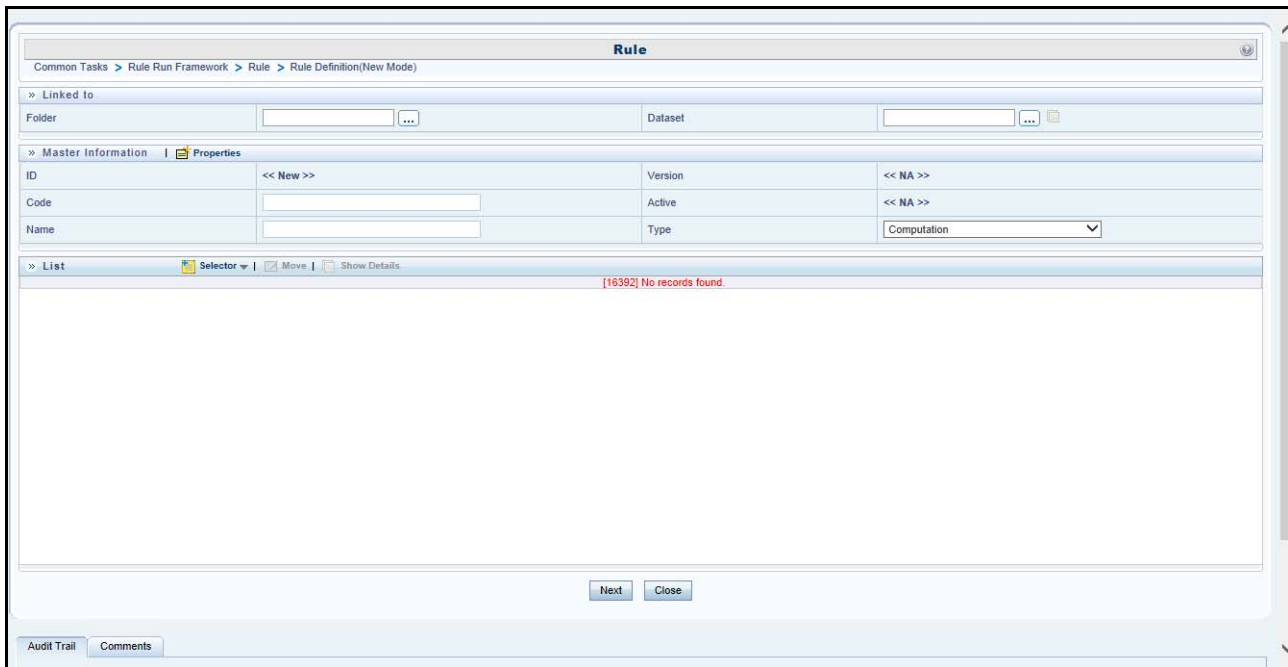
After adding a new FATCA status through the FCCM UI, you must add a new FATCA Status derivation namely Classification Rules using the Rules Framework. You can also add a new FATCA status derivation for an existing FATCA Status based on combinations of source hierarchies.

To add a new classification rule, follow these steps:

1. Login to the Oracle Financial Services Analytical Applications Infrastructure page as a FATCA Administrator user.
2. Expand **Rule Run Framework** from LHS menu.
3. Click **Rule**. The Run Rules Framework page is displayed on the RHS.
4. Click **New**. The following window is displayed:

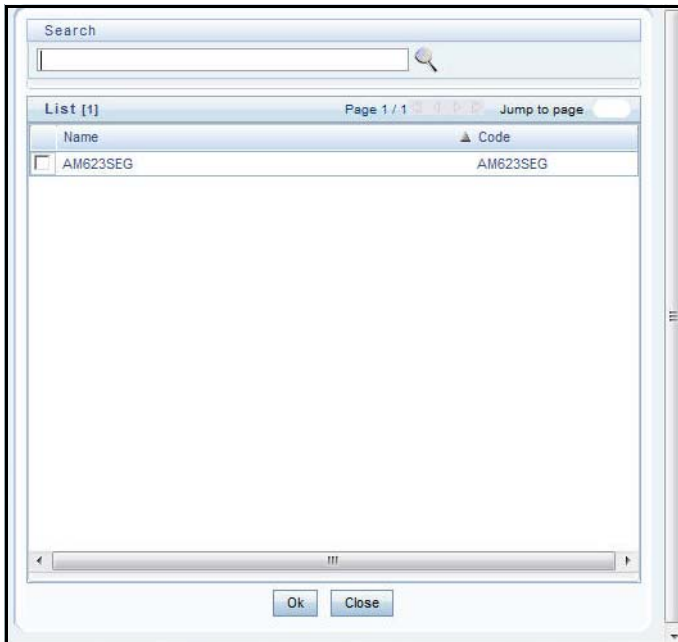
## Adding a New FATCA Status

### Chapter 3—Configuring the FATCA Status




**Figure 32. Adding a New FATCA Status Derivation Using Rules Framework**

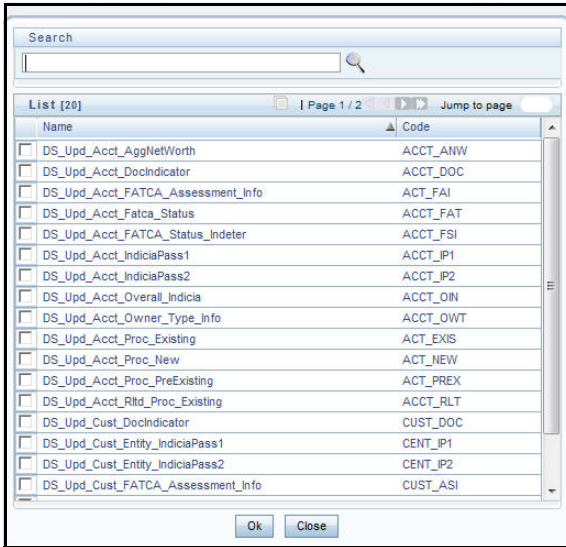
- From the Linked To section, click  to select a **Folder**. The following window is displayed:



**Figure 33. Folder selection**

- Select the required folder and click **OK**.

- From Linked To section, click  to select a **Dataset**. The following window is displayed:



**Figure 34. Dataset selection**

**Note:** A Dataset is a set of tables that are used in the classification rules of a particular FATCA status.

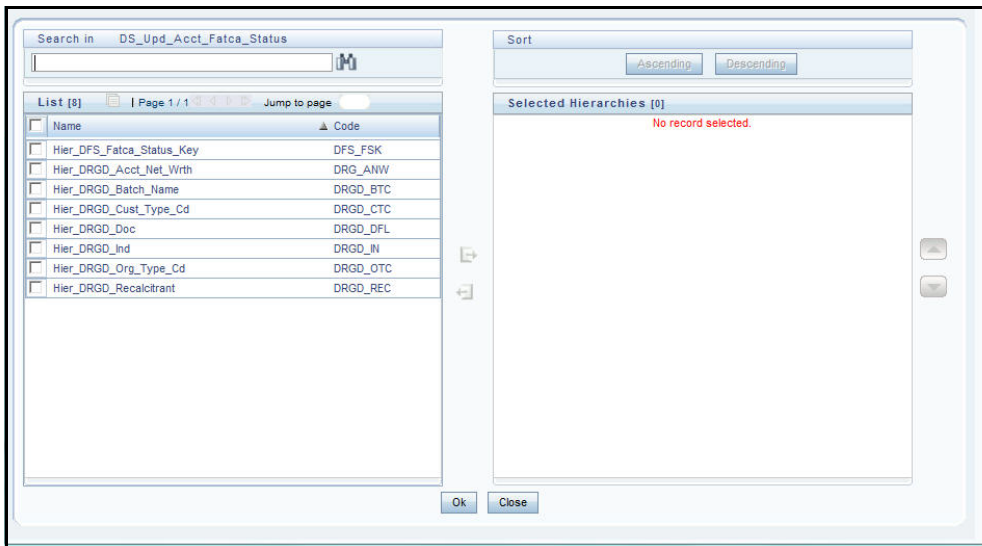
- Select **DS\_Upd\_Acct\_FATCA\_Status** as the dataset.
- Click **OK**.

**Note:** The above dataset is the common dataset that is used for all the classification rules.

- In the Master Information section, enter a unique character for the **Code** and **Name** values and select the **Type** as **Classification** from the drop-down list.

**Note:** You can enter a maximum of 30 characters for these two fields. For more information about the task list, refer to Appendix A, “FATCA Batch Processing Task List.”

- Click  and select **Source**. The Hierarchy Selector window is displayed.



**Figure 35. Hierarchy Selector Window**

12. Select the following source hierarchies and move to the Selected Hierarchies pane:

- Hier\_DRGD\_Acct\_Net\_Wrth
- Hier\_DRGD\_Batch\_Name
- Hier\_DRGD\_Cust\_Type\_Cd, Hier\_DRGD\_Doc
- Hier\_DRGD\_Ind, Hier\_DRGD\_Org\_Type\_Cd
- Hier\_DRGD\_Recalcitrant

13. Click **OK**. The selected source hierarchies are displayed in the List.

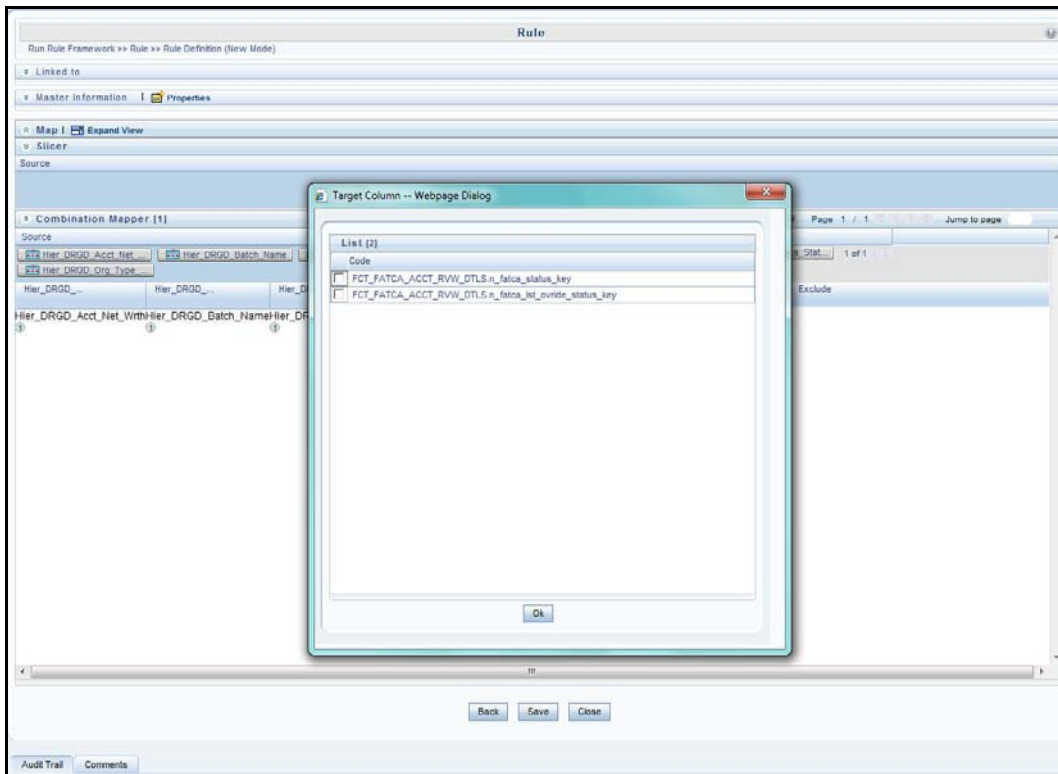
14. Click  and select **Target**. The Hierarchy Selector window is displayed.

15. Select the target hierarchy as Hier\_DFS\_FATCA\_Status\_Key and move to the **Selected Hierarchies** pane.

16. Click **OK**. The selected target hierarchies are displayed in the List.

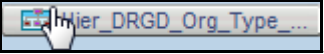
17. Click **Next**. The following page is displayed:





**Figure 36. Target Column**

18. Select `FCT_FATCA_ACCT_RVW_DTLS.n_fatca_status_key` and click **OK**.

19. From the Combination Mapper section, click any hierarchy. For example, . A Hierarchy Browser window is displayed.

20. Expand the hierarchy to display the values.

21. Select the required values that you want to map and move them to the **Selected Members** pane.

Or

Select the hierarchy from LHS pane and move the entire hierarchy to the **Selected Members** pane if you want to map all the nodes in the hierarchy.

22. Click **OK**.

23. Select the required checkboxes that display under the **Target page** section.

24. Click **Save**. The following message is displayed: *Save action with authorize was successful on following definitions <Name>*

25. Click **Close**.

**Note:** You can follow the above procedure for other Source Hierarchies and Target Hierarchies.

## Adding a New Task for New FATCA status

After adding a new classification rule for FATCA status derivation, the rule created needs to be included in the existing task list. This task should either go under sub-process Upd\_Status\_NewExist for New/Existing batch or under Upd\_Status\_PreExist for Pre-existing batch depending upon on which batch the rule is created. For more information on adding a task to a process, refer to the *Oracle Financial Services Analytical Applications Infrastructure User Manual* for adding a task to a process.

## FATCA Status Derivation

A firm can edit FATCA status derivation when the pre-packaged combination for deriving a FATCA status needs to be changed. For pre-packaged combination of deriving a FATCA status, refer to *Appendix C* in the *FATCA Assessment Guide*.

FATCA statuses for an account are derived using defined rules in rules framework. which uses combination of source hierarchies values to arrive at a FATCA status in Target hierarchy. Refer to the *Oracle Financial Services Analytical Applications Infrastructure User Manual* for more information.

There are totally 36 classification rules in FATCA batch from task 25 to task 60. For more information on task details, refer to *Appendix A, FATCA Batch Processing Task List*.

- Task 26 to Task 38 are classification rules relating to New or Existing Batches.
- Task 39 to task 61 are classification rules related to Pre-Existing Batches.

## Classification Rules

Classification rules contain multiple Source hierarchies and a Target Hierarchy.

### Source Hierarchies used for Classification Rules

- Hier\_DRGD\_Cust\_Type\_Cd - It takes the following values - Financial, Indeterminate Multiple Entity Types, Individual and Organization.
- Hier\_DRGD\_Doc - It takes the following values - Yes and No
- Hier\_DRGD\_Ind - It takes the following values - Yes, No and Indeterminate.
- Hier\_DRGD\_Org\_Type\_Cd - It takes the following values - Active NFFE, Certified Deemed Compliant FFI, Excepted NFFE, Exempt Beneficial Owner, Indeterminate Multiple Org Types, No Value, Non-Participating FFI, Other Organizations Type Codes, Owner Documented FFI, Participating FFI, Passive NFFE, Registered Deemed Compliant FFI.
- Hier\_DRGD\_Recalcitrant - It takes the following values - Yes and No
- Hier\_DRGD\_Batch\_Name - It takes the following values - New Entities, Existing Entities and Pre-existing Entities.
- Hier\_DRGD\_Acct\_Net\_Wrth - It takes the following values - Above Limit, Below Limit and Within Limit.

## Target Hierarchy used for Classification Rules

- `Hier_DFS_FATCA_Status_Key` - It includes the following values: Active NFFE, Certified Deemed Compliant FFI, Excepted NFFE, Exempt, Exempt Beneficial Owner, Indeterminate, Non US Person, Non-participating FFI, Owner Documented FFI, Participating FFI, Passive NFFE, Recalcitrant, Registered Deemed Compliant FFI, and US Person.

## Editing a Classification Rule

To edit a classification rule, follow these steps:

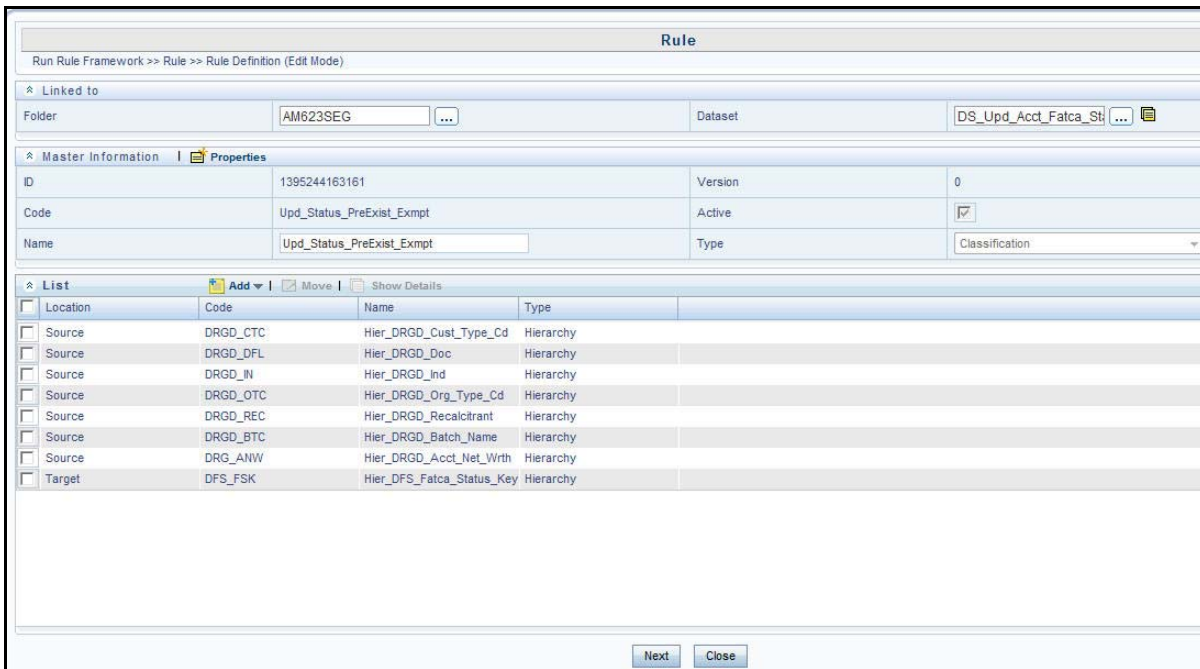
1. Login to Oracle Financial Services Analytical Applications Infrastructure as a FATCA Administrator user.
2. Expand **Rules Framework** from LHS menu.
3. Click **Rule**. The Run Rules Framework page is displayed on the RHS.
4. Select a rule with the **Type** as **Classification**.

Code	Name	Type	Folder	Dataset	Version	Active	
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_Exempt	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input checked="" type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_Exmpt	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_NPFFI	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_NUSP_All1	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_NUSP_All2	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_NUSP_Ent1	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_NUSP_Ent2	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_NUSP_Ind1	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_NUSP_Ind2	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_ODFFI	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_ParticipFFI	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_PassiveNFFE	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_RDCFFI	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_Reca_All	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_Reca_Ent	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_Reca_Ind	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_USPerson	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_USP_All	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_...	Upd_Status_PreExist_USP_Ent	Classification	AM623SEG	DS_Upd_Acct_Fatca_Status	0	Yes

**Figure 37. Editing a Classification Rule**

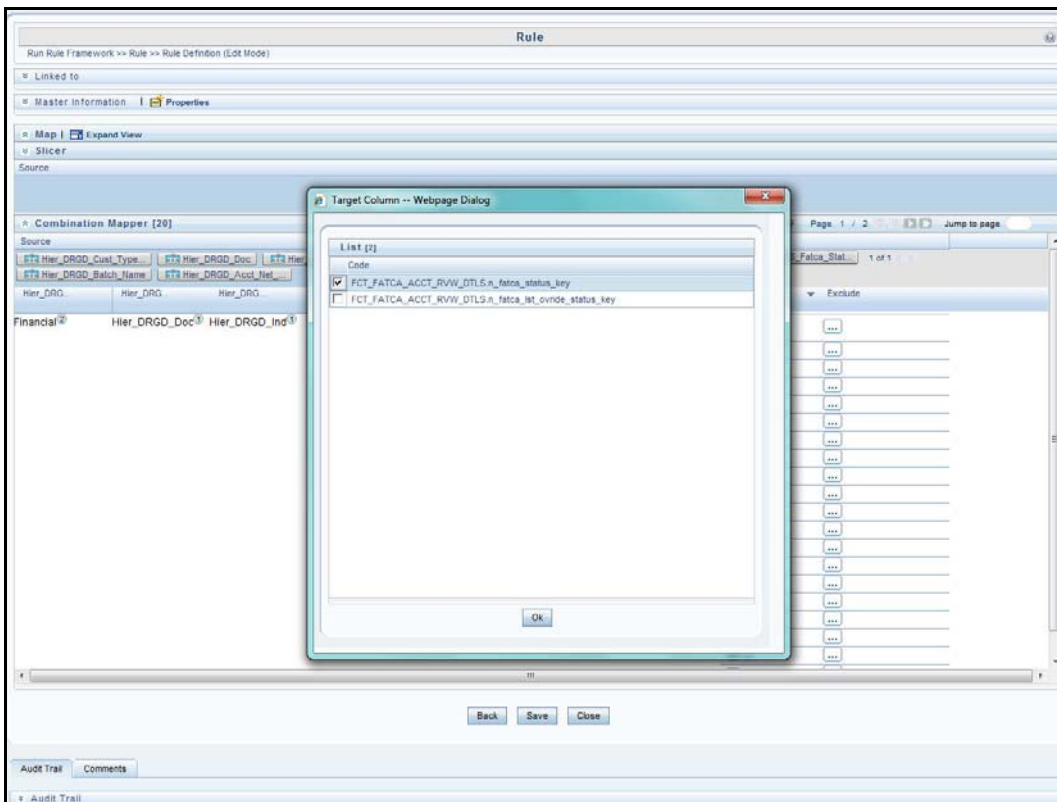
5. Click **Edit**. The following page is displayed.

**FATCA Status Derivation**  
**Chapter 3—Configuring the FATCA Status**



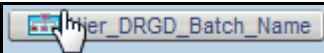
**Figure 38. Rule Definition (Edit Mode)**

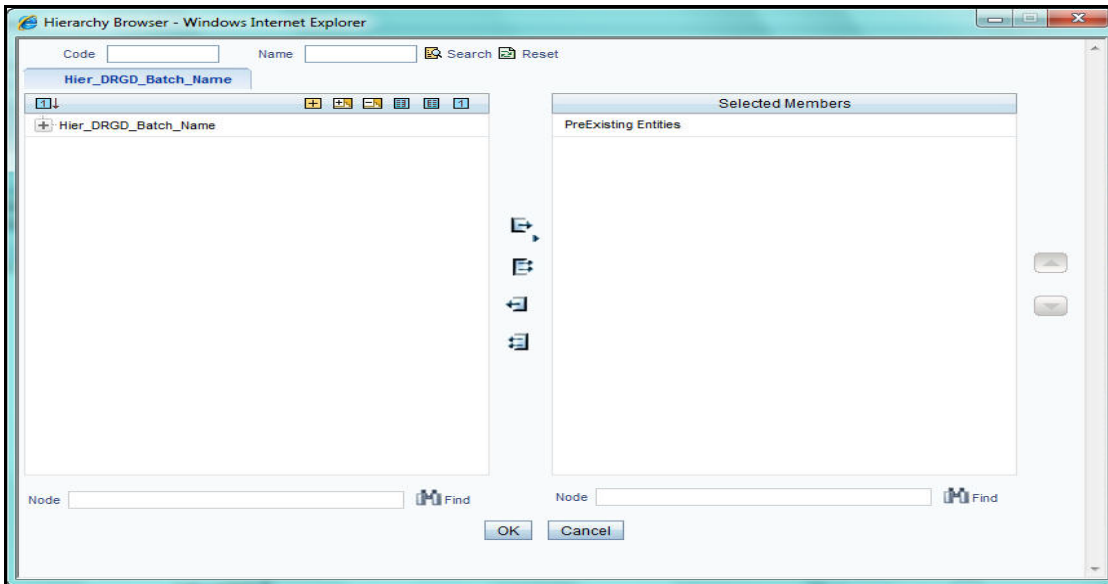
6. Click **Next**. The following page is displayed along with the Target Column window.



**Figure 39. Target column**

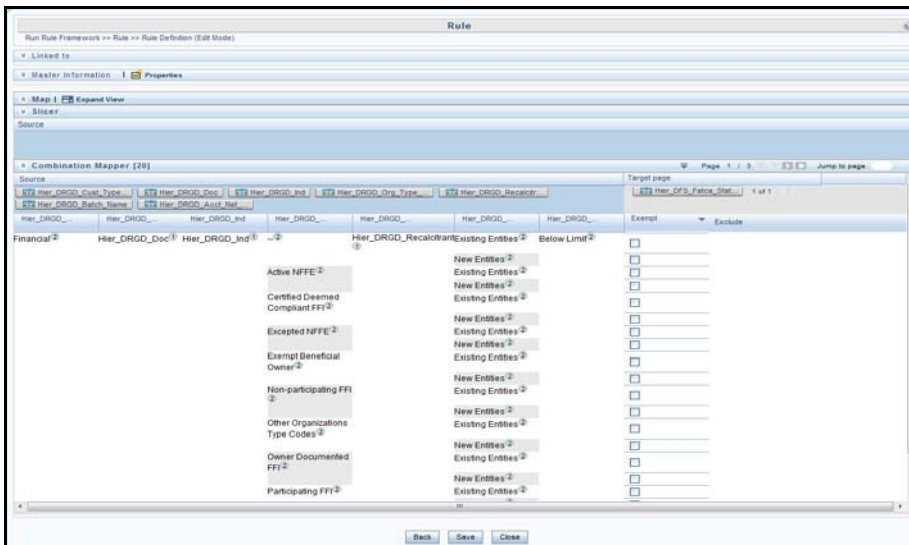
7. Select FCT\_FATCA\_ACCT\_RVW\_DTLS.n\_FATCA\_Status\_Key
8. Click **OK**.

9. Click  from the Combination Mapper section that you want to edit. The following window is displayed.



**Figure 40. Hierarchy Browser**

10. Unmap the Selected Members from the RHS to the LHS pane.
11. Expand the **Hier\_DRGD\_Batch\_Name** and map the required value to the **Selected Members** pane.
12. Click **OK**.



**Figure 41. Target page section**

13. Select the required checkboxes that display under the **Target page** section.

14. Click **Save**. The following message is displayed: *Do you want to save this rule as a new version?*
15. Click **No**. A confirmation message is displayed.
16. Click **Close**.

**Note:** You can follow the above procedure for other Source Hierarchies and Target Hierarchies.

# *Configuring the FATCA Assessment Rules*

This chapter discusses configuring the FATCA Rules for assessing the accounts and customers. An Account is assessed based on the FATCA rules configured to derive the Account FATCA Status. A Customer's FATCA status is derived from the FATCA statuses of the accounts a customer holds.

Each account or customer selected for assessment is verified against FATCA Rules for the Jurisdiction, Geographic Jurisdiction, and Business Domain as that of the account or customer.

If there are no FATCA Rules defined for a specific Jurisdiction, Geographic Jurisdiction and Business Domain then the accounts or customers will be assessed based on the default FATCA rules.

FATCA\_ASSESSMENT\_RULES is a configuration table that is used for FATCA Processing. This table is used to define the individual attributes, and operand which in turn are used to derive Overall Indicia, and Document Indicator of Accounts or Customers. Based on the Document Indicator, Overall Indicia and few other parameters, the FATCA statuses are arrived.

**Note:** Based on a firm's requirement, all these attributes can be Enabled or Disabled.

This section covers following topics:

- FATCA Assessment
- Account Assessment Structure
- Customer Assessment Structure
- Rules Configuration
- FATCA Rules Configuration

## ***FATCA Assessment***

FATCA Assessment consists of Rule Group Classification, which further consists of Rule Groups. Some rule groups (For example, FATCA Indicators) are used directly to define the FATCA Status, while some Rule Groups (For example, Indicia and Document Indicators) are further divided into Individual rules.

This section covers following topics:

- Rules Group Classification
- Rule Groups
- Editing a FATCA Rule Indicator
- Copying a FATCA Rule Indicator

## Rules Group Classification

The following are the Rule Group Classifications that are used for FATCA Processing

- **Indicia\_Indicator\_Acct** - It is used for deriving the Indicia Status for a particular account.
- **Indicia\_Indicator\_Cust** - It is used for deriving the Indicia for a customer
- **Document\_Indicator** - It is used for deriving the Document Indicator for a particular account. Document Indicator of an account is based on the documents of the owning customers. If any of the related customer has a Document Indicator Flag as **Y**, then the Document Indicator Flag for that particular account is also marked as **Y**.
- **Fatca\_Indicator\_Acct** - It is used for deriving the FATCA Status for a particular account. This contains Rule Groups which themselves act as rules.

## Rule Groups

Rule Group are the used to derive the FATCA Status of an account. They are of two types:

- Rule Groups
- Rule Groups Categorized into Further Rules

## Rule Groups

They are directly used to derive FATCA Status of an account. They cannot be divided any further. The following are the Rule Groups that act as Rules which are used for FATCA Processing:

- **Acct\_Agg\_Net\_Worth\_IND** - This Rule is used to define attribute for deriving Aggregated Net Worth value Code for Accounts which has Individual Customer type.
- **Acct\_Agg\_Net\_Worth\_ENT** - This Rule is used to define attribute for deriving Aggregated Net Worth value Code for Accounts which has Non-Individual Customer type.
- **Customer\_Type\_Code** - This Rule is used to define attribute for deriving Customer type code for Accounts.
- **FATCA\_Org\_Type\_Code** - This Rule is used to define attribute for deriving FATCA Org Type Code for Accounts.
- **Recalcitrant\_Indicator** - This Rule is used to define attribute for deriving Recalcitrant Indicator for Accounts.
- **Account Year End Worth\_Individual\_Base** - This rule is used to define attribute for deriving year end worth for Accounts which has Individual Customer Type.
- **Account Year End Worth\_Entity\_Base** - This rule is used to define attribute for deriving year end worth for Accounts which has Entity Customer Type.

**Note:** For more information, refer to section *Account Assessment Structure*.



### Rule Groups Categorized into Further Rules

These Rule Groups are categorized into Indicia and Document rules. The following are the Rule Groups that are used for FATCA Processing

- Indicia\_Indicator\_Cust\_IND
- Indicia\_Indicator\_Cust\_ENT
- Indicia\_Indicator\_Acct
- Document\_Indicator

**Note:** For more information, refer to section *Account Assessment Structure*.

### Account Assessment Structure

The following Rule Group is used for Account Assessment.

- **Rule Groups as Groups - Indicia\_Indicator\_Acct**

The following table defines the US Indicia rules for Accounts. Account's US Indicia is YES if any one of the following parameters satisfies the condition:

**Table 11. US Indicia Rules for Accounts**

Rule Group Classification	Rule Group Name	Rule Description	Condition
Indicia_Indicator_Acct	Indicia_Indicator_Acct	Standing Instructions to US Account Indicator	<ul style="list-style-type: none"> <li>● If value equals Y, then US Indicia = Y.</li> <li>● If value is not equal to Y then US Indicia = N.</li> </ul>
Indicia_Indicator_Acct	Indicia_Indicator_Acct	US POA or Signatory Indicator	<ul style="list-style-type: none"> <li>● If value equals Y, then US Indicia = Y.</li> <li>● If value is not equal to Y, then US Indicia = N.</li> </ul>
Indicia_Indicator_Acct	Indicia_Indicator_Acct	Country Code of Address	<ul style="list-style-type: none"> <li>● If value of one Address country is equal to US then US Indicia = Y.</li> <li>● If value of none of the Address countries is equal to US then US Indicia = N.</li> </ul>

**Table 11. US Indicia Rules for Accounts**

Indicia_Indicator_Acct	Indicia_Indicator_Acct	Country of Phone Number	<ul style="list-style-type: none"> <li>● If value of one phone country is equal to US then US Indicia = Y.</li> <li>● If value of none of the phone countries is equal to US then US Indicia = N.</li> </ul>
Indicia_Indicator_Acct	Indicia_Indicator_Acct	Mail Handling Instruction	<ul style="list-style-type: none"> <li>● If Mail Handling Instruction for all the addresses is in (H, I) then US Indicia = Y.</li> <li>● If Mail Handling Instruction for one address is not in (H,I) then US Indicia</li> </ul>

**Note:**

- If all the Indicia indicators for an account are **NULL**, then the Indicia of the Account is marked as **Indeterminate**.
- If all the Indicia indicators for an account are disabled, then the Indicia of the Account is marked as **"Disabled"**. To disable Indicia, you must also disable them in the classification rules.
- **Rule Groups Categorized as Rules**

The following table defines the FATCA account assessment indicators. In addition to Overall US Indicia and Document Indicator, FATCA account assessment indicators are used to derive the FATCA Status.

**Table 12. FATCA Account Assessment Indicators**

Rule Group Classification	Rule Group Name	Rule Description	Condition
Fatca_Indicator_Acct	Acct_Agg_Net_Worth_IND	Account Agg Net Worth - Individual (in base currency)	As per the aggregate account balance accounts are identified as Exempt, Low Value and High Value.
Fatca_Indicator_Acct	Acct_Agg_Net_Worth_ENT	Account Agg Net Worth - Entity (in base currency)	As per the aggregate account balance accounts are identified as Exempt, Low Value and High Value.
Fatca_Indicator_Acct	Recalcitrant_Indicator	Recalcitrant Indicator	If value is Y FATCA status = Recalcitrant
Fatca_Indicator_Acct	Substitute input value	Customer Type Code	
Fatca_Indicator_Acct	FATCA_Org_Type_Code	FATCA Organization Type Code	

**Note:**

- If all the Indicia indicators for an account are **NULL**, then the Indicia of the Account is marked as **Indeterminate**.
- If all the Indicia indicators for an account are disabled, then the Indicia of the Account is marked as **"Disabled"**.

## Customer Assessment Structure

The following Rule Groups are used for Customer Assessment.

1. **Indicia\_Indicator\_Cust\_IND** - The following table defines the US Indicia rules for Individual customers. A Customer's US Indicia is set to YES if any one of the following rules satisfies the condition:

**Table 13. US Indicia Rules for Individual Customers**

Rule Group Classification	Rule Group Name	Rule Description	Condition
Indicia_Indicator_Cust	Indicia_Indicator_Cust_IND	Primary Citizenship	<ul style="list-style-type: none"> <li>● If value equals US then US Indicia = Y.</li> <li>● If value is not equal to US then US Indicia = N.</li> </ul>
Indicia_Indicator_Cust	Indicia_Indicator_Cust_IND	Secondary Citizenship	<ul style="list-style-type: none"> <li>● If value equals US then US Indicia = Y.</li> <li>● If value is not equal to US then US Indicia = N.</li> </ul>
Indicia_Indicator_Cust	Indicia_Indicator_Cust_IND	Country of Birth	<ul style="list-style-type: none"> <li>● If value equals US then US Indicia = Y.</li> <li>● If value is not equal to US then US Indicia = N.</li> </ul>
Indicia_Indicator_Cust	Indicia_Indicator_Cust_IND	Country of Residence	<ul style="list-style-type: none"> <li>● If value equals US then US Indicia = Y.</li> <li>● If value is not equal to US then US Indicia = N.</li> </ul>
Indicia_Indicator_Cust	Indicia_Indicator_Cust_IND	Country of Mail Address	<ul style="list-style-type: none"> <li>● If country of one mailing address is equal to US then US Indicia = Y.</li> <li>● If country of none of the mailing addresses is equal to US then US Indicia = N.</li> </ul>
Indicia_Indicator_Cust	Indicia_Indicator_Cust_IND	Country of Home Address	<ul style="list-style-type: none"> <li>● If country of one home address is equal to US then US Indicia = Y.</li> <li>● If country of none of the home addresses is equal to US then US Indicia = N.</li> </ul>

Table 13. US Indicia Rules for Individual Customers

Rule Group Classification	Rule Group Name	Rule Description	Condition
Indicia_Indicator_Cust	Indicia_Indicator_Cust_IND	Country of Phone Number	<ul style="list-style-type: none"> <li>● If value of one phone country is equal to US, then US Indicia = Y.</li> <li>● If value of none of the phone countries is equal to US, then US Indicia = N.</li> </ul>
Indicia_Indicator_Cust	Indicia_Indicator_Cust_IND	Mail Handling Instruction	<ul style="list-style-type: none"> <li>● If Mail Handling Instruction for all the addresses is in (H, I) then US Indicia = Y.</li> <li>● If Mail Handling Instruction for one address is not in (H,I) then US Indicia = N.</li> </ul>

Note:

- If all the Indicia indicators for an account are **NULL**, then the Indicia of the Account is marked as **Indeterminate**.
- If all the Indicia indicators for an account are disabled, then the Indicia of the Account is marked as **"Disabled"**.

2. **Indicia\_Indicator\_Cust\_ENT** - The following table defines the US Indicia rules for non-individual customers. A Customer's US Indicia is set to YES if any one of the following rules satisfies the condition:

**Table 14. US Indicia Rules for Non-Individual Customers**

Rule Group Classification	Rule Group Name	Rule Description	Condition
Indicia_Indicator_Cust	Indicia_Indicator_Cust_ENT	Country of Residence	<ul style="list-style-type: none"> <li>● If value equals US, then US Indicia = Y.</li> <li>● If value is not equal to US, then US Indicia = N.</li> </ul>
Indicia_Indicator_Cust	Indicia_Indicator_Cust_ENT	Country of Mail Address	<ul style="list-style-type: none"> <li>● If country of one mailing address is equal to US, then US Indicia = Y.</li> <li>● If country of none of the mailing addresses is equal to US, then US Indicia = N.</li> </ul>
Indicia_Indicator_Cust	Indicia_Indicator_Cust_ENT	Country of Home Address	<ul style="list-style-type: none"> <li>● If country of one home address is equal to US, then US Indicia = Y.</li> <li>● If country of none of the home addresses is equal to US, then US Indicia = N.</li> </ul>
Indicia_Indicator_Cust	Indicia_Indicator_Cust_ENT	Country of Phone Number	<ul style="list-style-type: none"> <li>● If value of one phone country is equal to US then US Indicia = Y.</li> <li>● If value of none of the phone countries is equal to US then US Indicia = N.</li> </ul>
Indicia_Indicator_Cust	Indicia_Indicator_Cust_ENT	Mail Handling Instruction	<ul style="list-style-type: none"> <li>● If Mail Handling Instruction for all the addresses is in (H, I) then US Indicia = Y.</li> <li>● If Mail Handling Instruction for one address is not in (H,I) then US Indicia = N.</li> </ul>

**Note:**

- If all the Indicia indicators for an account are **NULL**, then the Indicia of the Account is marked as **Indeterminate**.
- If all the Indicia indicators for an account are disabled, then the Indicia of the Account is marked as **"Disabled"**.

### 3. Document\_Indicator

The following table defines the customer's document indicators which are used to derive the Overall Document Indicator of a related account. Account Document Indicator = No if any one of the owning customers is able to provide a document claiming foreign status:

**Table 15. Customers Document Indicators**

Rule Group Classification	Rule Group Name	Rule Description	Condition
Document_Indicator	Document_Indicator	Non US Citizen and Resident Indicator	If the value is Y, then US Indicia = N
Document_Indicator	Document_Indicator	Non US Document Holder Indicator	If the value is Y, then US Indicia = N
Document_Indicator	Document_Indicator	Certificate of Loss of Nationality Indicator	If the value is Y, then US Indicia = N
Document_Indicator	Document_Indicator	Entity Government Documentation Indicator	If the value is Y, then US Indicia = N
Document_Indicator	Document_Indicator	Third Party Credit Report Indicator	If the value is Y, then US Indicia = N
Document_Indicator	Document_Indicator	Certificate of Foreign Tax Reporting Indicator	If the value is Y, then US Indicia = N

**Note:**

- If all the Indicia indicators for an account are **NULL**, then the Indicia of the Account is marked as **Indeterminate**.
- If all the Indicia indicators for an account are disabled, then the Indicia of the Account is marked as **"Disabled"**.

## **Rules Configuration**

This section allows you to search for existing FATCA Rule Indicators using the search bar and additionally allows you to edit and copy the FATCA Rule Indicator parameters. You can also export the grid data from the FATCA Rule Indicator List to Excel.

This section includes the following topics:

- Searching Existing FATCA Rule Indicators
- Editing a FATCA Rule Indicator
- Copying a FATCA Rule Indicator
- Exporting FATCA Rule Indicator List to Excel

### **Searching Existing FATCA Rule Indicators**

This search is based on a set of search criteria such as the Created Date, Created By, Jurisdiction, Business Domain and so on and allows you to retrieve the relevant FATCA Rule Indicators.

To search for FATCA Rule Indicators using the search bar, follow these steps:

1. From the **Administration** menu, hover over **FATCA Configuration** and click **Rules Configuration** option.

The Rules Configuration page including the Search bar and FATCA Rule Indicators List is displayed.

2. Enter the required search criteria in the search fields.

The following table describes the components of the FATCA Rule Indicators Search Bar:

**Table 16. FATCA Rule Indicators Search Bar**

Field	Description
Created Date >=	Select a date from the calendar icon to filter the list of FATCA rule indicators whose created date are greater than or equal to the selected date.
Created Date <=	Select a date from the calendar icon to filter the list of FATCA rule indicators whose created date are less than or equal to the selected date.
Created By	Select the user(s) from the drop-down list to filter the list of FATCA rule indicators which were created by the selected user(s).
Jurisdiction	Select the jurisdiction(s) from the drop-down list to filter the list of FATCA rule indicators belonging to the selected jurisdiction(s).
Geographic Jurisdiction	Select the geographic jurisdiction (s) from the drop-down list to filter the list of FATCA rule indicators belonging to the selected geographic jurisdiction (s).
Business Domain	Select the business domain(s) from the drop-down list to filter the list of FATCA rule indicators belonging to the selected business domain (s).
Modified Date >=	Select a date from the calendar icon to filter the list of FATCA rule indicators whose modified date are greater than or equal to the selected date.
Modified Date <=	Select a date from the calendar icon to filter the list of FATCA rule indicators whose modified date are less than or equal to the selected date.
Modified By	Select the user(s) from the drop-down list to filter the list of FATCA rule indicators which were modified by the selected user(s).

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

## Editing a FATCA Rule Indicator

To edit existing rule set, modify the Rule Configuration Parameters, follow these steps:

1. From the **Administration** menu, hover over **FATCA Configuration** and click **Rules Configuration** option.

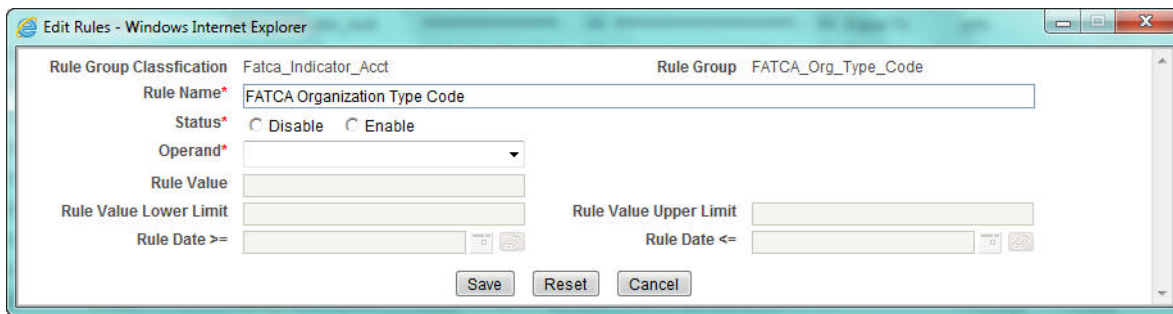
The Rules Configuration page is displayed.

2. Search for the required rule using the search bar and then select the rule from the FATCA Rules Indicators Lists.

Or

Select the required rule from the FATCA Rules Indicators Lists that displays the pre-filtered list of rule sques-tions through a default search criteria.

3. Click **Edit**. The Edit Rules window is displayed.



**Figure 42. Editing a FATCA Rule Indicator**

4. Edit the required fields.

**Note:** You can edit only the Rule Name, Status, Operand, and Rule Value fields.

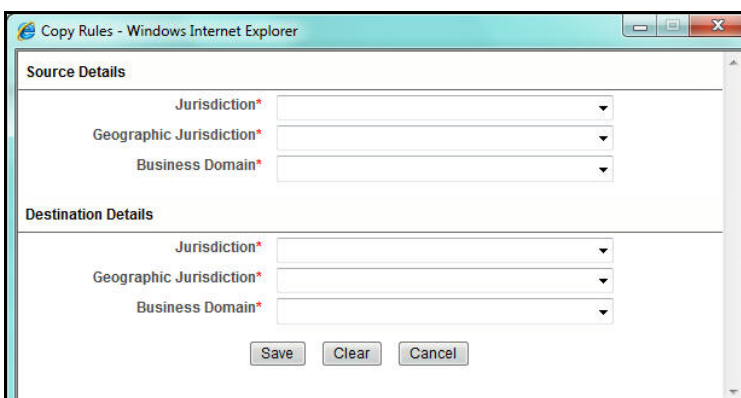
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**.

**Note:** Below are the two parameter got added in the latest release (805): Account Year End Worth -Individual -Base Account Year End Worth -Entity -Base

## Copying a FATCA Rule Indicator

To copy existing rules for another set of Jurisdiction-Geo Jurisdiction-Business Domain combination, follow these steps:

1. From the **Administration** menu, hover over **FATCA Configuration** and click **Rules Configuration** option. The Rules Configuration page is displayed.
2. Click **Copy**. The Copy Rules window is displayed.



**Figure 43. Copying a FATCA Rule Indicator**

3. Select the source Jurisdiction, Geographic Jurisdiction, and Business Domain from the respective drop-down list options.
4. Select the destination Jurisdiction, Geographic Jurisdiction, and Business Domain from the respective drop-down list options
5. Click **Save**. The following message is displayed: *Copy Operation Successful*.



6. Click **OK**.

## Exporting FATCA Rule Indicator List to Excel

To export the FATCA Rule Indicators List to Excel, follow these steps:

1. Navigate to the Rule Configuration Search and List page.
2. Click **Export** from the FATCA Rule Indicators List section.  
An Export Properties window is displayed.
3. Select Form Data/Grid Data as **Grid Data**.

**Note:** If you select Grid Data then it exports records only from a particular matrix. If you select Form Data then it exports records from all matrices available in the UI.

4. Set Document Type as **Excel**
5. Click **Export**. A File Download window is displayed.  
You can choose to either Open or Save the exported list.

## FATCA Rules Configuration

Oracle Financial Services FATCA consists of a pre-packaged set of 29 rules that are used for FATCA Account and Customer Assessment. If a firm wants to configure rules apart from the pre-packaged set, they can do so by adding a new rule.

The pre-packaged set consists of the following Rule Group Classifications:

- **Indicia – Customer:** Consists of rules that are used to derive the indicia of the customer.
- **Indicia – Account:** Consists of rules that are used to derive the indicia of an account.
- **Document – Indicator:** Consists of rules that are used to determine the document indicator of a customer which in turn determines the document indicator of the account associated with that customer.
- **FATCA – Indicators:** Consists of rules that are used to derive the FATCA status of an account.

### Adding a New Rule to the Rule Group Classification (Indicia – Customer, Indicia – Account, Document Indicator)

The addition of new rule attributes to the above rule groups is as depicted in the following flowchart:

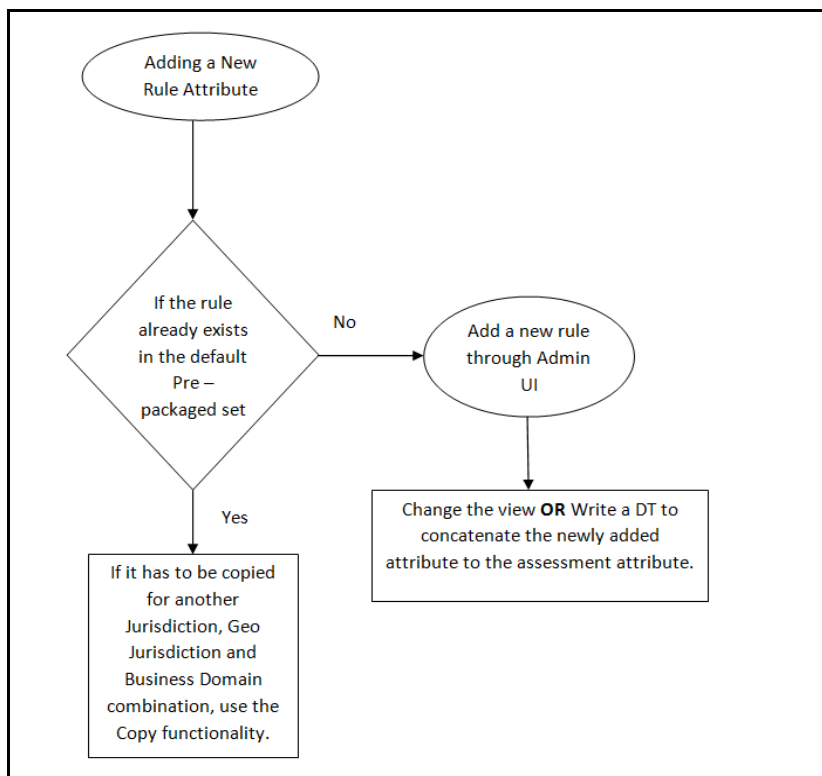


Figure 44. Workflow for Adding New Rule to Rule Group

This section explains the following topics:

- Adding a New Rule to the Rule Group Classification Indicia – Customer
- Adding a New Rule to the Rule Group Classification Indicia – Account
- Adding a New Rule to the Rule Group Classification Document Indicator
- Adding a New Rule to the Rule Group Classification FATCA – Indicator

### **Adding a New Rule to the Rule Group Classification Indicia – Customer**

To add a new rule to the Rule Group Classification Indicia – Customer, follow these steps:

1. Add a new rule attribute through the Admin UI. For more information, refer *Adding a New Rule through Admin UI*.
2. Change the corresponding FATCA Customer Assessment View to accommodate the newly added attribute.

OR

Write a Data Transformation (DT) to concatenate the newly added attribute to the FATCA Assessment attribute.

3. Add the newly created DT after Task 13 (Upd\_Cust\_FATCA\_Assessment\_Info) in the process flow. For more information, refer the *Adding a New Rule Through Data Transformation*.

To configure views or to create Data transformations, contact FCCM Product Support.

### **Adding a New Rule to the Rule Group Classification Indicia – Account**

To add a new rule to the Rule Group Classification Indicia – Account, follow these steps:

1. Add a new rule attribute through the Admin UI. For more information, refer *Adding a New Rule through Admin UI*.
2. Change the corresponding FATCA Account Assessment View to accommodate the newly added attribute

OR

Write a DT to concatenate the newly added attribute to the FATCA Assessment attribute.

3. Add the newly created DT after Task 14 (Upd\_Acct\_FATCA\_Assessment\_Info) in the process flow. For more information, refer the *Adding a New Rule Through Data Transformation*.

To configure views or to create Data transformations, contact FCCM Product Support.

### **Adding a New Rule to the Rule Group Classification Document Indicator**

To add a new rule to the Rule Group Classification Document Indicator, follow these steps:

1. Add a new rule attribute through the Admin UI. For more information, refer the *Adding a New Rule through Admin UI*.
2. Change the corresponding Customer Assessment View to accommodate the newly added attribute.

OR

Write a DT to concatenate the newly added attribute to the FATCA Assessment attribute.

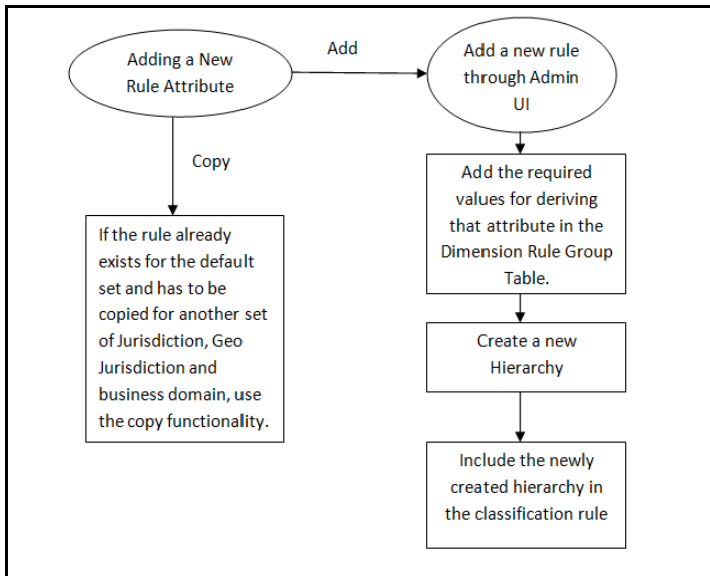
3. Add the newly created DT after Task 13 (Upd\_Cust\_FATCA\_Assessment\_Info) in the process flow. For more information, refer *Adding a New Rule Through Data Transformation*.

To configure views or to create Data transformations, contact FCCM Product Support.

**Note:** For a Data Transformation, a function has to be written to concatenate the newly added attribute to the assessment attribute. For more information, refer the *Adding a New Rule Through Data Transformation*.

### Adding a New Rule to the Rule Group Classification FATCA – Indicator

The following figure depicts the workflow for addition of the new rule.



**Figure 45. Workflow for Adding New Rule to Rule Group Classification FATCA Indicator**

To add a new rule to the Rule Group Classification **FATCA – Indicator**, follow these steps:

1. Add a new rule attribute through the Admin UI. For more information, refer *Adding a New Rule through Admin UI*.
2. Add the required values for deriving the attribute in the Dimension Rule Group table.

For Example:

**Table 17. Dimension Rule Group Table Example**

Domain Key	Rule Group Name	Rule Group Code	Rule Group Description
11	RG_Account_Net_Worth	Below Limit	Below Limit
14	RG_Cust_Type_CD	IND	Individual
18	RG_FATCA_Org_Type_CD	EXC NFFE	Excepted NFFE

**Note:** The above table is an example of the code set that is used for deriving the FATCA Status of Accounts/Customers. The same reference can be used for adding the required values for newly created attribute.

- **Domain Key:** It is a unique identifier for a rule group code.
- **Rule Group Name:** Rule Group Name for that particular attribute.
- **Rule Group Code:** It is a unique code for that particular rule group name.

- **Rule Group Description:** It is a rule group description given for the rule code.

3. Create an Alias on Dimension Rule Group table.
4. Modify the dataset ‘DS\_Upd\_Acct\_Fatca\_Status’ to accommodate the newly added hierarchy.
5. Create a new hierarchy for the newly added attribute. Refer *the Oracle Financial Services Analytical Applications Infrastructure User Manual* for steps to create a new hierarchy.

**Note:** The new hierarchy should be created on the Rule Group Code (V\_RULE\_GRP\_CD) column mentioned in the Table 17Dimension Rule Group Table Example.

6. Include the newly created hierarchy in the classification rules that a firm wants to change. For example, if the firm wants to add a new FATCA indicator to derive the US Person FATCA Status, then make changes only to that particular classification rule. For more information on adding a new hierarchy to an existing classification rule, refer to *Adding a New Hierarchy to an Existing Classification Rule*.

**Note:** The custom group column in the Fact FATCA Account Review Details table should be populated to process the newly added attribute.

## Adding a New Hierarchy to an Existing Classification Rule

To add a hierarchy to an existing classification rule, follow these steps:

1. Login to the OFSAAI UI as the FATCA Administrator.
2. Expand **Rules Framework** and click **Rule**.
3. Select a rule of type **Classification**.

Code	Name	Type	Folder	Dataset	Version	Active
<input type="checkbox"/>	Upd_Cust_Rltd_AttrFL	Computation	AMS623UT	DS_Upd_Cust_Rltd_AttrFL	0	Yes
<input type="checkbox"/>	Upd_Cust_Rltd_AttrFL_Existing	Computation	AMS623UT	DS_Upd_Cust_Rltd_AttrFL_Existi...	0	Yes
<input type="checkbox"/>	Upd_Cust_Rltd_Proc	Computation	AMS623UT	DS_Upd_Cust_Rltd_Proc	0	Yes
<input type="checkbox"/>	Upd_Status_NewExist_ActiveNFFE	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input checked="" type="checkbox"/>	Upd_Status_NewExist_CertDCFFI	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_NewExist_ExNFFE	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_NewExist_ExOwner	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_NewExist_NonPartFFI	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_NewExist_NonUSPer	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_NewExist_NonUSPersn	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_NewExist_OwnrFFI	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_NewExist_PartFFI	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_NewExist_PassivNFFE	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_NewExist_Recal	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_NewExist_RegDCFFI	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_NewExist_USPer	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_ActiveNFFE	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes
<input type="checkbox"/>	Upd_Status_PreExist_CDC	Classification	AMS623UT	DS_Upd_Acct_Fatca_Status	0	Yes

**Figure 46. Rule Definition**

4. Click **Edit**. The Rule Definition (Edit Mode) page is displayed.

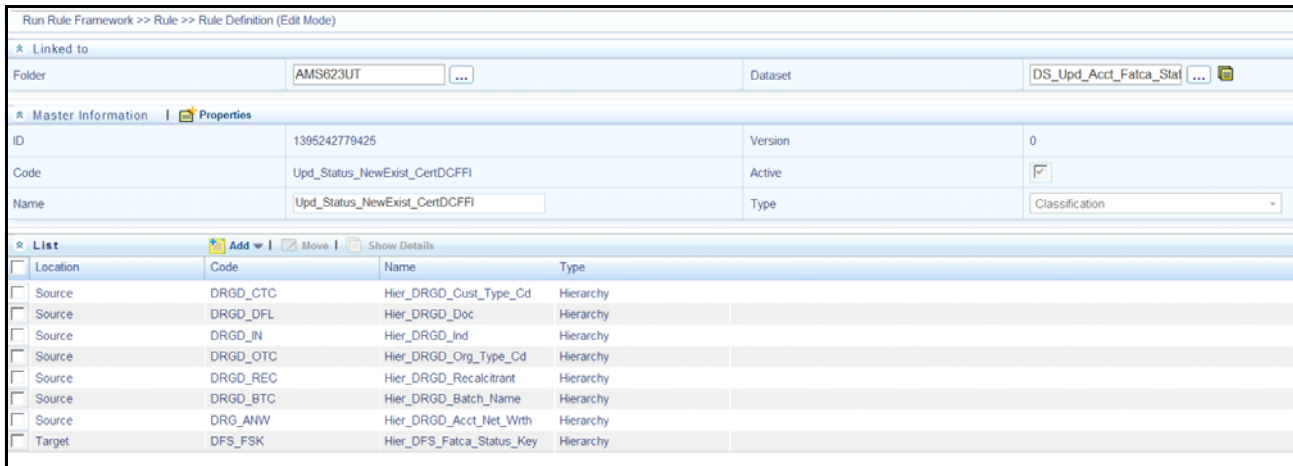


Figure 47. Rule Definition (Edit Mode)

- Click **Source** from the Add drop-down list.

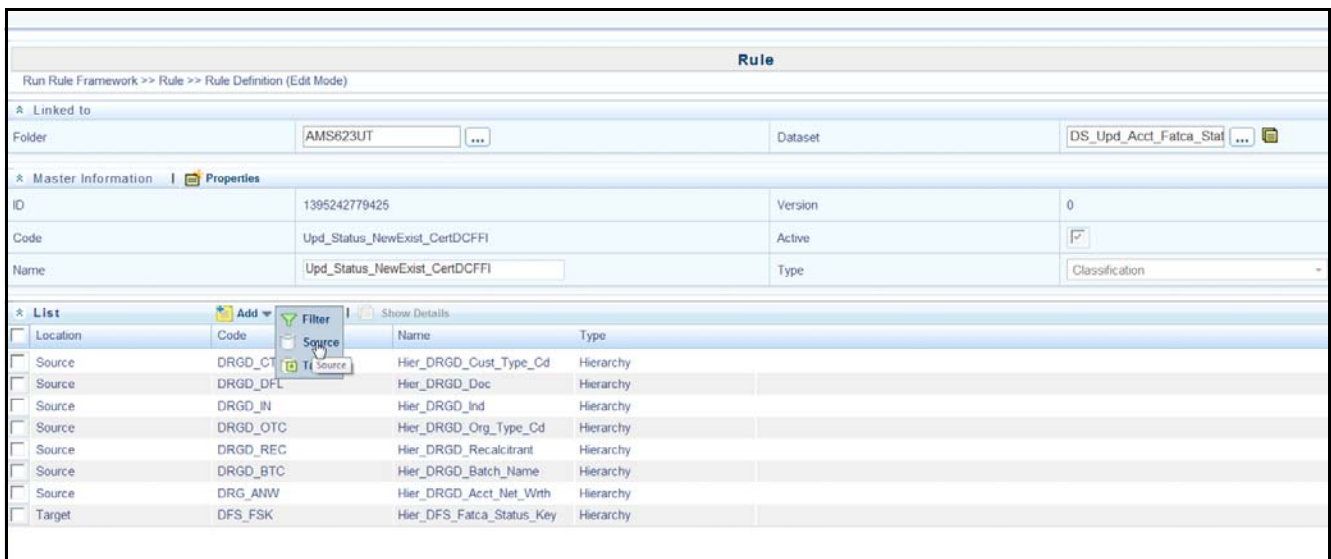

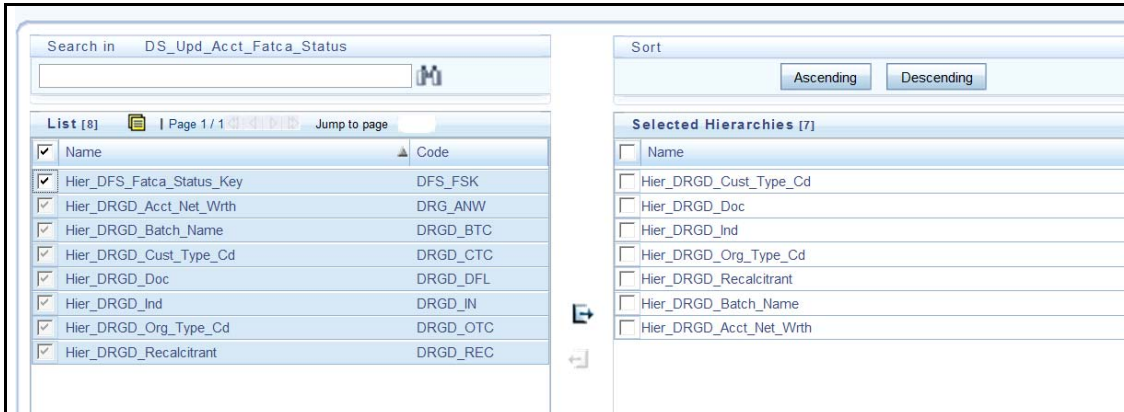


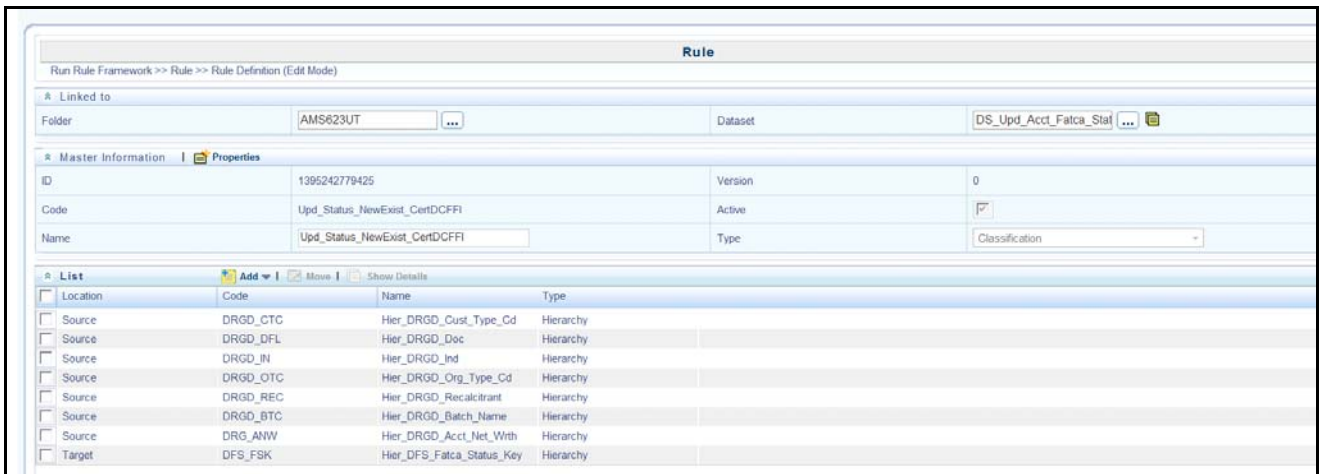
Figure 48. Rule Definition (Edit Mode)

- Select the checkbox corresponding to the hierarchy that you have added. Using , map the available hierarchy from the LHS to the RHS and click **OK**.



**Figure 49. Hierarchy Browser**

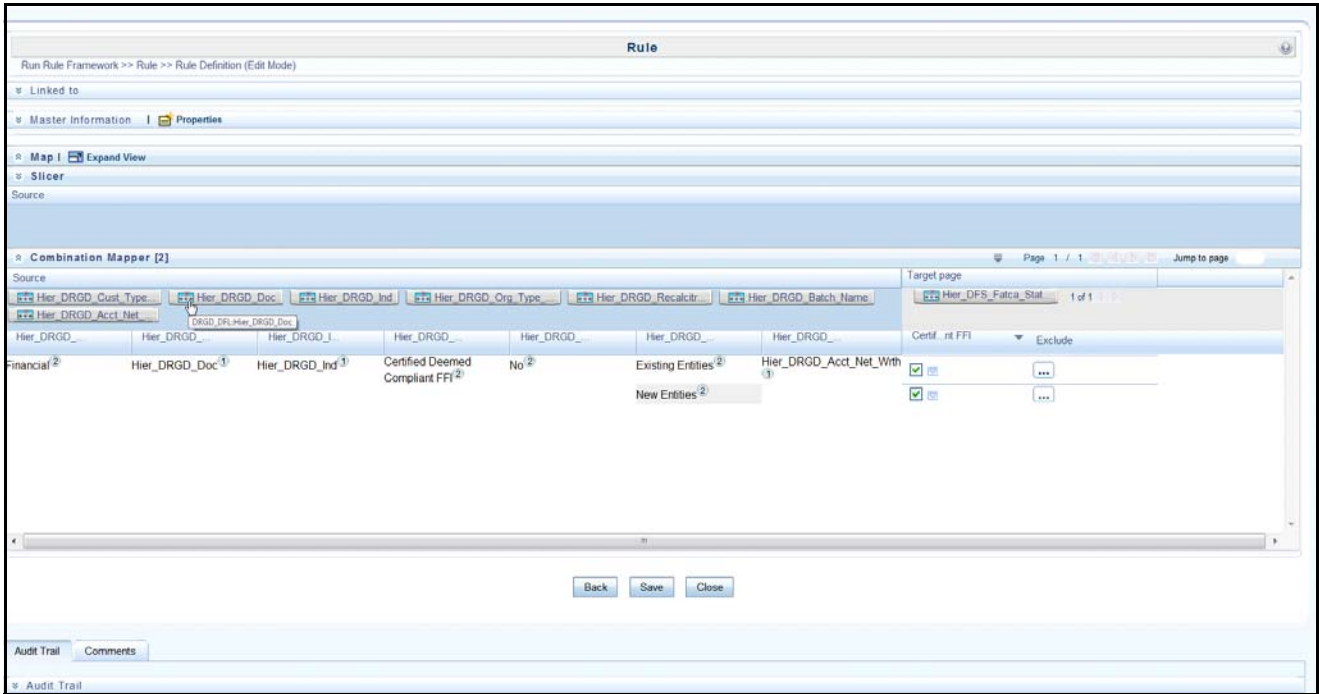
7. Click OK.




**Figure 50. Rule Definition (Edit Mode)**

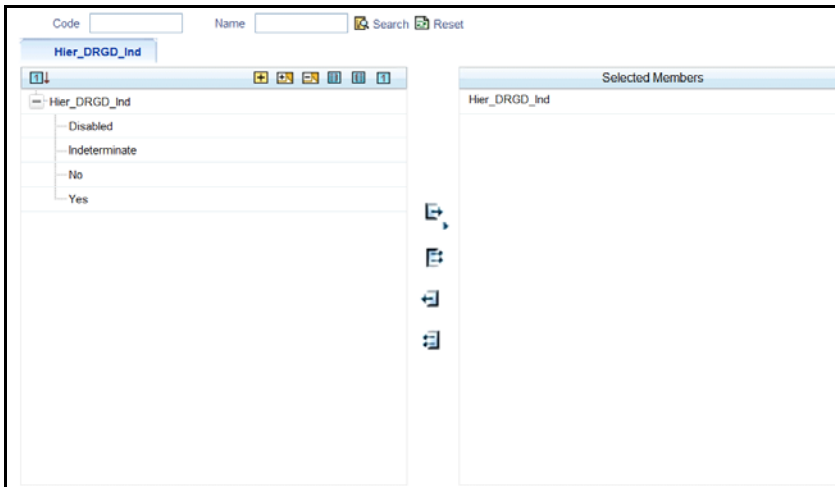


8. Click **Next**.



**Figure 51. Rule Definition (Edit Mode) - save**

9. Under the Combination Mapper, under Source, click  adjacent to the newly added hierarchy.
10. Click on the + Sign to expand the hierarchy.



**Figure 52. Hierarchy browser**

11. Select the values that you want to map from the left hand side and click **OK**.
12. Under the Combination Mapper, under Target, select all the checkboxes that appear under the target hierarchy Hier\_DFS\_FATCA\_Status\_Key.

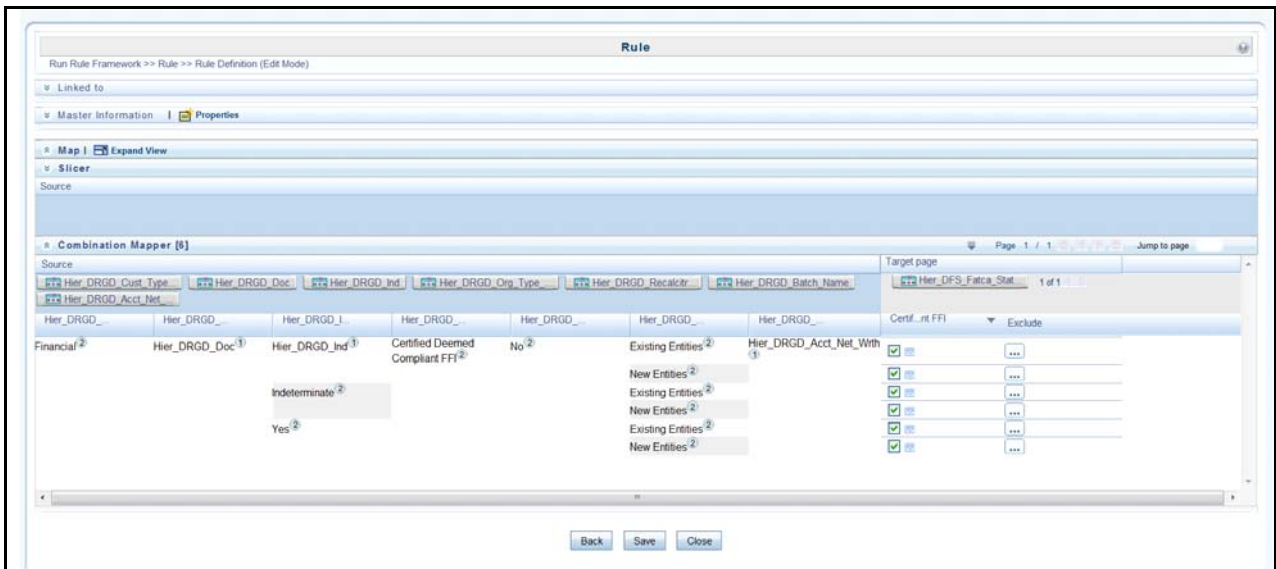


Figure 53. Rule Definition (Edit Mode) - Save

**Note:** If the number of mappings are more, then you must navigate to the next page also and select all the checkboxes.

13. Click **Save**. The following message is displayed: *Do you want to save this rule as a new version.*
14. Click **No**. The following message is displayed.



Figure 54. Confirmation window

15. Click **Close**.

## Adding a New Rule through Admin UI

To add a new rule, follow these steps:

1. Login to OFSAAI as a FATCA Supervisor.
2. From the Administration menu, hover over **FATCA Configuration** and click **Rules Configuration**. The Rules Configuration page is displayed.

Jurisdiction	Geographic Jurisdiction	Business Domain	Rule Group Classification	Rule Group	Rule Name	Rule Operand	Rule Value	Status	Modified By
DEFAULT	Default	DEFAULT	Fatca - Indicators	Account Average Net ...	Account Agg Net Worth - En...	Range Nu...	Lower Limit-250000 & Upp...	Enable	--
DEFAULT	Default	DEFAULT	Fatca - Indicators	Account Average Net ...	Account Agg Net Worth - Ind...	Range Nu...	Lower Limit-50000 & Upper...	Enable	--
DEFAULT	Default	DEFAULT	Fatca - Indicators	Customer Type	Customer Type Code	--	--	Enable	--
DEFAULT	Default	DEFAULT	Document Indicator	Document Indicator	Non US Citizen and Reside...	Equal To	Y	Enable	--
DEFAULT	Default	DEFAULT	Document Indicator	Document Indicator	Non US Document Holder In...	Equal To	Y	Enable	--
DEFAULT	Default	DEFAULT	Document Indicator	Document Indicator	Certificate of Loss of Nation...	Equal To	Y	Enable	--
DEFAULT	Default	DEFAULT	Document Indicator	Document Indicator	Entity Government Docume...	Equal To	Y	Enable	--
DEFAULT	Default	DEFAULT	Document Indicator	Document Indicator	Third Party Credit Report In...	Equal To	Y	Enable	--
DEFAULT	Default	DEFAULT	Document Indicator	Document Indicator	Certificate of Foreign Tax R...	Equal To	Y	Enable	--
DEFAULT	Default	DEFAULT	Fatca - Indicators	FATCA Organization ...	FATCA Organization Type ...	--	--	Enable	--
DEFAULT	Default	DEFAULT	Indicia - Account	Indicia Account	Standing Instructions to US ...	Equal To	Y	Enable	--
DEFAULT	Default	DEFAULT	Indicia - Account	Indicia Account	US POA or Signatory Indicator	Equal To	Y	Enable	--
DEFAULT	Default	DEFAULT	Indicia - Account	Indicia Account	Country Code of Address	Equal To	US	Enable	--
DEFAULT	Default	DEFAULT	Indicia - Account	Indicia Account	Country of Phone Number	Equal To	US	Enable	--
DEFAULT	Default	DEFAULT	Indicia - Account	Indicia Account	Mail Handling Instruction	in	HJ	Enable	--
DEFAULT	Default	DEFAULT	Indicia - Customer	Indicia Customer Entity	Country of Mail Address	Equal To	US	Enable	--
DEFAULT	Default	DEFAULT	Indicia - Customer	Indicia Customer Entity	Country of Home Address	Equal To	US	Enable	--

Figure 55. Rules Configuration page

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

Figure 56. Add Rules window

4. Select Jurisdiction from the drop-down list.
5. Select Geographic Jurisdiction from the drop-down list.
6. Select Business Domain from the drop-down list.
7. Select Rule Group Classification from the drop-down list.

**Note:** Following are the possible options for Rule Group Classification:

- a. Indicia - Customer
  - b. Indicia - Account
  - c. Document Indicator
  - d. FATCA - Indicator
8. Select an appropriate Rule Group.

**Note:** If the Rule Group Classification is selected as Indicia - Customer, Indicia - Account, or Document Indicator then the Rule Group appears as a drop-down list and if the Rule Group Classification is selected FATCA - Indicator then the Rule Group appears as a text box.

If the Rule Group Classification is selected as Indicia – Customer then the allowed values for Rule Group are Indicia\_Indicator\_Cust\_ENT and Indicia\_Indicator\_Cust\_IND.

If the Rule Group Classification is selected as Indicia – Account then the allowed value for Rule Group is Indicia\_Indicator\_Acct.

If the Rule Group Classification is selected as Document Indicator then the allowed value for Rule Group is Document\_Indicator.

9. Enter an appropriate name for **Rule Name**.
10. Select the status as depending on whether your firm wants to enable or disable a rule.

**Note:** Enabling a rule indicates that the rule will be considered for FATCA Assessment and disabling a rule indicates that the rule will not be considered for FATCA Assessment.

11. Select an Operand from the drop-down list.

**Note:** Following are the possible options:

- a. Actual Value
- b. Equal to
- c. Not Equal to
- d. Range Number Between
- e. Range Date Between

Following are the steps to be followed after selection of an operand:

- If you select Actual Value, Equal to, and Not Equal to operand, the Rule Value text field is enabled. Enter an appropriate value in this field.
- If you select Range Number Between operand the Rule Value Lower Limit and Rule Value Upper Limit text fields are enabled. These are number fields used to give the number ranges for that operand.
- If you select Range Date Between operand the Rule Date and Rule Date to fields are enabled. These fields are used to enter the date range for that operand.

12. Click **Save**.

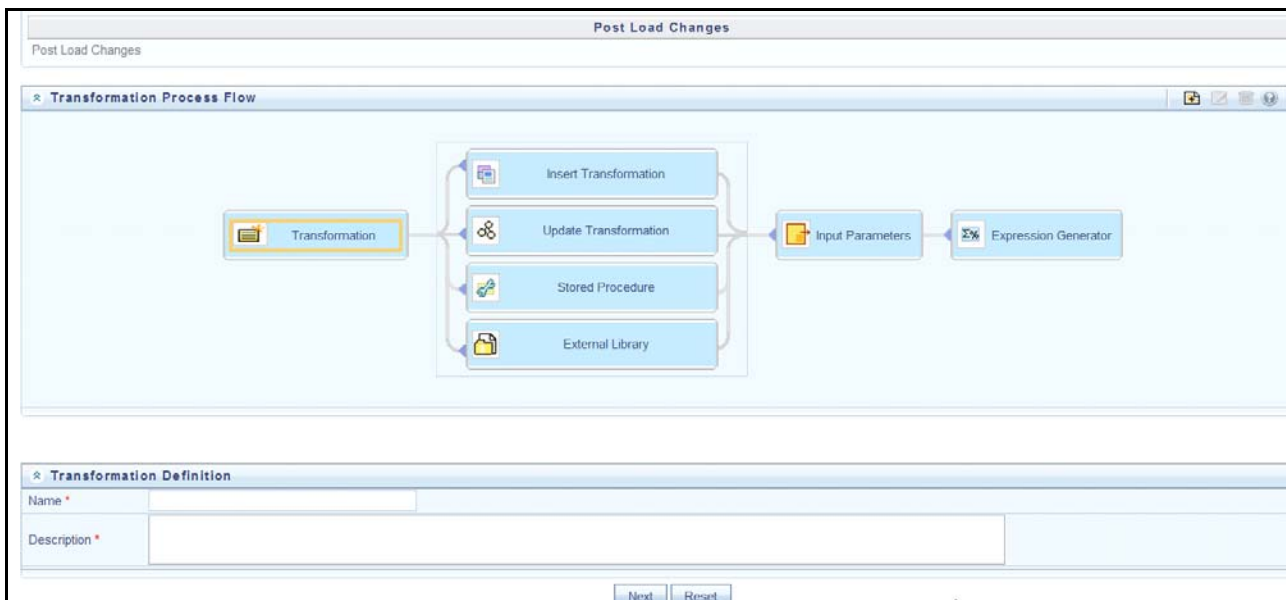
**Note:** Jurisdiction, Geographic Jurisdiction, Business Domain, Rule Group Classification, Rule Name, and Status are mandatory fields. Any new rule attribute that is added will have a rule key starting from 200 and the maximum value of the rule key is 9999.

## Adding a New Rule Through Data Transformation

Data transformation is a feature of OFSAAI wherein, a function or a procedure can be used for processing the application data.

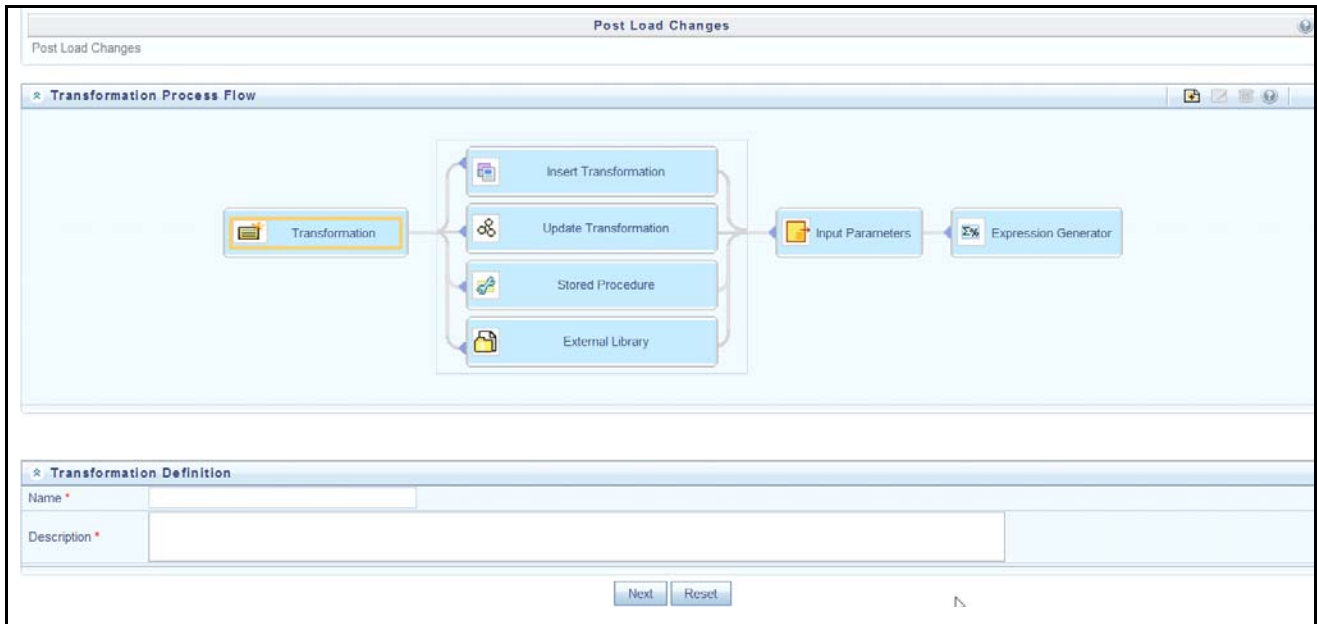
To create a new DT, follow these steps:

1. Login to the OFSAAI UI as a FATCA Administrator.
2. Expand **Unified Metadata Manager**, click **Data Management tools**.
3. Click **Post Load Changes**.




**Figure 57. Post Load Changes**

4. Give a name and description for the transformation and click **Next**.
5. Click on **Stored Procedure** and write the function in the **Stored Procedure Editor** area.



**Figure 58. Transformation Process Flow**

6. Include all the parameters that are used for function under Parameter Definition.

**Note:** (In addition to the function parameters, add default parameters like RUNID, Fic\_Mis\_Date, PHID, EXEID, RUNSK, and V\_Batch\_Id). Click  to add rows for including parameters.

The screenshot shows three stacked configuration panels:

- Parameter Definition:** A table with columns for Parameter Name, Data Type, and Default Value.
- Stored Procedure Editor:** A section with a File Path input field and a Browse... button.
- Business Process Flow:** A section with an Upload Status field (set to No), a File Path input field with a Browse... button, and a file format specification (.jpg, .png, .gif, .vsd). At the bottom are Finish and Reset buttons.

**Figure 59. Parameters Definition**

7. Click **Finish**. The following message is displayed: *Operation Successful*.

For more information, refer to the *Oracle Financial Services Analytical Applications Infrastructure User Manual*.

**Note:**

- a. If a new rule attribute is added to the rule group Indicia – Customer then function should update the Assessment String (concatenate the newly added rule attribute with the existing assessment string) in Fact FATCA Customer Review Details table.
- b. If a new rule attribute is added to the rule group Indicia – Account then function should update the Assessment String (concatenate the newly added rule attribute with the existing assessment string) in Fact FATCA Account Review Details table.
- c. If a new rule attribute is added to the rule group Document Indicator, then function should update the Assessment String (concatenate the newly added rule attribute with the existing assessment string) in Fact FATCA Customer Review Details table.

**For Example:** If a new rule attribute(Currency Code) is added with a rule key R221 and the existing assessment string for a customer C1 is as follows:

R1-OM#R2-NI#R3-RO#R4-PA#R5-NULL#R6-NULL#R7-NULL#R8-NULL#R19-N#R20-N#R21-N#R22-Y#R23-N#R24-N, then after concatenating the new assessment string will be as follows :

R1-OM#R2-NI#R3-RO#R4-PA#R5-NULL#R6-NULL#R7-NULL#R8-NULL#R19-N#R20-N#R21-N#R22-Y#R23-N#R24-N#R221- <Base\_Table.Rule\_Actual\_Value>



# FATCA Batch Processing Task List

The following table defines all the tasks executed in a FATCA processing batch to derive a FATCA status for an account or a customer:

**Table 18: FACTA Batch Processing Task List**

Task No.	Process Name	Sub-Process Name	Task Name	Task Description
1	FATCA_PreProcessing_Step1		SOD_Upd_Process	<ol style="list-style-type: none"> <li>1. Update FCT_FATCA_ACCT_R VW_DTLS for F_FATCA_PRCNSG_FL = 'N' for 'Y'</li> <li>2. Update FCT_FATCA_CUST_R VW_DTLS for F_FATCA_PRCNSG_FL = 'N' for 'Y'</li> <li>3. Update FCT_FATCA_CUST_R VW_DTLS for V_CUST_ATTR_PRCNSG_FL = 'N' for 'Y'</li> <li>4. Update FCT_FATCA_ASSESSMENTS for F_FATCA_PRCNSG_FL = 'N' for 'Y'</li> </ol>
2			Populate_FATCA_Cust_RvwDtls	<ol style="list-style-type: none"> <li>1. Insert Customers along with other attributes.</li> <li>2. Filter: Not Exists</li> </ol>
3			Populate_FATCA_Acct_RvwDtls	<ol style="list-style-type: none"> <li>1. Insert Accounts along with other attributes.</li> <li>2. Filter: Not Exists</li> </ol>

Table 18: FACTA Batch Processing Task List

4	FATCA_PreProcessing_Step2		Upd_Acct_Proc_PreExisting	<ol style="list-style-type: none"> <li>1. Updates the F_FATCA_PRCNSG_FL &amp; V_FATCA_BATCH_NM (PreExisting)</li> <li>2. Filter: V_PARAM_CD = 'Proc_Dtls_PreExisitng' &amp; F_PARAM_ENBL_FL = 'Y' &amp; D_ACCT_OPEN_DT in Range</li> </ol>
5			Upd_Acct_Proc_New	<ol style="list-style-type: none"> <li>1. Updates the F_FATCA_PRCNSG_FL &amp; V_FATCA_BATCH_NM (New)</li> <li>2. Filter: V_PARAM_CD = 'Proc_Dtls_New' &amp; F_PARAM_ENBL_FL = 'Y' &amp; D_ACCT_OPEN_DT &gt; Last Batch Date</li> </ol>
6			Upd_Acct_Proc_Existing	<ol style="list-style-type: none"> <li>1. Updates the F_FATCA_PRCNSG_FL &amp; V_FATCA_BATCH_NM (Existing)</li> <li>2. Filter: V_PARAM_CD = 'Proc_Dtls_Exisitng' &amp; F_PARAM_ENBL_FL = 'Y' &amp; CHG_DT &gt; Last Batch Date &amp; Count &gt; 0</li> </ol>
			FATCA_Exempt_Updt	<ol style="list-style-type: none"> <li>1. Updates the F_FATCA_PRCNSG_FL &amp; V_FATCA_BATCH_NM (Exempt)</li> <li>2. Filter: V_PARAM_CD = 'Proc_Dtls_Exempt' &amp; F_PARAM_ENBL_FL = 'Y'</li> </ol>
7			Upd_Cust_Rltd_Proc	<ol style="list-style-type: none"> <li>1. Updates the F_FATCA_PRCNSG_FL &amp; V_FATCA_BATCH_NM (Max) &amp; F_CUST_ATTR_PRCSNG_FL</li> <li>2. Filter: V_PARAM_CD = 'Rltnshp_Params' &amp; F_PARAM_ENBL_FL = 'Y' &amp; Role_Cd</li> </ol>

Table 18: FACTA Batch Processing Task List

8			Upd_Cust_Proc_Existing	<ol style="list-style-type: none"> <li>1. Updates the F_FATCA_PRCNSG_FL &amp; V_FATCA_BATCH_NM (Existing) &amp; F_CUST_ATTR_PRCNSG_FL</li> <li>2. Filter: V_PARAM_CD = 'Proc_Dtls_PreExisitng' &amp; F_PARAM_ENBL_FL = 'Y' &amp; CHG_DT &gt; Last Batch Date &amp; Count &gt; 0</li> </ol>
9			Upd_Acct_Rltd_Proc_Existing	<ol style="list-style-type: none"> <li>1. Updates the F_FATCA_PRCNSG_FL &amp; V_FATCA_BATCH_NM (Existing)</li> <li>2. Filter: V_PARAM_CD = 'Rltnshp_Params' &amp; F_PARAM_ENBL_FL = 'Y' &amp; Role_Cd</li> </ol>
10			Upd_Cust_Rltd_AttrFL_Existing	<ol style="list-style-type: none"> <li>1. Updates the F_CUST_ATTR_PRCNSG_FL as 'Y'</li> <li>2. Filter: V_CUST_ATTR_PRCNSG_FL &lt;&gt; 'Y'</li> </ol>
11	FATCA_PreProcessing_Step3		Populate_Cust_Entity_Relationship	<ol style="list-style-type: none"> <li>1. Insert customer to customer relationships (Entities)</li> <li>2. Filter: <ul style="list-style-type: none"> <li>● CUST_TYPE_CD &lt;&gt; 'IND'</li> <li>● F_FATCA_PRCNSG_FL = 'Y'</li> </ul> </li> </ol>
12			Upd_Cust_Rltd_AttrFL	<ol style="list-style-type: none"> <li>1. 1) Updates the F_CUST_ATTR_PRCNSG_FL as 'Y'</li> <li>2. Filter: V_CUST_ATTR_PRCNSG_FL &lt;&gt; 'Y'</li> </ol>

Table 18: FACTA Batch Processing Task List

13	Collate_FATCA_Assessment_Info		Upd_Cust_FATCA_Assessment_Info	<ol style="list-style-type: none"> <li>1) Updates the V_FATCA_CUST_ASS ESS_ATTR, F_RG_RECALCITRAN T_FL, V_RG_FATCA_ORG_T YPE_CD, V_RG_CUST_TYPE_C D</li> <li>2. Filter: F_CUST_ATTR_PRC S NG_FL = 'Y'</li> </ol>
14			Upd_Acct_FATCA_Assessment_Info	<ol style="list-style-type: none"> <li>1. Updates the V_FATCA_ACCT_ASS ESS_ATTR, F_RG_RECALCITRAN T_FL, N_ACCT_AGG_PRIOR _NET_WRTH_ORIG, V_RG_PRMRY_CUST _TYPE_CD, V_RG_FATCA_ORG_T YPE_CD</li> <li>2. Filter: F_FATCA_PRCNSG_F L = 'Y' (Acct_Rvw_Dtls)</li> </ol>
15			Upd_Acct_Owner_Type_Info	<ol style="list-style-type: none"> <li>1. Updates the V_RG_PRMRY_CUST _TYPE_CD based on multiple owners (Cust Types) &amp; V_RG_FATCA_ORG_T YPE_CD based on multiple ORG types</li> <li>2. Filter: F_FATCA_PRCNSG_F L = 'Y' (Acct_Rvw_Dtls)</li> </ol>

Table 18: FACTA Batch Processing Task List

16	Cust_Indicia_Check		Upd_Cust_IND_IndiciaPass1	<ol style="list-style-type: none"> <li>1. Updates the F_Indicia_P1_FI</li> <li>2. Filter: <ul style="list-style-type: none"> <li>● V_RG_CUST_-TYPE_CD = 'IND'</li> <li>● F_CUST_AT-TR_PRCNSG_FL = 'Y'</li> </ul> </li> </ol>
17			Upd_Cust_Entity_IndiciaPass1	<ol style="list-style-type: none"> <li>1. Updates the F_Indicia_P1_FI</li> <li>2. Filter: <ul style="list-style-type: none"> <li>● V_RG_CUST_-TYPE_CD &lt;&gt; 'IND'</li> <li>● F_CUST_AT-TR_PRCNSG_FL = 'Y'</li> </ul> </li> </ol>
18			Upd_Cust_Entity_IndiciaPass2	<ol style="list-style-type: none"> <li>1. Updates the Indicia_P2_FI</li> <li>2. Filter: <ul style="list-style-type: none"> <li>● Type = Non-IND</li> <li>● Indicia_P1_FI = 'N'</li> <li>● F_CUST_AT-TR_PRCNSG_FL = 'Y'</li> </ul> </li> </ol>
19			Upd_Cust_Overall_Indicia	<ol style="list-style-type: none"> <li>1. Updates the F_RG_OVERALL_INDICIA_FL</li> <li>2. Filter: <ul style="list-style-type: none"> <li>● F_FATCA_PRCNSG_FL = 'Y'</li> </ul> </li> </ol>
20	Cust_Doc_Check		Upd_Cust_DocIndicator	<ol style="list-style-type: none"> <li>1. Updates the F_RG_DOC_FL</li> <li>2. Filter: <ul style="list-style-type: none"> <li>● F_FATCA_PRCNSG_FL = 'Y'</li> </ul> </li> </ol>

Table 18: FACTA Batch Processing Task List

21	Acct_Indicia_Check		Upd_Acct_IndiciaPass1	<ol style="list-style-type: none"> <li>1. Updates the F_INDICIA_P1_FL</li> <li>2. Filter: F_FATCA_PRCNSG_FL = 'Y'</li> </ol>
22			Upd_Acct_IndiciaPass2	<ol style="list-style-type: none"> <li>1. Updates the F_Indicia_P2_FI</li> <li>2. Filter: <ul style="list-style-type: none"> <li>● F_Indicia_P1_FI = 'N'</li> <li>● F_FATCA_PRCNSG_FL = 'Y' (Acct_Rvw_Dtls)</li> </ul> </li> </ol>
23			Upd_Acct_Overall_Indicia	<ol style="list-style-type: none"> <li>1. Updates the F_OverAll_Indicia_FL</li> <li>2. Filter: F_FATCA_PRCNSG_FL = 'Y'</li> </ol>
24	Acct_Doc_check		Upd_Acct_DocIndicator	<ol style="list-style-type: none"> <li>1. Updates the F_RG_Doc_FL</li> <li>2. Filter: F_FATCA_PRCNSG_FL = 'Y' (Acct_Rvw_Dtls)</li> </ol>
25	Acct_AggNetWorth		Upd_Acct_AggNetWorth	<ol style="list-style-type: none"> <li>1. Updates the RG_Acct_Agg_Prior_Net_Wrth_Cal</li> <li>2. Filter: F_FATCA_PRCNSG_FL = 'Y'</li> </ol>

Table 18: FACTA Batch Processing Task List

26	Acct_FATCA_Status	Upd_Sta- tus_NewExist	Upd_Status_NewExist_USPer	1. Updates the N_FATCA_STATUS_KE Y  2. Filter: F_FATCA_PRCNSG_F L = 'Y'	
27			Upd_Status_NewExist_NonUSPer		
28			Upd_Status_NewExist_NonUSPersn		
29			Upd_Status_NewExist_Recal		
30			Upd_Status_NewExist_ExNFFE		
31			Upd_Status_NewExist_ActiveNFFE		
32			Upd_Status_NewExist_PassivNFFE		
33			Upd_Status_NewExist_PartFFI		
34			Upd_Status_NewExist_RegDCFFI		
35			Upd_Status_NewExist_NonPartFFI		
36			Upd_Status_NewExist_ExOwner		
37			Upd_Status_NewExist_CertDCFFI		
38			Upd_Status_NewExist_OwnrFFI		
39			Upd_Sta- tus_PreExist		Upd_Status_PreExist_Exempt
40		Upd_Status_PreExist_Exmpt			
41		Upd_Status_PreExist_USPerson			
42		Upd_Status_PreExist_NUSP_Ind1			
43		Upd_Status_PreExist_NUSP_Ind2			
44		Upd_Status_PreExist_USP_Ent			
45		Upd_Status_PreExist_NUSP_Ent1			
46		Upd_Status_PreExist_NUSP_Ent2			
47		Upd_Status_PreExist_USP_All			
48		Upd_Status_PreExist_NUSP_All1			
49		Upd_Status_PreExist_NUSP_All2			
50		Upd_Status_PreExist_ExceptNFFE			
51		Upd_Status_PreExist_PassveNFFE			
52		Upd_Status_PreExist_ActiveNFFE			
53		Upd_Status_PreExist_ParticipFFI			
54		Upd_Status_PreExist_RDCFFI			
55		Upd_Status_PreExist_NPFFI			
56		Upd_Status_PreExist_EBO			
57		Upd_Status_PreExist_CDC			
58		Upd_Status_PreExist_ODFFI			
59		Upd_Status_PreExist_Recal_Ind			
60		Upd_Status_PreExist_Recal_Ent			
61		Upd_Status_PreExist_Recal_All			
62				Upd_Status_Exempt_Exempt	
63			Upd_Status_Exempt_Exmpt		
64			Upd_Status_Exempt_USPerson		
65			Upd_Status_Exempt_NUSP_Ind1		

Table 18: FACTA Batch Processing Task List

66			Upd_Status_Exempt_NUSP_Ind2	1. Updates the N_FATCA_STATUS_KEY 2. Filter: F_FATCA_PRCNSG_FL = 'Y'	
67			Upd_Status_Exempt_USP_Ent		
68			Upd_Status_Exempt_NUSP_Ent1		
69			Upd_Status_Exempt_NUSP_Ent2		
70			Upd_Status_Exempt_USP_All		
71			Upd_Status_Exempt_NUSP_All1		
72			Upd_Status_Exempt_NUSP_All2		
73		Upd_Status_Exempt	Upd_Status_Exempt_ExceptNFFE		
74			Upd_Status_Exempt_PassveNFFE		
75			Upd_Status_Exempt_ActiveNFFE		
76			Upd_Status_Exempt_ParticipFFI		
77			Upd_Status_Exempt_RDCFFI		
78			Upd_Status_Exempt_NPFFI		
79			Upd_Status_Exempt_EBO		
80			Upd_Status_Exempt_CDC		
81			Upd_Status_Exempt_ODFFI		
82			Upd_Status_Exempt_Recal_Ind		
83			Upd_Status_Exempt_Recal_Ent		
84			Upd_Status_Exempt_Recal_All		
85	Acct_FATCA_Status_Indeter			Upd_Acct_FATCA_Status_Indeter	1. Updates the N_FATCA_STATUS_KEY as Indeterminate 2. Filter: F_FATCA_PRCNSG_FL = 'Y' & N_FATCA_STATUS_KEY = NULL
86	Cust_FATCA_Status			Upd_Cust_FATCA_Status	1. Updates the N_FATCA_STATUS_KEY 2. Filter: F_FATCA_PRCNSG_FL = 'Y'



Table 18: FACTA Batch Processing Task List

87	Assessment_creation		Populate_FATCA_Assessments_Acct	<ol style="list-style-type: none"> <li>1. Insert records</li> <li>2. Filter: F_FATCA_PRCNSG_FL = 'Y'</li> </ol>
88			Populate_FATCA_Assessments_Cust	<ol style="list-style-type: none"> <li>1. Insert records</li> <li>2. Filter: F_FATCA_PRCNSG_FL = 'Y'</li> </ol>
89			Populate_FATCA_Assessment_Acct_Owners	<ol style="list-style-type: none"> <li>1. Insert records</li> <li>2. Filter: on FCT_FATCA_ASSESSMENTS table <ul style="list-style-type: none"> <li>● F_FATCA_PRCNSG_FL = 'Y'</li> <li>● V_ENTITY_TYPE = 'Account'</li> </ul> </li> </ol>
90			Populate_FATCA_Assessment_Rltd_Accts	<ol style="list-style-type: none"> <li>1. Insert records</li> <li>2. Filter: on FCT_FATCA_ASSESSMENTS table <ul style="list-style-type: none"> <li>● F_FATCA_PRCNSG_FL = 'Y'</li> <li>● V_ENTITY_TYPE = 'Customer'</li> </ul> </li> </ol>
91			Populate_FATCA_Assessment_Cust_Ownership	<ol style="list-style-type: none"> <li>1. Insert records</li> <li>2. Filter: on FCT_FATCA_ASSESSMENTS table <ul style="list-style-type: none"> <li>● F_FATCA_PRCNSG_FL = 'Y'</li> <li>● V_ENTITY_TYPE = 'Customer'</li> </ul> </li> </ol>
92			Populate_FATCA_Assessment_Rule_Dtls	<ol style="list-style-type: none"> <li>1. 1) Insert records</li> <li>2. Filter: F_FATCA_PRCNSG_FL = 'Y'</li> </ol>
93			Populate_FATCA_Assessment_Rule_Dtls_Cust_Owners	<ol style="list-style-type: none"> <li>1. Insert records</li> <li>2. Filter: on FCT_FATCA_ASSESSMENTS table <ul style="list-style-type: none"> <li>● F_FATCA_PRCNSG_FL = 'Y'</li> <li>● V_ENTITY_TYPE = 'Account'</li> <li>● V_RULE_GRP_NM = 'RG_Document_Indicator'</li> </ul> </li> </ol>

Table 18: FACTA Batch Processing Task List

94			FATCA_Promote_To_Case	Inserts records into Case Management tables for all the assessments where F_FATCA_PRCNSG_FL = 'Y' and F_Promote_To_Case_FL = 'Y' (in DIM_FATCA_STATUS) for the assessment's FATCA status.
95			PTC_Auto_Case_Assignment	Shell Script to populate Owner/Assigner/Owner Org columns in KDD_CASES table
96	EOD_FATCA_Updates		EOD_Upd_Process	<ol style="list-style-type: none"> <li>1. Update FCT_FATCA_SETUP_PARAMS with latest Batch/Proc Date</li> <li>2. Update FCT_FATCA_ACCT_R VW_DTLS for F_FATCA_PRCNSG_FL = 'N' for 'Y'</li> <li>3. Update FCT_FATCA_CUST_R VW_DTLS for F_FATCA_PRCNSG_FL = 'N' for 'Y'</li> <li>4. Update FCT_FATCA_CUST_R VW_DTLS for V_CUST_ATTR_PRCNSG_FL = 'N' for 'Y'</li> <li>5. Update FCT_FATCA_ASSESSMENTS for D_ASSESSMENT_DT latest Batch/Proc Date</li> <li>6. Update FCT_FATCA_ASSESSMENTS for F_FATCA_PRCNSG_FL = 'N' for 'Y'</li> <li>7. Truncate Table FCT_FATCA_CUST_CUST_RLTNSHP</li> </ol>



