

Oracle Financial Services  
FATCA Regulatory Reporting  
**User Guide**

*Release 8.0.7.0.0*  
*December 2018*





# Oracle Financial Services FATCA Regulatory Reporting

*Release 8.0.7.0.0  
December 2018*

Part Number: F12998-01

Oracle Financial Services Software, Inc.  
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First Edition (December 2018)  
Part No: F12998-01

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# Revision History

The following table describes the revision history of the OFS FATCA Regulatory Reporting User Guide.

**Table 1. Revision History**

Date	Edition	Description
December 2018	First edition of 8.0.7.0.0	Removed Creating Reports from Case Search Page section in <a href="#">Chapter 3, Managing OFS FATCA Regulatory Reporting</a> .



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# *About this Guide*

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

This chapter discusses the following topics:

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

## ***Who Should Use this Guide***

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

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

## How this Guide is Organized

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

- Chapter 1, *About OFS FATCA Regulatory Reporting*, provides an overview of the OFS FATCA Regulatory Reporting application.
- Chapter 2, *Getting Started*, explains the steps to login to the OFS FATCA Regulatory Reporting application and provides a brief overview of the various users and their roles in the application.
- Chapter 3, *Managing OFS FATCA Regulatory Reporting*, explains the workflow of FATCA reports.

## Where to Find More Information

For additional information about OFS FATCA Regulatory Reporting, refer to the following documents on [OTN](#):

- *OFS FATCA Administration and Configuration Guide*
- *OFS FATCA RR Administration and Configuration Guide*
- *OFS FATCA RR Data Model Reference Guide*

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
Asterisk*	Indicates mandatory fields in the UI

# *About OFS FATCA Regulatory Reporting*

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

## ***Introduction to OFS FATCA Regulatory Reporting***

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

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

The OFS FATCA Regulatory Reporting application focuses on reporting:

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

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

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

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





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

This chapter explains the following topics:

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

## ***User Roles***

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

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

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

## **User Access**

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

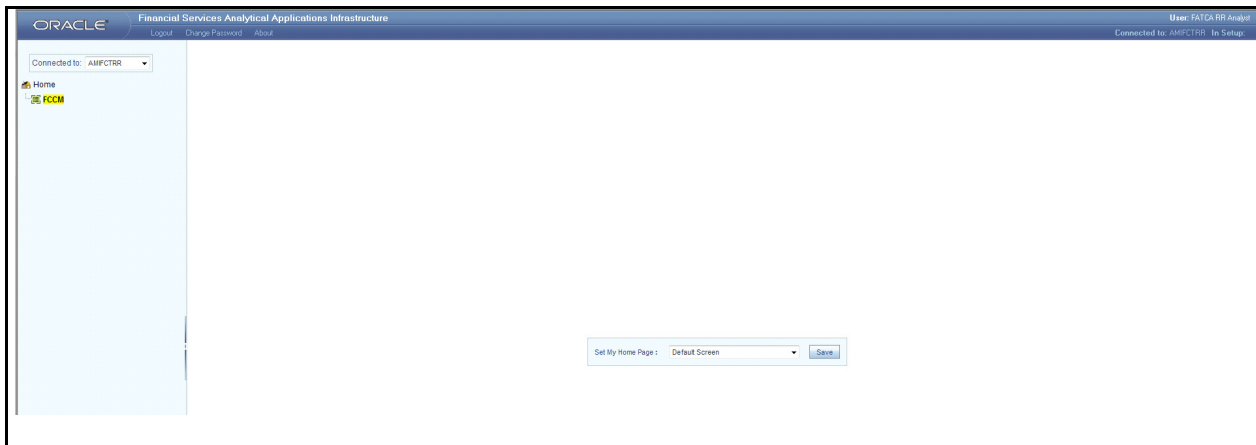
**Table 2. User Roles and Actions**

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

## Logging in to OFS FATCA Regulatory Reporting

To access OFS FATCA Regulatory Reporting, follow these steps:

1. Go to the **OFSAAI** Login page.
2. Select the **Language**.
3. Enter your **User ID**.
4. Enter your **Password**.
5. Click **Login**. The Oracle Financial Services Analytical Applications Infrastructure page is displayed with a link to **FCCM**.



**Figure 1. OFSAAI Home page**

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

Regulatory Reporting >> FATCA Reports >> Search and List ? Help

Report Number <input type="text"/>	Report Name <input type="text"/>	Report Status <input type="text"/>
Report Type <input type="text"/>	Type of Filing <input type="text"/>	FATCA Status <input type="text"/>
Account Number <input type="text"/>	Name of Account Holder <input type="text"/>	Name of Owner <input type="text"/>
Jurisdiction <input type="text"/>	Legal Entity <input type="text"/>	Business Domain <input type="text"/>
Created By <input type="text"/>	Created Date >= <input type="text"/>	Created Date <= <input type="text"/>
Geographic Jurisdiction <input type="text"/>	Number of Account Holders >= <input type="text"/>	Number of Owners >= <input type="text"/>
TIN of Account Holder or Owner <input type="text"/>	Due Date >= <input type="text"/>	Due Date <= <input type="text"/>
Source System <input type="text"/>	Reporting Yr Start Date >= <input type="text" value="01-01-2009"/>	Reporting Yr End Date <= <input type="text" value="31-12-2014"/>

Regulatory Reports (3)

Report Number	Report Name	Report Type	Type of Filing	FATCA Status	Account Number	Name of Account Holder	Name of Owner	Created By	Created Date	Due Date	Report Status	Report	Ref
<a href="#">42293</a>	ravi2	Individual	New	Recalcitrant	--			supervisor	06-01-2016	31-12-2014	Open		201
<a href="#">42279</a>	ravi 1	Individual	New	Non-Partic...	112323	aasas asdas		supervisor	06-01-2016	31-12-2014	Approved		201
<a href="#">41762</a>	ravi	Individual	New	Passive N...	11111	asdas asdsa		supervisor	06-01-2016	31-12-2014	Rework		201

**Figure 2. Search and List page**

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

- Users mapped to FATC RR Analyst, FATC RR Supervisor, and FATC RR Auditor role can access the **FATCA Reports** Menu.
- Users mapped to FATCA RR Admin role can access the **FATCA Regulatory Reporting User Attribute Administration** menu.

The FATCA Reports menu displays the following sub-menus:

- **Search and List:** This menu allows you to navigate to the Search and List page. From this page you can use various criteria to search for FATCA Regulatory Reports.
- **Create New Report:** This menu allows you to navigate to the Create New Reports page where you can initiate a user created FATCA Regulatory Report.

The Administration menu displays the following menu:

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

# *Managing OFS FATCA Regulatory Reporting*

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

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

## ***OFS FATCA Regulatory Reporting Workflow***

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

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

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

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

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

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

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

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

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

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

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

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

The following figure depicts the workflow of FATCA reports:

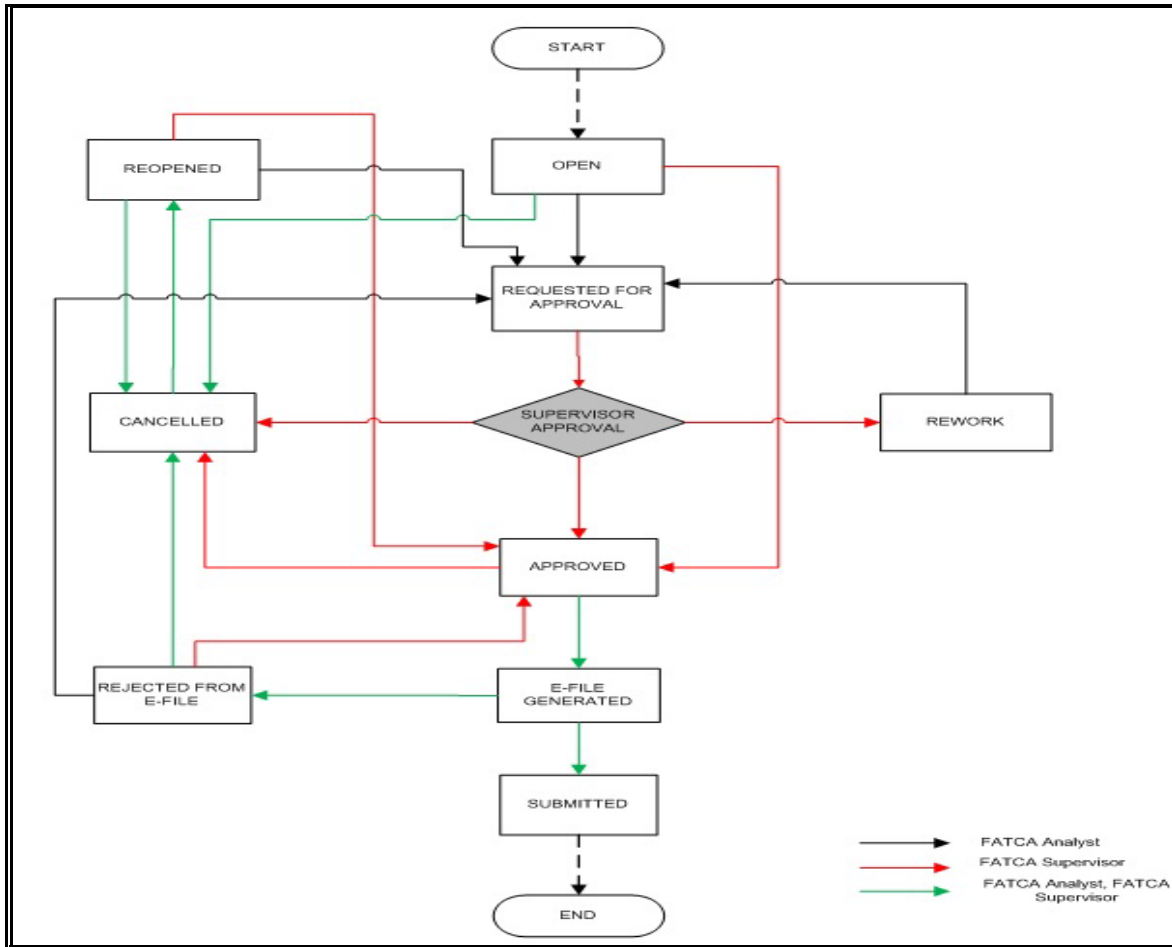


Figure 3. OFS FATCA Regulatory Reporting Workflow

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

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

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

**Table 3. Actions that can be performed in Various Statuses**

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

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

**Table 4. Status in which Reports are Editable by Users**

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

**Note:** Editing reports does not include addition of comments.

## Creating FATCA Reports

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

This section covers the following topics:

- Creating Reports Manually from OFS FATCA Regulatory Reporting
- Creating Reports Through Batch Process

### Creating Reports Manually from OFS FATCA Regulatory Reporting

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

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

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

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

**Or**

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

The screenshot shows the 'Create New Report' form in the OFS FATCA Regulatory Reporting application. The form is titled 'Regulatory Reporting >> FATCA Reports >> Create New Report'. It features a 'Create New Report' button and a 'Save | Reset' button. The form contains the following fields:

Report Name*	<input type="text"/>	Report Type*	<input type="text"/>
Case ID	<input type="text"/>	Jurisdiction*	<input type="text"/>
Business Domain	<input type="text"/>	Legal Entity	<input type="text"/>
FATCA Status*	<input type="text"/>	Geographic Jurisdiction	<input type="text"/>
Source System	<input type="text"/>	Reporting Year Start Date >=*	<input type="text" value="01-01-2005"/>
Reporting Year End Date <=*	<input type="text" value="01-12-2011"/>	Created Date	<input type="text" value="08-12-2015"/>
Set Due Date	<input type="text" value="2011-12-01"/>	Created By	<input type="text" value="FTCRRSUPERVISOR"/>

Figure 4. Create New Report

3. Enter the required information.



**Note:** Always specify values for fields marked as required. Required fields are identified by a red asterisk. The following table explains the fields in the Create New Report container:

**Table 5. Create New Report**

Fields	Description
Report Name	Enter a name for the report being created. This is a mandatory field.
Report Type	Select the report type from the drop-down list. Following are the possible options: <ul style="list-style-type: none"> <li>● Individual Report</li> <li>● Pooled Report</li> </ul> This is a mandatory field.
Legal Entity	Select the Legal Entity from the drop-down list. You can select more than one Legal Entity from the list. This field allows you to search reports based on Legal Entity associated with report.
Case ID	Enter the Case ID associated with the report.
Jurisdiction	Select the jurisdiction from the drop-down list. The attributes that are available in the drop-down list are based upon your firm's configuration. This is a mandatory field.
Business Domain	Select the business domain from the drop-down list. The attributes that are available in the drop-down list are based upon your firm's configuration.
Geographic Jurisdiction	Select the geographic jurisdiction from the drop-down list. The attributes that are available in the drop-down list are based upon your firm's configuration.
FATCA Status	Select the FATCA status from the drop-down list. This is a mandatory field.
Created Date	This field is auto-populated with the current system date. This field cannot be edited.
Created By	This field is auto-populated with the logged in user's name. This field cannot be edited.
Reporting Yr Start Date >=	This field displays the reporting year start date at the time of report creation. Select the reporting start date from the calendar to display reports having a reporting year start date greater than or equal to the specified date. If the user tries to enter a date in Reporting Year End Date <= which is prior to the date entered in Reporting Year Start Date >=, an error message is displayed: <i>"Please enter a Reporting Year End Date &lt;=' which is greater than ' Reporting Year Start Date &gt;="</i> , if the <i>'Reporting Year End Date &lt;=' is prior to the date entered in 'Reporting Year Start Date &gt;=</i> .
Reporting Yr End Date <=	This field displays the reporting year end date at the time of report creation. Select the reporting end date from the calendar to display reports having a reporting year start date lesser than or equal to the specified date.
Source System	This field displays the source system from which the data content is extracted.
Prior E-File Number	This field can be used to search the reports based on the prior E-File number.

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

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

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

**Note:** Reporting Year Start and End Date for a report will be populated from configuration parameter.

## Creating Reports Through Batch Process

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

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

## Searching FATCA Cases

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

By default, the search criteria is blank.

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

1. Only FATCA cases in the following statuses are considered:
  - a. Closed - Cases closed by users following an investigation.
  - b. Closed by System - These are cases which are automatically closed by the system upon creation based upon configurable settings. For example, if the FATCA status is clear and due diligence is not required, the case may be automatically closed and ready for filing depending on status.
2. Based on the search criteria, the latest cases for an account number are displayed, if the cases are in *Closed* or *Closed by System* status.
3. The cases are displayed only for the current filing financial year configured in static tables.
4. Cases are displayed based on the security attributes mapped to the current user. Users can only see cases to which they have access rights.

## Searching FATCA Cases Using Search Criteria

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

1. Navigate to the Case Search page.

FATCA Status	Count of Cases
US Person	22
Passive NFFE	17
Recalcitrant	9
Owner Documented FFI	3
Non-Participating FFI	6

Figure 5. Case Search Page

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

Table 6. Search Criteria in Case Search Page

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

**Table 6. Search Criteria in Case Search Page**

Field Name	Description
FATCA Status	Select the FATCA status from the drop-down list to display the number of reportable closed cases for the selected FATCA status. This field allows searching of reports with multiple options selected. The drop-down displays only reportable FATCA status as options and these options are configurable.
Overall US Indicia	Select the overall US Indicia to display number of cases with the specified US Indicia.
Customer Name	Enter the customer name to display number of reportable cases that involves the specified customer. This field supports wildcard search and allows you to enter a maximum of 255 characters.
Customer Identifier	Enter the customer identifier number to display number of reportable cases where the customer identifier is the focal entity. You can perform multiple customer identifier search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Account Number	Enter the account number to display number of reportable cases where the account number is focal entity. You can perform multiple account number search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Account Status	Select the account status from the drop-down list to display number of reportable cases in the selected status. Following are the options available for Account status drop-down list: <ul style="list-style-type: none"> <li>● Dormant</li> <li>● Active</li> </ul>
Jurisdiction	Select the jurisdiction from the multi-select drop-down list to display number of reportable cases of the specified jurisdiction. The possible options for jurisdiction is derived from the static table.
Geographic Jurisdiction	Select the geographic jurisdiction from the multi-select drop-down list to display number of reportable cases of the selected jurisdiction. The possible options for geographic jurisdiction is derived from the static tables.
Business Domain	Select the business domain from the multi-select drop-down list to display number of reportable cases of the specified business domain. The possible options for business domain is derived from the static tables.

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

## Searching FATCA Reports

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

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

This section explains the following topics:

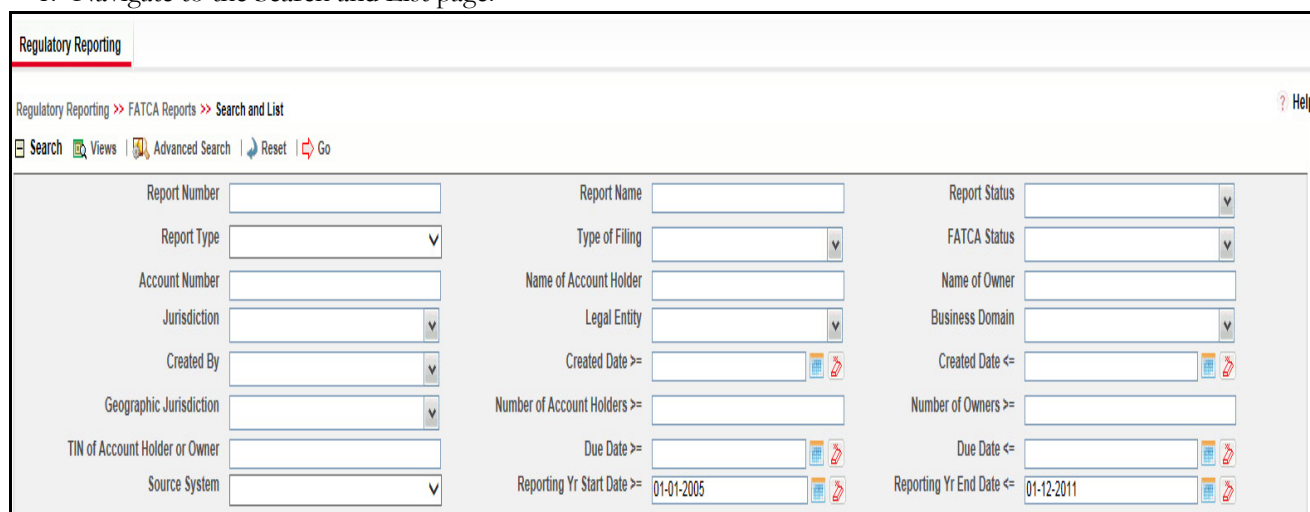
- Searching FACTA Reports Using Basic Search
- Searching FACTA Reports Using Advanced Search
- Searching FATCA Reports Using Pre-defined Views

### Searching FACTA Reports Using Basic Search

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

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

1. Navigate to the Search and List page.



The screenshot shows the 'Regulatory Reporting' application interface. At the top, there is a breadcrumb trail: 'Regulatory Reporting >> FATCA Reports >> Search and List'. Below this, there are navigation options: 'Search' (selected), 'Views', 'Advanced Search', 'Reset', and 'Go'. A 'Help' icon is visible in the top right corner. The main search area contains a grid of input fields and dropdown menus for filtering reports. The fields are organized into three columns:

Report Number	Report Name	Report Status
Report Type	Type of Filing	FATCA Status
Account Number	Name of Account Holder	Name of Owner
Jurisdiction	Legal Entity	Business Domain
Created By	Created Date >=	Created Date <=
Geographic Jurisdiction	Number of Account Holders >=	Number of Owners >=
TIN of Account Holder or Owner	Due Date >=	Due Date <=
Source System	Reporting Yr Start Date >= 01-01-2005	Reporting Yr End Date <= 01-12-2011

**Figure 6. Basic Search Components**

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

2. Enter the details in the relevant search fields to retrieve the list of reports. For detailed descriptions of search fields, refer to *Table 7*.
3. Click **Go**. The relevant search list is displayed.

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

## Searching FACTA Reports Using Advanced Search

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

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

1. Navigate to the Search and List page.
2. Click **Advanced Search** from the search bar.

**Figure 7. Advanced Search Components**

3. Enter the search components to filter the reports.

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

**Table 7. Components of Basic and Advanced Search Bar**

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

Criteria	Search Component of Advanced/Basic Search	Description
Report Status	Basic Search	<p>Select the report status from the drop-down list to display reports in the selected status.</p> <p>Following are the options available for Report status drop-down list:</p> <ul style="list-style-type: none"> <li>● Open</li> <li>● Requested for Approval</li> <li>● Approved</li> <li>● Rework</li> <li>● Submitted</li> <li>● canceled</li> <li>● Reopened</li> </ul> <p>This field allows searching of reports with multiple options selected.</p>
Report Type	Basic Search	<p>Select the report type from the drop-down list to display reports of the selected type.</p> <p>Following are the possible options:</p> <ul style="list-style-type: none"> <li>● Individual Reports</li> <li>● Pooled Reports</li> </ul>
FATCA Status	Basic Search	<p>Select the FATCA status from the drop-down list to display reports in the selected status.</p> <p>This field allows searching of reports with multiple options selected. The drop-down displays only reportable FATCA status as options and these options are configurable.</p>
Account Number	Basic Search	<p>Enter the account number to display reports with the selected account number. You can perform multiple account number search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.</p>
Name of Account Holder	Basic Search	<p>Enter the name of the account holder to display reports where the person specified is the account holder. This field allows you to enter a maximum of 255 characters and supports wildcard search.</p>
Name of Owner	Basic Search	<p>Enter the name of the account owner to display reports where the person specified is the owner of the account. This field allows you to enter a maximum of 255 characters and supports wildcard search.</p>
Legal Entity	Basic Search and Advanced Search	<p>Select the legal entity from the drop-down list.</p>
Jurisdiction	Basic Search	<p>Select the jurisdiction from the multi-select drop-down list to display reports of the selected jurisdiction.</p> <p>The possible options for jurisdiction is derived from the DIM tables.</p>



Criteria	Search Component of Advanced/Basic Search	Description
Geographic Jurisdiction	Basic Search	Select the geographic jurisdiction from the multi-select drop-down list to display reports of the selected jurisdiction. The possible options for jurisdiction is derived from the kdd_geo_jrsdcn tables.
Business Domain	Basic Search	Select the business domain from the multi-select drop-down list to display reports of the specified business domain. The possible options for business domain is derived from the DIM tables.
Number of Account Holders >=	Basic Search	Enter the Number of Account Holders in this field. This field indicates the total number of record for account holders in Account Holder or Payee Information section.
Number of Owners >=	Basic Search	Enter the Number of Owners in this field. This field indicates the The total number of record for Owners in Account Holder/Payee Information section.
TIN of Account Holder or Owner	Basic Search	Enter the TIN number to display reports based on TIN of account owner or account holder. You can perform multiple TIN search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Type of Filing	Basic Search	Select the type of filing from the multi-select drop-down list to display reports of the specified filing type. Following are the possible values for US, UK and CA: <ul style="list-style-type: none"> <li>● US - Corrected</li> <li>● US - Amended</li> <li>● US - Voided</li> <li>● US - New</li> <li>● CA - Amendment</li> <li>● CA - Cancel</li> <li>● CA - Original</li> <li>● UK - Variation - Update</li> <li>● UK - Variation - Void</li> <li>● UK - New</li> </ul>

Criteria	Search Component of Advanced/Basic Search	Description
Due Date>=	Basic Search	<p>Select the due date from the calendar to display reports having due date greater than or equal to the specified date.</p> <ol style="list-style-type: none"> <li>1. If you enter a date in 'Due Date &lt;=' which is less than 'Due Date &gt;=', the application displays the following message: <i>Please enter a 'Due Date &lt;=' which is equal to or greater than 'Due Date &gt;='.</i></li> <li>2. If Due date &gt;= is not mentioned but Due date &lt;= is available, the application displays the following message: <i>'Due Date &gt;=' is mandatory if 'Due Date &lt;=' is mentioned. Please enter a date in 'Due Date &gt;='.</i></li> <li>3. If you enter a due date which is less than current date, the application displays the following message: <i>Please enter a due date which is equal to or greater than sysdate.</i></li> </ol>
Due Date<=	Basic Search	<p>Select the due date from the calendar to display reports having due date lesser than or equal to the specified date.</p> <p>While performing a range search, if you enter a value in 'Due date &lt;=' less than 'Due date &gt;=', the application displays the following message: <i>Please enter a 'Due Date &lt;=' which is equal to or greater than 'Due Date &gt;='.</i></p>
Created By	Basic Search	<p>Select the user who has created the report from the drop-down list.</p> <p>This field allows searching of reports with multiple options selected with user names displayed as drop-down option.</p>
Created Date >=	Basic Search	<p>Select the created date from the calendar to display reports having a created date greater than or equal to the specified date.</p> <p>You can either perform a range search using 'Created Date &gt;=' and 'Created &lt;=' or use them independently.</p>
Created Date <=	Basic Search	<p>Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date.</p> <ol style="list-style-type: none"> <li>1. While performing a range search, if you enter a value in 'Created Date &lt;=' less than 'Created Date &gt;=', the application displays the following message: <i>Please enter a 'Created Date &lt;=' which is equal to or greater than 'Created Date &gt;='.</i></li> <li>2. If you enter a value in created date &lt;= greater than the system date, the application displays the following message: <i>Please enter a 'Created Date &lt;=' which is earlier than or equal to sysdate.</i></li> </ol>
Name of Filer	Advanced Search	Select the name of filer from the drop-down list.
GIIN of Filer	Advanced Search	This field can be used to search reports based on GIIN of Filer. You can Search for multiple GIIN using comma separated values. The maximum length to be restricted to 255.

Criteria	Search Component of Advanced/Basic Search	Description
Case ID	Advanced Search	Enter the Case ID.
Last Modified By	Advanced Search	Select the user who has last modified the report from the drop-down list. This field allows searching of reports with multiple options selected with user names displayed as drop-down option.
Last Modified Date >=	Advanced Search	Select the last modified date from the calendar to display reports having a last modified date greater than or equal to the specified date. You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.
Last Modified Date <=	Advanced Search	Select the Last Modified Date from the calendar to display reports having a last modified date lesser than or equal to the specified date.  <ol style="list-style-type: none"> <li>1. While performing a range search, if you enter a value in 'Last Modified Date &lt;=' less than 'Last Modified Date &gt;=', the application displays the following message: <i>Please enter a 'Last Modified Date &lt;=' which is equal to or greater than 'Last Modified Date &gt;='.</i></li> <li>2. If you enter a value in 'Last Modified Date &lt;=' greater than the system date, the application displays the following message: <i>Please enter a 'Last Modified Date &lt;=' which is earlier than or equal to sysdate.</i></li> <li>3. If Last Modified Date &gt;= is not mentioned but Last Modified Date &lt;= is available, the application displays the following message: <i>'Last Modified Date &gt;=' is mandatory if 'Last Modified Date &lt;=' is mentioned. Please enter a date in 'Last Modified Date &gt;='.</i></li> </ol>
Approved By	Advanced Search	Select the name of the approver to search for reports approved by the selected user. This field allows searching of reports with multiple options selected with user names displayed as drop-down option.
Approved Date >=	Advanced Search	Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.

Criteria	Search Component of Advanced/Basic Search	Description
Approved Date <=	Advanced Search	<p>Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date.</p> <ol style="list-style-type: none"> <li>1. While performing a range search, if you enter a value in 'Approved Date &lt;=' less than 'Approved Date &gt;=', the application displays the following message: <i>Please enter an 'Approved Date &lt;=' which is equal to or greater than Approved Date &gt;=.</i></li> <li>2. If you enter a value in 'Approved Date &lt;=' greater than the system date, the application displays the following message: <i>Please enter an 'Approved Date &lt;=' which is earlier than or equal to sysdate.</i></li> <li>3. If Approved date &gt;= is not mentioned but Approved date &lt;= is available: 'Approved Date &gt;=' is mandatory if 'Approved Date &lt;=' is mentioned. Please enter a date in 'Approved Date &gt;='.</li> </ol>
Submitted By	Advanced Search	<p>Select the name of the filer from the drop-down list to search for reports submitted by the selected user. This field allows searching of reports with multiple options selected.</p>
Submitted Date >=	Advanced Search	<p>Select the filed date from the calendar to display reports having filed date greater than or equal to the specified date.</p>
Submitted Date <=	Advanced Search	<p>Select the filed date from the calendar to display reports having filed date lesser than or equal to the specified date.</p> <ol style="list-style-type: none"> <li>1. While performing a range search, if you enter a value in 'Filed Date &lt;=' less than 'Filed Date &gt;=', the application displays the following message: <i>Please enter a 'Submitted Date &lt;=' which is equal to or greater than "Submitted Date &gt;=.</i></li> <li>2. If you enter a value in 'Submitted Date &lt;=' greater than the system date, the application displays the following message: <i>Please enter a 'Submitted Date &lt;=' which is earlier than or equal to sysdate.</i></li> </ol>
E-File Number	Advanced Search	<p>Enter the E-File number in this field. This is the number of the E-File in which the current report is included. This field is blank until the report moves to the <i>Efile Generated</i> Status.</p>
Account Balance >=	Advanced Search	<p>Enter the Account Balance in this field. This field is used to search reports based on the Account Balance. You should be able to search for account balance in the range provided. The Account Balance of the account on which a report has been created is greater than or equal to the specified amount is indicated here.</p>
Account Balance <=	Advanced Search	<p>Enter the Account Balance in this field. This field is used to search reports based on the Account Balance. You should be able to search for account balance in the range provided. The Account Balance of the account on which a report has been created is less than or equal to the specified amount is indicated here.</p>

Criteria	Search Component of Advanced/Basic Search	Description
Source System	Basic Search and Advanced Search	This field displays the source system from which this data content is extracted.
Reporting Yr Start Date>=	Basic Search and Advanced Search	This field displays the reporting year start date at the time of report creation. Select the reporting start date from the calendar to display reports having a reporting year start date greater than or equal to the specified date. If the user tries to enter a date in Reporting Year End Date <= which is prior to the date entered in Reporting Year Start Date >=, an error message is displayed: <i>"Please enter a Reporting Year End Date &lt;= ' which is greater than ' Reporting Year Start Date &gt;="</i> , if the <i>'Reporting Year End Date &lt;='</i> is prior to the date entered in <i>'Reporting Year Start Date &gt;=</i> .
Reporting Yr End Date<=	Basic Search and Advanced Search	This field displays the reporting year end date at the time of report creation. Select the reporting end date from the calendar to display reports having a reporting year start date lesser than or equal to the specified date.

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

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

## Searching FATCA Reports Using Pre-defined Views

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

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

1. Navigate to Search and List page.

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

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

**Figure 8. Views Search**

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

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

**Table 8. Pre-defined Views**

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

**Table 8. Pre-defined Views**

Views	Description
Reports Overdue	Select <b>Reports Overdue</b> from the drop-down list to display the list of reports that have exceeded their due dates. When a report is past its due date or when the due date is same as the system date, the reports in the Search and List page are highlighted in <i>Red</i> color.
Reports Submitted in the Last 3 Months	Select <b>Reports Filed in Last 3 Months</b> from the drop-down list to display reports that were submitted in the last 3 months. This option is the default view for an Auditor.
All saved views by user	Select any of the views that you have created and saved using the <b>Save as View</b> button to display reports as per the view selected. For more information, refer to section <i>Saving Views</i> . The saved view is available only to the user creating the view and will not be available to other users.

### Saving Views

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

To save a view, follow these steps.

1. Navigate to Search and List page and click **Advanced Search**.
2. Enter the search criteria you want to save as view.
3. Click **Save as View**. The Save as View window is displayed.

**Figure 9. Save as View Window**

4. Enter the view name and view details.  
  
The View Details box in the **Save as view** window allows entering a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in this box, the following message is displayed: *Number of characters exceeded*.
5. Click **Save**. The following message is displayed: *Add Operation Successful*.
6. Click **OK**. The view is saved and is displayed in the Views drop-down list.

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

## ***Filing and Submitting FATCA Reports for Approval***

This process involves the following steps:

- Entering Report Details in Report Details Page
- Taking Actions on FATCA Reports

### **Entering Report Details in Report Details Page**

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

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

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

- Report Context
- Identification of Filer
- Account Holder/Payee Information
- Financial Information
- Related Reports
- Documents
- Audit
- Pool Reporting

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

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

This section explains the following topics:

- Managing Identification of Filer Tab
- Managing Account Holder/Payee Information Tab
- Managing Financial Information Tab
- Managing Related Reports Tab
- Managing Pooled Reporting Tab
- Managing Documents Tab
- Viewing Audit Information



## Report Context

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

Report Context			
-	Report Number 42293	Report Name ravi2	Report Status Open
	FATCA Status Recalcitrant	Report Type Individual	Due Date 31-12-2014
	Jurisdiction APAC	Geographic Jurisdiction --	
	Business Domain		
	Created By supervisor	Last Modified By --	Approved By --
	Created Date 06-01-2016 18:28:47	Last Modified Date --	Approved Date --
	Prior Report Number --	Type of Filing New	Case ID --
	E-File Number --	Prior E-File Number --	Source System ? --
	Reporting Year Start Date 01-01-2014	Reporting Year End Date 31-12-2014	

**Figure 10. Report Context**

The Report Context displays the following information:

- Report Number
- Report Name
- Report Status
- FATCA Status
- Report Type
- Due Date
- Jurisdiction
- Legal Entity
- Business Domain
- Created By
- Last Modified By
- Approved By
- Created Date
- Last Modified Date
- Approved Date
- Prior Report Number
- Type of Filing
- Case ID
- E-File Number

- Prior E-File Number
- Geographic Jurisdiction
- Reporting Year Start Date
- Reporting Year End Date
- Source System

## Managing Identification of Filer Tab

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

PART I		Identification of Filer	
1 Name of Filer ATS BROKERSGE			
2 Number, street, and room or suite no. (if P.O. box, see instructions) ROUND NORTH			
3a City or town CANADA		3b State/Province/Region HAMILTON	3c Country (including postal code) ARMENIA, 1212121
4 Global Intermediary Identification Number (GIIN) F B V E A W . 0 0 0 0 0 0 . L E . 1 2 4			5 TIN 1234567
6 Name of Sponsored Entity or Intermediary, if applicable Bank of Kenya			
7 Number, street, and room or suite no. (if P.O. box, see instructions) #1292, 6th Cross 1st Stage 2nd Phase Bangalore			
8a City or town Bangalore		8b State/Province/Region Karnataka	8c Country (including postal code) India, 560037
9 GIIN F B V E A W . 0 0 0 0 0 0 . L E . 1 2 4			10 TIN 8895623221

**Figure 11. Identification of Filer Information in Final Report**

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

**Figure 12. Identification of Filer Tab**

Identification of Filer	Account Holder/Payee Information	Financial Information	Related Reports	Documents	Audit
<div style="border: 1px solid black; padding: 5px;"> <div style="display: flex; justify-content: space-between; border-bottom: 1px solid black;"> <span>Part I: Identification of Filer</span> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 60%;"> <p>Type of Filing* ? UK-New</p> <p>1. Name of Filer* ATS BROKERSGE</p> <p>CA Business Number / UK FI Registration ID 100766120RZ0029</p> <p>2. Number, Street and Room or Suite # ROUND NORTH</p> <p>Building Id 2</p> <p>3a. City or Town CANADA</p> <p>3c. Country ARMENIA</p> <p>4. GIIN FBVEAW.00000.LE.124</p> <p>TIN Issued By AFGHANISTAN</p> <p>Contact Name ALEX</p> <p>Contact Phone Number 6814223</p> <p>Contact Email DANNY@gmail.com</p> <p>Due Diligence Indicator <input checked="" type="checkbox"/></p> <p>6. Sponsored Entity or Intermediary, If applicable Bank of Kenya</p> </div> <div style="width: 35%;"> <p>Residential country code AFGHANISTAN</p> <p>UK FATCA User ID 232323</p> <p>District UK</p> <p>3b. State/Province/Region HAMILTON</p> <p>3c. Postal Code 1212121</p> <p>5. TIN 1234567</p> <p>Filer Category FATCA601</p> <p>Contact Phone Area Code 111</p> <p>Contact Phone Extension number 80</p> <p>Remediation Thresholds <input checked="" type="checkbox"/></p> <p>Type of Entity Sponsored Entity</p> </div> </div> </div>					

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

**Table 9. Fields in Identification of Filer Tab**

<b>Fields</b>	<b>Description</b>
Type of Filing	<p>Select the type of filing from the drop-down list.</p> <p>Following are the possible values for US, UK and CA:</p> <ul style="list-style-type: none"> <li>● US - Corrected</li> <li>● US - Amended</li> <li>● US - Voided</li> <li>● US - New</li> <li>● CA - Amendment</li> <li>● CA - Cancel</li> <li>● CA - Original</li> <li>● UK - Variation - Update</li> <li>● UK - Variation - Void</li> <li>● UK - New</li> </ul> <p>If Type of Filing is missing from the Identification of Filer Tab, the application displays the following message: <i>Please enter Type of Filing as it is a mandatory field.</i></p> <p>If Type of Filing and Name of Filer are missing from the Identification of Filer Tab and if you click on Save, the application displays the following message: <i>Type of Filing and Name of Filer are mandatory.</i></p>
Residential Country Code	<p>Enter the Residential Country code of the filing institute.</p> <p><b>Note:</b> This field is mandatory for UK reporting.</p>
Name of Filer	<p>Select the name of the filing institute from the drop-down list.</p> <p>The fields Number, Street and Room or Suite #, City or Town, Country, GIIN, and TIN are auto populated on selection of the filer.</p> <p>If Name of Filer is missing from the Identification of Filer Tab, the application displays the following message: <i>Please enter Name of Filer as it is a mandatory field.</i></p>
CA Business Number/ UK FI Registration ID	<p>Enter the CA Business Number/ UK FI Registration ID of the filing institute.</p> <p><b>Note:</b> This field is displayed only for UK reporting.</p>
UK FATCA User ID	<p>Enter the UK FATCA User ID of the filing institute.</p> <p><b>Note:</b> This field is displayed only for UK reporting.</p>
Number, Street and Room or Suite #	Displays the address of the filing institute.
Building ID	<p>Displays the Building ID of the filing institute.</p> <p><b>Note:</b> This field is displayed only for UK reporting.</p>
District	<p>Displays the district of the filing institute.</p> <p><b>Note:</b> This field is displayed only for UK reporting.</p>
City or Town	Displays the city in which the filing institution is located.
State or Province or Region	Displays the State or Province of Region in which the filing institution is located.
Country	Displays the country in which the filing institution is located.
GIIN	<p>Displays the GIIN of the filing institution.</p> <p>GIIN stands for Global Intermediary Identification Number. It is a unique identification number provided by IRS to the filing institute.</p>

**Table 9. Fields in Identification of Filer Tab**

Fields	Description
TIN	TIN stands for Tax Identifier Number. Displays the Tax identifier Number for Sponsored FFI or other Intermediary.
TIN Issued By	Displays the name of the user who has issued the TIN.
Filer Category	Identifies the filer category code for a reporting financial institution.
Contact Name	Displays the Contact Name of the financial institution. <b>Note:</b> This field is mandatory for Canada reporting.
Contact Phone Area Code	Displays the Contact Phone Area Code of the financial institution. <b>Note:</b> This field is mandatory for Canada reporting.
Contact Phone Number	Displays the Contact Phone Number of the financial institution. <b>Note:</b> This field is mandatory for Canada reporting.
Contact Phone Extension Number	Displays the Contact Phone Extension Number of the financial institution. <b>Note:</b> This field is mandatory for Canada reporting.
Contact Email	Displays the Contact Email of the financial institution. <b>Note:</b> This field is mandatory for Canada reporting.
Due Diligence Indicator	Select the checkbox if the financial institution is a Due Diligence Indicator. <b>Note:</b> This field is mandatory for UK reporting.
Remediation Thresholds	Select the checkbox if the Remediation Thresholds are met. <b>Note:</b> This field is mandatory for UK reporting.
Name of Sponsored Entity or Intermediary, If applicable	Select the name of the sponsored FFI or other intermediary from the drop-down list. The fields Number, Street and Room or Suite #, City or Town, State/Province/Region, Country, Postal Code, GIIN, TIN are auto populated.
Type of Entity	Displays the type of entity. This is populated based on Name of Sponsored Entity or Intermediary.
Residential Country Code	Displays the Residential Country code of the Sponsored Entity or Intermediary.
City or Town	Displays the city of the filing institute.
State/Province/Region	Displays the state of the filing institute.
Country	Displays the country of the filing institute.
Postal Code	Displays the postal code of the filing institute.
GIIN	Displays the Unique Identification Number provided by IRS to the Sponsored FFI or other Intermediary.
TIN	Displays the Tax identifier Number for Sponsored FFI or other Intermediary.
TIN Issued By	Displays the institute that issued the TIN.
Filer Category	Identifies the filer category code for a Sponsored Entity or Intermediary.

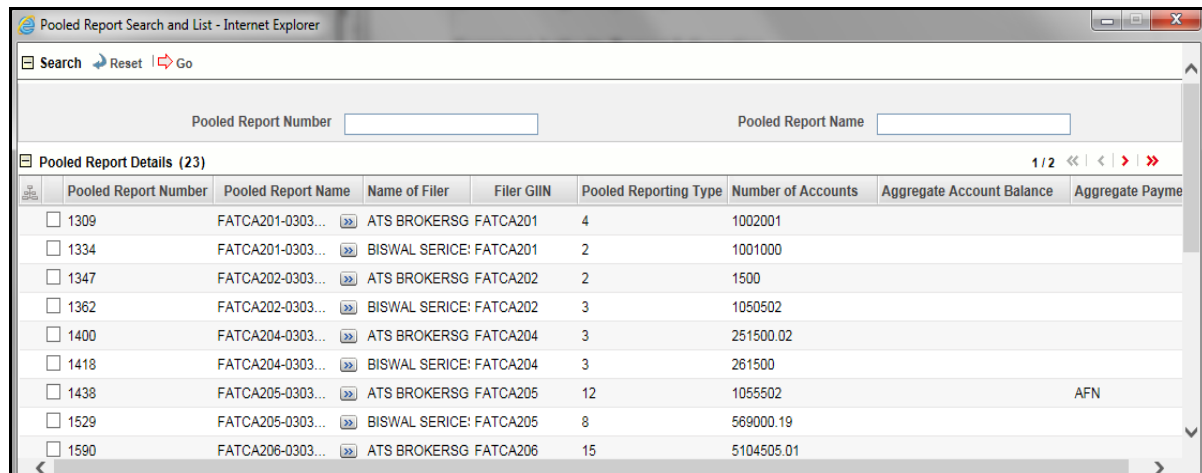
To save information in Identification of Filer tab, enter the required information in the fields and then click **Save**.

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

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

## Competent Authority Request Information

To find the Pooled Report Number of a particular report, this section provides a lookup wherein the information is requested from the associated competent authority. When you click the Search button next to the CAR Pooled Report Number field, the following window is displayed:



**Figure 13. Competent Authority Request Information Lookup**

The list of pooled report details is displayed based on the information provided in the previous fields. Select the appropriate one. This value is received by the system and it is displayed in the CAR Pooled Report Number field.

## History

The system displays the history of the report in the History Grid. The history grid displays the following fields:

- Date
- Action By
- Action and
- Comments

**Figure 14. History Grid**

History (1)				
Change		Expand All		
<input type="checkbox"/>	Date	Action By	Action	Comments
<input type="checkbox"/>	05-03-2015 10:17:06	SUPERVISOR	Modified Identification of Filer	--

## Managing Account Holder/Payee Information Tab

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

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

<b>PART II Account Holder or Payee Information</b>		
1 Name of Account Holder or Payee CITI BANK		
2 Number, street, and room or suite no. (if P.O. box, see instructions) 9090, DALLAL STREET		
3a City or town NOTTINGHAM	3b State/Province/Region NOTTINGHAM	3c Country (including postal code) UNITED KINGDOM, 1234567890
4 TIN 9876543210		
5 If account holder or payee is an entity, check applicable box to specify the entity's type:		
<input type="checkbox"/> Owner-Documented FFI with specified U.S. owner(s)	<input checked="" type="checkbox"/> Passive NFFE with substantial U.S. owner(s)	
<input type="checkbox"/> Non-Participating FFI	<input type="checkbox"/> Specified U.S. Person	
<input type="checkbox"/> Direct Reporting NFFE		

Figure 15. Account Holder/Payee Information in Final Report

The Account Holder/Payee Information tab provides details about the account holder/payee. This tab displays the following sections:

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

**Part II: Account Holder or Payee Information**

This section provides details about the account holder or payee.

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

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

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

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

Record #	First Name/Organisation Name	Last Name	TIN of Owner	Type of Account Holder	Customer Identifier	Account Holder Role	Country	Include in Report
<input checked="" type="checkbox"/> 1	CITI BANK	--	9876543210	Entity	797999889	--	UNITED...	<input checked="" type="checkbox"/> Yes

**Account Holder or Payee Information**

Include in Current Report*	Yes	Type of Account Holder or Payee*	Entity
Residential Country	UNITED KINGDOM	Customer Identifier	797999889
1. First Name/Organisation Name*	CITI BANK	1. Middle Name	--
1. Last Name*	--	District	NOTTINGHAM
2. Number, Street and Room or Suite #	9090, DALLAL STREET	3b. State/Province/Region	NOTTINGHAM
Building ID	4242342	3c. Postal Code	1234567890
3a. City or Town*	NOTTINGHAM	Date of Birth	
3c. Country*	UNITED KINGDOM	FATCA Status	
4. TIN*	9876543210	Document Indicator	
Issued By	UNITED KINGDOM		
US Indicia			
Account Holder Role			

5. If account holder or recipient is an entity, check applicable box to specify the entity's type

<input type="checkbox"/> Owner-Documented FI with Specified U.S. Owner(s)	<input checked="" type="checkbox"/> Passive Non-Financial Entity with Substantial U.S. Owner(s)
<input type="checkbox"/> Non-Participating FI	<input type="checkbox"/> Specified U.S. Person
<input type="checkbox"/> Direct Reporting NFFE	

**Figure 16. Account Holder/Payee Information Tab**

Account Holder or Payee Information has the information regarding the Account Holders of the given account. The account holders of the account is displayed in the grid with following information:



Part II : Account Holder or Payee Information (1)   Expand All   Add   Remove   Validate   Create New Report									
Record #	First Name/Organisation Name	Last Name	TIN of Owner	Type of Account Holder	Customer Identifier	Account Holder Role	Country	Include in Report	
<input checked="" type="checkbox"/> 1	Main Stree Flowers	--	765675555	Entity	NWPASSNFFE-NO... >> --		CAYMAN I... >>	Yes	

Figure 17. Account Holder/Payee Display Grid

Table 10. Account Holder/Payee Display Grid

Field	Description
Record #	Displays the Record Number.
First Name / Organization Name	Displays the First name in case of Type of Account holder is Person or Organization name in case of Type of Account Holder is an Entity.
Last Name	Displays the Last Name of Account Holder.
TIN of Owner	Displays the TIN number of the Owner.
Type of Account Holder	Displays the type of the Account Holder.
Customer Identifier	Displays the Customer Identification Number.
Account Holder Role	Displays the Account Holder Role.
Country	Displays the country of the Account Holder.
Include in Report	Displays <b>Y</b> or <b>N</b> . If Account Holder or Payee Information is to be included in the current report then <b>Y</b> is displayed or else the system displays <b>N</b> .

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

**Table 11. Fields in Account Holder or Payee Information**

<b>Fields</b>	<b>Description</b>
Include in Current Report	Select <b>Yes</b> or <b>No</b> from the radio button to indicate if the account holder or payee information is included in the current report or not.
Type of Account Holder	Select the type of the Account Holder from the radio button. It can either be a <b>Person</b> or an <b>Entity</b> .
Residential Country Code	Displays the Residential Country code of the Person or an Entity.
First Name/Organization Name	Enter the First Name of the Account Holder in case of a Person or the name of the Organization in case of an Entity. This field allows you to enter a maximum of 120 characters.
Last Name	Enter the Last Name of the primary account holder of the reported account. This field allows you to enter a maximum of 120 characters.
Middle Name	Enter the Middle Name of the primary account holder of the reported account. This field allows you to enter a maximum of 120 characters.
Customer Identifier	Enter the Customer Identifier of the primary account holder of the reported account. This field allows you to enter a maximum of 120 characters.
Number, Street and Room or Suite #	Enter the address of the primary account holder of the reported account. This field allows you to enter a maximum of 255 characters.
Building ID (UK)	Enter the Building ID of the primary account holder of the reported account. This field allows you to enter a maximum of 70 characters.
District (UK)	Enter the District of the primary account holder of the reported account. This field allows you to enter a maximum of 70 characters.
City or Town	Enter the city of the primary account holder of the Reported account. This field allows you to enter a maximum of 50 characters.
State/Province/Region	Enter the state of the primary account holder of the reported account. This field allows you to enter a maximum of 50 characters.
Country	Enter the country of the primary account holder of the reported account. This field allows you to enter a maximum of 50 characters.
Postal Code	Displays the postal code of the primary account holder of the reported account. This field allows you to enter a maximum of 50 characters.
TIN	Displays the TIN information of the account holder.
Date of Birth	Enter the Date of Birth of the Account Holder using the calendar look-up.
Issued By	Select the name of the Country from the drop-down list where the account was issued.
FATCA Status	Select the FATCA Status from the drop-down list as per the latest assessment of the selected Account Holder.
US Indicia	Select the US Indicia from the drop-down list as per latest assessment of the selected Account Holder. The options are Yes or No.
Document Indicator	Select Yes or No from the drop-down list for the Document Indicator as per latest assessment of the selected Account Holder.

**Table 11. Fields in Account Holder or Payee Information**

Fields	Description
Account Holder Role	Select the Role of the Account Holder from the drop-down list.
If Account Holder or Payee is an Entity, Check Applicable Box to Specify the Entity's Type:	Check any of the following options based on the FATCA report status: <ul style="list-style-type: none"> <li>● Owner-Documented FI with Specified US Owner(s)</li> <li>● Passive Non-Financial Entity with Substantial US Owner(s)</li> <li>● Non-Participating FI</li> <li>● Specified US Person</li> <li>● Direct Reporting NFFE</li> </ul>

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

1. Enter the required information in the fields in Account Holder or Payee Information section.
2. Click **Save**. The following message is displayed: *Update Operation Successful*.
3. Click **OK**. The saved details are displayed in Account Holder or Payee Information section.

*If account holder or recipient is an entity, check applicable box to specify the entity's type*

Select the type of the account holder to specify the type of Entity. This option is only available if the **Type of Account Holder or Payee** selected is *Entity Type*. The available options are :

- Owner-Documented FI with Specified U.S. Owner(s)
- Passive Non-Financial Entity with Substantial U.S. Owner(s)
- Non-Participating FI
- Specified U.S. Person
- Direct Reporting NFFE

### Account Holder History

The Account Holder History grid displays the following information:

- Date
- Action By
- Action
- Comments

**Figure 18. Account Holder History Grid**

Account Holder History (1)			
Change		Expand All	
Date	Action By	Action	Comments
13-03-2015 23:34:34	SUPERVISOR	Modified Account Holder/Pay...	--

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

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

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

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

### Adding Part III US Owners

To add US Owners, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Account Holder/Payee Information** tab.
3. Click **Add** in the Part III: Identifying Information of US Owners that is Specified US Persons grid.
4. The Add US Owner section expand below the Part III: Identifying Information of US Owners that is Specified US Persons grid.

Identification of Filer	Account Holder/Payee Information	Financial Information	Related Reports	Documents	Audit		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Date	Action By	Action	Comments				
<input type="checkbox"/> 19-09-2017 18:54:20	SUPERVISOR	Added New Account Holder/...	--				
(Following Section will only be reported if the 'Type of Account Holder or Payee' is an Entity of Type FATCA101 or FATCA102 or FATCA105 in 'Part II : Account Holder or Payee Information')							
<b>Part III: Identifying Information of U.S. Owners that is Specified U.S. Persons (1)</b> <input type="checkbox"/> Expand All							
Record #	First Name/Organisation Name	Last Name	TIN of Owner	Customer Identifier	Ownership Percentage	Country	Type of Substantial Owner
<input checked="" type="checkbox"/> 1	SHANMUGAN	RAMAN	4311234567	4414141	--	UNITED KIN...	Person
<b>U.S. Owner Details</b>							
Type of Substantial Owner*		Person		Residential Country		UNITED KINGDOM	
1. First Name/Organisation Name*		SHANMUGAN		Customer Identifier		4414141	
1.Last Name*		RAMAN		1.Middle Name		KKK	
2. Number, Street and Room or Suite #		1234		District		--	
Building ID		3123		3b. State/Province/Region		UK	
3a. City or Town*		NOTT		3c. Postal Code		1234567890	
3c. Country*		UNITED KINGDOM		Date of Birth		29-09-1995	
4. TIN of Owner*		4311234567		FATCA Status		--	
Issued By		UNITED KINGDOM		Document Indicator		--	
US Indicia		--					
Ownership Percentage		--					
<b>U.S. Owner History (1)</b>							
<input type="checkbox"/> Change <input type="checkbox"/> Expand All							
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Date	Action By	Action	Comments				
<input type="checkbox"/> 19-09-2017 18:55:31	SUPERVISOR	Added New U.S. Owner	--				

Figure 19. Adding U.S Owner Details

5. Enter the required information.

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

The following table explains the fields in Add US Owner section

**Table 12. Fields in Add US Owner Section**

Fields	Description
Type of Substantial Owner	Select the type of the Substantial Owner from the radio button. It can either be a Person or an Entity.
Residential Country Code	Displays the Residential Country code of the Person or an Entity.
First Name/ Organization Name	Enter the First Name/ Organization Name of the Substantial Owner.
Middle Name	Enter the Middle Name of the Substantial Owner. <b>Note:</b> If Substantial Owner is of type Entity, then this field is disabled.
Last Name	Enter the Last Name of the Substantial Owner <b>Note:</b> If Substantial Owner is of type Entity, then this field is disabled.
Name of Owner	Enter the name of Owner of the reported account. This field allows you to enter a maximum of 120 characters.
Customer Identifier	Enter the Customer Identifier of the owner of the reported account. This field allows you to enter a maximum of 120 characters.
Number, Street and Room or Suite #	Enter the address of the owner of the reported account. This field allows you to enter a maximum of 255 characters.
City or Town	Enter the city of the owner of the reported account if the account is of entity type. This field allows you to enter a maximum of 50 characters.
State/Province/Region	Enter the state of the owner of the reported account if the account is of entity. This field allows you to enter a maximum of 50 characters.
Building ID (UK)	Enter the Building ID of the owner of the reported account if the account is of entity. This field allows you to enter a maximum of 50 characters.
District (UK)	Enter the District of the owner of the reported account if the account is of entity. This field allows you to enter a maximum of 50 characters.
Country	Select the country of the owner of the reported account if the account is of entity. This field allows you to enter a maximum of 50 characters.
Postal Code	Enter the postal code of the reported account if the account is of entity type. This field allows you to enter a maximum of 50 characters.
TIN of Owner	Enter the TIN of the owner of the reported account if the account is of entity type. This field allows you to enter a maximum of 50 characters.
Date of Birth	Enter the Date of Birth of the US Owner from the calendar look up.
Issued By	Select the name of the Country for the US Owner from the drop-down list.
FATCA Status	Select the FATCA status from the drop-down list. The options are: <ul style="list-style-type: none"> <li>● Active NFFE</li> <li>● Direct Reporting NFFE</li> <li>● Non-Participating FFI</li> <li>● Owner Documented FFI</li> <li>● Passive NFFE</li> <li>● Recalcitrant</li> <li>● US Person</li> </ul>
Ownership Percentage	Enter the percentage of ownership of the account for the account holder.

**Table 12. Fields in Add US Owner Section**

Fields	Description
US Indicia	Select <b>Yes</b> or <b>No</b> from the drop-down list.
Document Indicator	Select <b>Yes</b> or <b>No</b> from the drop-down list.

6. Click **Save**. The following message is displayed: *Add Operation Successful*.
7. Click **OK**. The entered details are saved and is displayed in the Part III: Identifying Information of US Owners that is Specified US Persons grid.

## Editing US Owner Details

To edit US Owner details, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Account Holder or Payee Information** tab.

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

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

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

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

## Removing US Owner

To remove owner details, follow these steps:

1. Navigate to the Report Details page.
2. Click the Account Holder or Payee Information tab.

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

3. Select the check box at the beginning of the record or click anywhere in the row.
4. Click **Remove**. The following message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**. The following message is displayed: *Record Removed Successfully.*
6. Click **OK**. The owner record is removed from the Part III: Identifying Information of US Owners that is Specified US Persons grid.

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

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

## Validate US Owner

If you click **Validate**, the application is able to validate all the records in the grid. In case of any error, the application displays an error message.

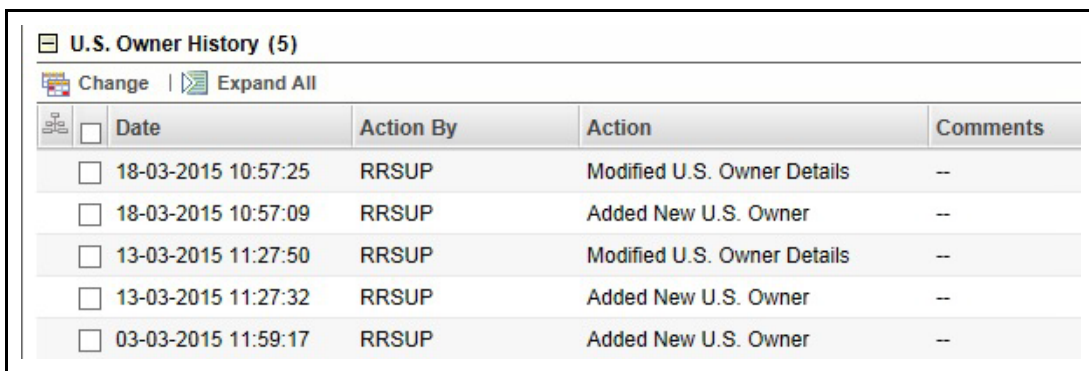
### US Owner History

The US Owner History grid lists the history of the actions or modifications made to the existing US Owner account. To view details about the changes, click **Change** after selecting the US Owner.

The history grid displays the following:

- Date
- Action By
- Action
- Comments

Figure 20. US Owner History Grid



<input type="checkbox"/>	Date	Action By	Action	Comments
<input type="checkbox"/>	18-03-2015 10:57:25	RRSUP	Modified U.S. Owner Details	--
<input type="checkbox"/>	18-03-2015 10:57:09	RRSUP	Added New U.S. Owner	--
<input type="checkbox"/>	13-03-2015 11:27:50	RRSUP	Modified U.S. Owner Details	--
<input type="checkbox"/>	13-03-2015 11:27:32	RRSUP	Added New U.S. Owner	--
<input type="checkbox"/>	03-03-2015 11:59:17	RRSUP	Added New U.S. Owner	--



## Managing Financial Information Tab

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

PART IV Financial Information	
1 Account Number 313131312	2 Currency Code US Dollar
3 Account Balance	9999999999
4a Interest	4c Gross proceeds/Redemptions
4b Dividends	4d Other

**Figure 21. Financial Information in Final Report**

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

Identification of Filer	Account Holder/Payee Information	Financial Information	Related Reports	Documents	Audit
<b>Part IV: Financial Information</b>					
1. Account Number* 313131312		2. Currency Code* US Dollar			
3. Account Balance* 9999999999		Account Status			
4a. Interest --		4c. Gross Proceeds/Redemptions --			
4b. Dividends --		4d. Other --			
Account Number Type		Account purpose Custodial Account			
Payment Type Description --					
<b>Additional Information (0)</b>					
No Data Found					
<b>History (1)</b>					
Change Expand All					
Date	Action By	Action	Comments		
2017-09-19 18:56:00.0	SUPERVISOR	Modified Financial Information	--		

**Figure 22. Financial Information Tab**

The following table explains the fields in Financial Information tab.

**Table 13. Fields in Financial Information Tab**

Fields	Description
Account Number	Enter the account number of the reported account.
Currency Code	Enter the currency code of the reported account.
Account Balance	Enter the account balance of the reported account.
Account Status	Enter the status of the reported account. Following are the options available: <ul style="list-style-type: none"> <li>● Active</li> <li>● Inactive</li> <li>● Dormant (Extended Inactivity)</li> <li>● Closed</li> <li>● Purge</li> </ul>

**Table 13. Fields in Financial Information Tab**

Fields	Description
Interest	Enter any interest payments received by the reported account.
Gross Proceeds/Redemptions	Enter any gross proceeds/redemptions received by the reported account.
Dividends	Enter any dividend payments received by the reported account.
Other	Enter any other payments received by the reported account.
Account Number Type	Select the Account Number type of the reported account.
Account Purpose	Enter the Purpose of the reported account. <b>Note:</b> This field is mandatory for UK reporting.
Payment Type Description	Enter the description of the payment type made by the reported account.

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

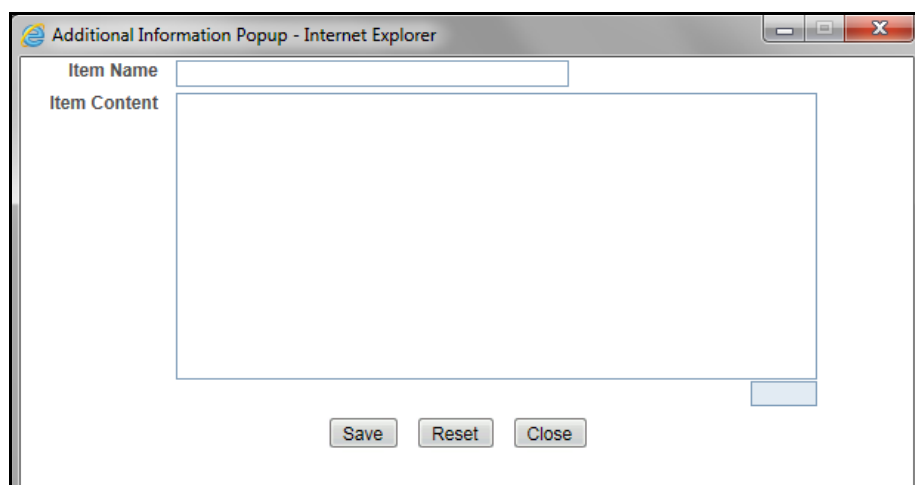
**Note:** If the Account Number, Currency Code and Account Balance are missing from the Financial Information Tab and when you click Save, the application displays the following message: *Account Number, Currency Code and Account Balance are mandatory.*

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

#### Financial Information Additional Information Grid

In this section, you can add additional information related to the account holder or substantial owner. To add additional information, follow these steps:

1. Navigate to the Report Details page.
2. Click the Financial Information tab.
3. In the **Additional Information** section, click **Add**. The Additional Information Popup window is displayed as follows:



**Figure 23. Additional Information**

4. Enter the **Item Name** and **Item Content** details.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.

#### *Financial Information History Grid*

The Financial Information History grid displays the actions performed on that particular report regarding the Financial Information. The following fields are displayed in this grid:

- Date
- Action By
- Action
- Comments

If you want to see the change that has been made from the previous entries, then click on **Change**.

## Managing Related Reports Tab

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

**Figure 24. Related Reports Tab**

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

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

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

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

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

**Table 14. Fields in Related Reports Grid**

Column Name	Description
Report Number	Displays report number of the related report.
Report Name	Displays report name of the related report.
Report Type	Displays the type of the report, Pooled or Individual.
Type of Filing	Displays the type of report filing.
Name of Account Holder	Displays the name of the account owner of the related report.
Case ID	Displays the case ID of the related report.
Name of Owner	Displays the account owner of the related report.
FATCA Status	Displays the FATCA status of the related report.
Report Status	Displays the status of the report.
Created By	Displays the user who has created the report.
Created Date	Displays the date on which the report was created.
Due Date	Displays the due date of the related report.
Reporting Year	Displays the reporting year for which the report was generated.
Source System	Displays the source system from which this data content is extracted.

## Managing Pooled Reporting Tab

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

**Figure 25. Pooled Reporting Tab**

This tab displays the following sections:

- Pooled Reporting Type
- Accounts Included in Report
- History

### ***Pooled Reporting Type***

The Pooled Reporting Type section displays the following fields:

**Table 15. Fields in Pooled Reporting Grid**

Field Name	Description
Pooled Reporting Type	<p>Select any of the following pooled reporting classification type:</p> <ul style="list-style-type: none"> <li>● Recalcitrant Account Holders without US Indicia</li> <li>● Recalcitrant Account Holders without US Indicia</li> <li>● Dormant Accounts</li> <li>● Non-participating Foreign Financial Institutions</li> <li>● Recalcitrant Account Holders that are US Persons</li> <li>● Recalcitrant Account Holders that are Passive NFFEs</li> </ul> <p><b>Note:</b> If Pooled Reporting Type, Number of Accounts, Aggregate Account Balance and Currency Code are missing from the Pooled Reporting Type Tab and if you click save, the application displays the following message: <i>Pooled Reporting Type, Number of Accounts, Aggregate Account Balance and Currency Code are mandatory.</i></p>
Number of Accounts	<p>Displays the number of accounts included in pooled reports. This field displays two text boxes. The first text box field is non-editable and displays the system calculated value for number of accounts and the second text box is an editable field allowing you to enter and save your values.</p> <p><b>Note:</b> The edited value will be given first priority while pushing data into the final report. The value for this field will be hyperlinked. On click of the hyperlink Account Details Grid will be shown. For more information on fields in Account Details grid, refer</p>

**Table 15. Fields in Pooled Reporting Grid**

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

### **Accounts Included in Report**

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

This grid displays the following columns:

**Table 16. Fields in Accounts Included in Report Grid**

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

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

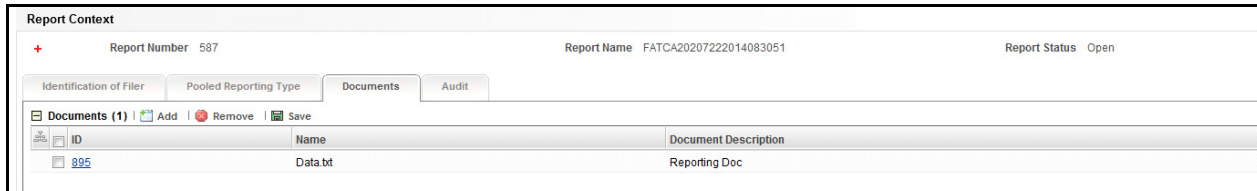
### **History**

The history grid displays the history of the changes made for the Pooled Report. To track and view the changes for the report, click **Change**. The history grid displays the following:

- Date
- Action By
- Action
- Comments

## Managing Documents Tab

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



**Figure 26. Documents Tab**

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

## Attaching Documents

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

To attach a document, follow these steps:

1. Navigate to the Report Details page.
2. Click **Documents**. The Documents section is displayed.
3. Click **Add**. The Add Document window is displayed.

**Figure 27. Adding Documents to FATCA Report**

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

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

5. Click **Browse** to choose a file from your machine.
6. Click **Attach File**. The following message is displayed: *Add Operation Successful*.
7. Click **OK**. The file is attached and you are navigated back to the Add Document window.

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

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

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

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

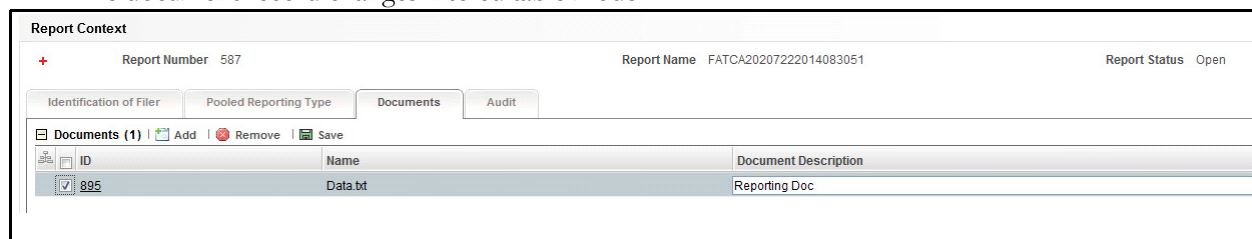
To edit the logical file name and the document description, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Documents** tab.

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

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

The document record changes into editable mode.



**Figure 28. Editing the Logical File Name and Document Description of an Added Document**

4. Edit the Logical File Name or the Document Description.
5. Click **Save**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. The document is updated in the Documents section.

## Removing Documents

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

To remove the documents attached, follow these steps:

1. Navigate to the Report Details page.
2. Click the **Documents** tab.  
The list of documents associated to the report is displayed in the Documents section.
3. Select the check box of the document you want to delete.
4. Click **Remove**. The following message is displayed: *Are you sure you want to remove this record*.
5. Click **OK**. The following message is displayed: *Record removed successfully*.
6. Click **OK**. The document is removed and you are navigated back to the Report Details page.



## Viewing Audit Information

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

Report Context			
Report Number	587	Report Name	FATCA20207222014083051
Report Status	Reopened		
Identification of Filer   Pooled Reporting Type   Documents   <b>Audit</b>			
<b>Actions (6)</b>   Expand All   Export to Excel			
Date	Action By	Action	Comments
25-07-2014 14:21:54	FATCA Supervisor	Set Due Date	Modified due date
25-07-2014 14:21:28	FATCA Supervisor	Reopened	Reopen
25-07-2014 14:21:08	FATCA Supervisor	Cancel Filing	Cancel
25-07-2014 14:20:55	FATCA Supervisor	Add Comments	FATCA Report
25-07-2014 14:17:51	FATCA Supervisor	Added New Document - Data.txt	--
22-07-2014 08:30:51	SYSTEM	Created by System	--
<b>Comments (1)</b>   Expand All   Export to Excel			
Date	Comment By	Comments	
25-07-2014 14:20:55	FATCA Supervisor	FATCA Report	

**Figure 29. Audit Tab**

The Audit tab displays the following sections:

- Actions
- Comments

### Actions

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

**Table 17. Actions Section Field Descriptions**

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

**Table 17. Actions Section Field Descriptions**

Fields	Description
Actions	<p>Displays a short description of the action.</p> <p>The application captures the following actions in the Audit tab:</p> <ul style="list-style-type: none"> <li>● Created from case</li> <li>● Created by System</li> <li>● Created manually</li> <li>● Modified Identification of Filer</li> <li>● Modified Account US Holder/Payee Information</li> <li>● Added New US Owner – Name of the added US Owner</li> <li>● Removed US Owner – Name of the deleted US Owner</li> <li>● Modified US Owner Details – Name of the edited US Owner</li> <li>● Modified Financial Information</li> <li>● Modified Pooled Reporting Type</li> <li>● Added New Document – Name of the added document</li> <li>● Modified Document – Name of the Modified document</li> <li>● Removed Document – Name of the Removed document</li> <li>● Added New Item – Name of the item (When you click <b>Save</b>)</li> <li>● Modified Item – Name of the modified item (When you click <b>Save</b> after modifying an item record)</li> <li>● Removed Item – Name of the removed item (When you confirm the deleted or removed action)</li> </ul>
Comments	Displays the comments entered by the user while performing an action.

### Comments

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

**Table 18. Comments Section Field Descriptions**

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

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

## Taking Actions on FATCA Reports

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

- Requesting the Report Details for Approval
- Approving Reports
- Sending Reports For Rework
- Cancel Filing of Reports
- Reopening Reports
- E-File Generation
- Void E-File Generation
- Generating Revised Report

### Requesting the Report Details for Approval

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

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

For more information, refer to *Table 2*.

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

1. Navigate to the Reports Details page of a report in *Open /Reopen status*.
2. Click **Request for Approval**.

The image shows a screenshot of a web application window titled "Request for Approval". The window has a header area with "Action Type" set to "Request for Approval". Below the header is a "Comments\*" text area, which is currently empty. At the bottom of the window, there are three buttons: "Save", "Clear", and "Close". The window has a standard scroll bar on the right side.

**Figure 30. Request for Approval Window**

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

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

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

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

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

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

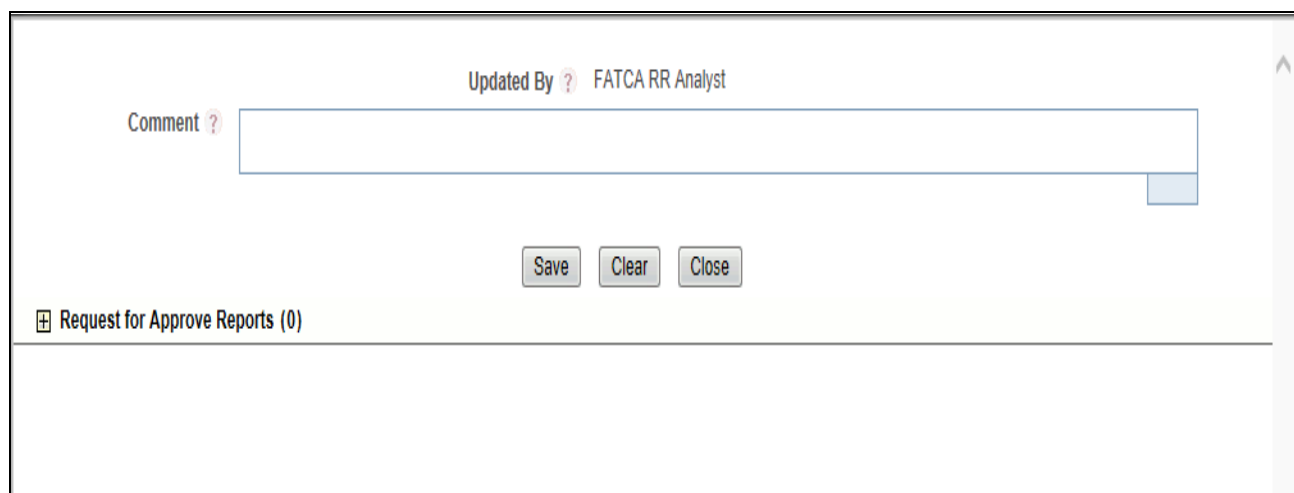
### **Bulk Request for Approval**

An analyst user can perform **Bulk Request for Approval** action.

To perform **Bulk Request for Approval** action, follow these steps:

1. Navigate to the Search and List page.
2. Click **Bulk Request for Approval**.

The *Request for Approve Reports* pop-up window is displayed. User can select all the reports eligible for bulk action in the pop-up window.



**Figure 31. Request for Approve window**

3. Enter the comments in the **Request for Approve Reports** window.

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful*.
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Approved*.

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

## Approving Reports

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

To approve a report, follow these steps:

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

The screenshot shows a modal window titled "Approve". At the top left, it says "Action Type Approve". Below that is a label "Comments\*" followed by a large, empty text input box. At the bottom of the window, there are three buttons: "Save", "Clear", and "Close".

**Figure 32. Approve Window**

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

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Approved*.

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

## Bulk Approving Reports

Users mapped to the role of Supervisor can perform **Bulk Approve** action on individual reports. To take bulk actions, all reports selected for action should be in the same status.

Search and List page and Views page allows you to take **Bulk Approve** action on reports which are in *Open*, *Reopened*, and *Requested for Approval* status.

To perform Bulk Approve action, follow these steps:

1. Navigate to the Search and List page.
2. Click **Bulk Approve**.

The *Approve Reports* pop-up window is displayed. User can select all the reports eligible for bulk action in the pop-up window.

<input type="checkbox"/>	Report Number	Name of Account holder	Account Number
<input type="checkbox"/>	8777		--
<input type="checkbox"/>	8771		--
<input type="checkbox"/>	6503		--
<input type="checkbox"/>	5612		--
<input type="checkbox"/>	5605		--
<input type="checkbox"/>	5598		--
<input type="checkbox"/>	5591		--
<input type="checkbox"/>	5569		--
<input type="checkbox"/>	5551		--
<input type="checkbox"/>	5545		--
<input type="checkbox"/>	5539		--
<input type="checkbox"/>	5534		--

Figure 33. Approve Reports

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

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful*.
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Approved*.

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

## Sending Reports For Rework

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

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

To send a report to rework, follow these steps:

1. Navigate to the Report Details page of a report in *Requested for Approval* status.
2. Click **Rework**. The Rework window is displayed.

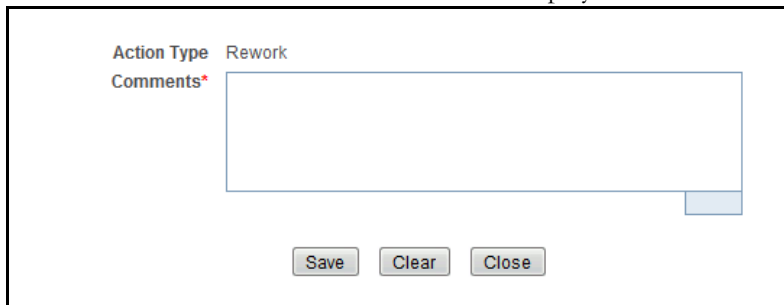
The image shows a screenshot of a web application window titled "Action Type Rework". Inside the window, there is a label "Comments\*" followed by a large, empty text input box. Below the text box, there are three buttons: "Save", "Clear", and "Close". The "Save" button is highlighted with a light blue background.

Figure 34. Rework Window

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

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Rework*.

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

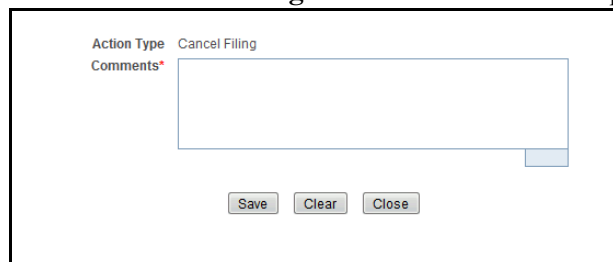
## Cancel Filing of Reports

If a user determine that a report should not be filed they can cancel it. The Report Details page allows authorized users to cancel the reports from being filed. For more information on users who can cancel filing, refer to *Table 2*. Once the report is canceled, you cannot edit the report details and the report changes into *View Only* mode.

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

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

1. Navigate to the Report Details page.
2. Click **Cancel Filing**. The Cancel window is displayed.



**Figure 35. Cancel Filing Window**

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

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *canceled*. The due date of the report is deleted on taking canceled action

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

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

## Bulk Cancel Filing of Reports

Users mapped to the role of Supervisor can perform **Bulk Cancel** action on individual reports. To take bulk actions, all reports selected for action should be in the same status.

**Bulk Cancel Filing** action can be taken on reports which are in *Open*, *Reopened*, and *Requested for Approval* status.

To perform **Bulk Cancel Filing** action, follow these steps:

1. Navigate to the Search and List page.
2. Click **Bulk Cancel**.



The *Bulk Cancel Filing* pop-up window is displayed. User can select all the reports eligible for bulk action in the pop-up window.

Updated By ? FTCRRSUPERVISOR

Comment ?

Save Clear Close

Cancel Filing (36)

<input type="checkbox"/>	Report Number	Name of Account holder	Account Number
<input type="checkbox"/>	9393		--
<input type="checkbox"/>	8777		--
<input type="checkbox"/>	8771		--
<input type="checkbox"/>	8218	Test	ACCT2
<input type="checkbox"/>	7916		--
<input type="checkbox"/>	7213	First Name/Organisation Last Name	ACCT1
<input type="checkbox"/>	6503		--
<input type="checkbox"/>	5612		--
<input type="checkbox"/>	5605		--
<input type="checkbox"/>	5598		--

**Figure 36. Bulk Cancel Filing Window**

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

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *canceled*.

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

## Reopening Reports

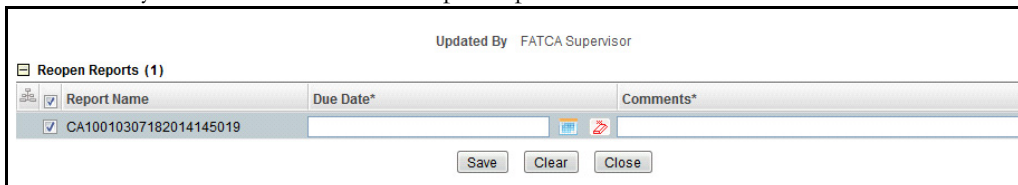
The Search And List page and the Report Details page allows authorized users to initiate reopen action on a report. For more information, refer to *Table 2*.

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

1. Navigate to the Search and List page.
2. Select the check box of the report(s) you want to reopen.

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

3. Click **Reopen**. The Reopen window is displayed.
4. Enter your comments in the Reopen reports window.



**Figure 37. Reopen Window**

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

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

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

5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The Search and List page is displayed and the status of the report changes to *Reopen*.

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

1. Navigate to the Report Details page of a report in *canceled/Submitted* status.
2. Click **Reopen**. The Reopen window is displayed.



**Figure 38. Reopen Window**

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

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Report Details page is displayed and the status of the report changes to *Reopened*.

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

### Bulk Reopening of Reports

The Search And List page allows authorized users to initiate **Bulk Reopen** action on a report.

Reopen only applies if reports are in a *Canceled* status.

To perform **Bulk Reopen** action, follow these steps:

1. Navigate to the Search and List page.
2. Click **Bulk Reopen**

The *Reopen Reports* pop-up window is displayed. User can select all the reports eligible for bulk action in the pop-up window.

Report Number	Name of Account holder	Account Number
9393		--

Figure 39. Reopen Reports Window

### E-File Generation

You can generate E-File only for the reports which are in the *Approved* status. To Navigate to the *File Regulatory Report* screen follow these steps:

1. Select *File FATCA Reports* from **Regulatory Reporting**. The *File Regulatory Report* screen is displayed.
2. The *File Regulatory Report* screen has two sections:

- Approved Report Search
- Approved Report Display

**Approved Report Search**

The Approved Report Search section enables you to search for Approved Reports using certain criterias as stated in the table below:

**Table 1. Approved Report Search**

Field	Description
Report Number	Enter the Report Number for the approved report to search with this criteria. Maximum Length allowed is 50.
Report Name	Enter the Report Name for the Approved Report to search for the approved report with this criteria. Maximum Length allowed is 50.
Type of Filing	Select the type of filing from the drop-down list. The available options are : <ul style="list-style-type: none"> <li>● Void</li> <li>● New</li> <li>● Corrected</li> <li>● Amended</li> </ul>
Report Type	Select the Report Type from the drop-down list. The options are: <ul style="list-style-type: none"> <li>● Individual Reports</li> <li>● Pooled Reports</li> </ul>
Case ID	This field can be used to search reports based on Case ID. Search should include the prefix for Cases like CA. The maximum length allowed is 255.You can Search multiple Case ID using comma separated values.
FATCA Status	Select the FATCA Status from the drop-down list. This enables you to search the approved reports based on FATCA Status. The options in the list are: <ul style="list-style-type: none"> <li>● Recalcitrant</li> <li>● US person</li> <li>● Non-participating Participating FFI</li> <li>● Passive NFFE</li> <li>● Owner Documented FFI</li> <li>● Direct Reporting NFFE</li> </ul>
Account Number	This field can be used to search reports based on Account Numbers. You can Search for multiple Account Numbers using comma separated values. The maximum length is restricted to 255.
Name of Account Holder	Enter the name of the Account Holder. This field can be used to search reports based on Name of Account Holder. The maximum length to be restricted to 255.
Name of Owner	Enter the Name of the Owner of the Account. his field can be used to search reports based on Name of Owner. The maximum length to be restricted to 255.
Jurisdiction	Select the Jurisdiction from the drop-down list. This field allows you to search based the approved reports based on the Jurisdiction.

**Table 1. Approved Report Search**

Field	Description
Geographic Jurisdiction	Select the Geographic Jurisdiction from the drop-down list. This field allows you to search the approved reports based on Geographic Jurisdiction
Business Domain	Select the Business Domain from the drop-down list. This field allows you to search the approved reports based on the business domain.
Approved By	Select the name of the approver from the drop-down list. to search reports based on the approver
Approved Date >=	Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.
Approved Date <=	Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date. <b>Validations:</b> 1. While performing a range search, if you enter a value in 'Approved Date <=' less than 'Approved Date >=', the application displays the following message: Please enter a 'Approved Date <=' which is equal to or greater than Approved Date >=. 2. If you enter a value in 'Approved Date <=' greater than the system date, the application displays the following message: Please enter a 'Approved Date <=' which is earlier than or equal to sysdate.
Name of Filer	Select the Name of the Filer from the drop-down list. This is a mandetory field.
GIIN	This field can be used to search reports based on GIIN of Filer. You can Search for mutiple GIIN using comma separated values. The maximum length to be restricted to 255.
Reporting Yr Start Date >=	This field displays the reporting year start date at the time of report creation. Select the reporting start date from the calendar to display reports having a reporting year start date greater than or equal to the specified date. If the user tries to enter a date in Reporting Year End Date <= which is prior to the date entered in Reporting Year Start Date >=, an error message is displayed: <i>"Please enter a Reporting Year End Date &lt;= which is greater than ' Reporting Year Start Date &gt;="</i> , if the <i>'Reporting Year End Date &lt;= is prior to the date entered in 'Reporting Year Start Date &gt;=</i> .
Reporting Yr End Date <=	This field displays the reporting year end date at the time of report creation. Select the reporting end date from the calendar to display reports having a reporting year start date lesser than or equal to the specified date.
Source System	This field displays the source system from which this data content is extracted.

### Approved Report Display

The Approved Report Display section displays the list of the Approved Reports along with the details as shown below:

- Report Number
- Report Name
- Report Type
- Type of Filing
- GIIN of Filer

- FATCA Status
  - Name of the Filer
  - Account Number
  - Name of the Account Holder
  - Name of the Owner
  - Approved Date
  - Approved By
  - Report
  - Reporting Year
3. Select the Report from the *Approved Report Display* section for which you want to Generate E-File.
  4. Click **Generate E-File**. The *Generate E-File* pop window is displayed.
  5. Enter the comments in the **Comments** text box and click **Save** to save the data.
  6. The E-File is generated and is displayed in the *Reports* menu in PDF format in the *Approved Report Display* Section. The E-File status changes to *Awaiting Submission*.

### **Submitting the Report**

To change the status of the Report to Submitted, follow these steps:

1. Select *File FATCA Reports* from the **Regulatory Reporting** Menu.
2. Select the tab *E-File Status*.
3. The E-File Status screen has the following sections:
  - E-File Search
  - E-File List
  - Upload Acknowledgment
  - Report List
  - Reject a Report
  - Export to Excel

### ***E-File Search***

The E-File search section enables you to search for a Report for which E-File is generated based on certain criteria. The criteria for E-File Search are described in the table below:

Table 19. E-File Search

Field	Description
E-File Number	Enter the E-File Number based on which the reports are searched.
E-File Status	Select the E-File status from the drop-down list. The options are: <ul style="list-style-type: none"> <li>● Awaiting Submission</li> <li>● Submitted</li> </ul>
Case ID	Enter the Case ID based on which the reports are searched.
E-File Generated By	Select the name of the person who has generated the E-File from the drop-down list.
E-File Generated >=	Select the E-File Generated date from the calendar look up. Select a date having a E-File generated date greater than or equal to the specified date.
E-File Generated <=	Select the E-File Generated date from the calendar look up. Select a date having a E-File generated date less than or equal to the specified date. <b>Validations:</b> 1. While performing a range search, if you enter a value in 'E-File Generated Date <=' less than 'E-File Generated Date >=', the application displays the following message: Please enter a 'E-File Generated Date <=' which is equal to or greater than E-File Generated Date >=. 2. If you enter a value in 'E-File Generated Date <=' greater than the system date, the application displays the following message: Please enter a 'E-File Generated Date <=' which is earlier than or equal to sysdate.
Report Number	Enter the Report Number based on which the E-File reports are searched.
Report Name	Enter the Report Name based on which the E-File reports are searched.
Report Type	Select the Report Type from the drop-down list. The options are: <ul style="list-style-type: none"> <li>● Individual</li> <li>● Pooled</li> </ul>
Account Number	This field can be used to search reports based on Account Numbers. You can Search for multiple Account Numbers using comma separated values. The maximum length is restricted to 255.
Name of Account Holder	Enter the name of the Account Holder. This field can be used to search reports based on Name of Account Holder. The maximum length to be restricted to 255.
Name of Owner	Enter the Name of the Owner of the Account. his field can be used to search reports based on Name of Owner. The maximum length to be restricted to 255.
Type of Filing	Select the type of filing from the drop-down list. The available options are : <ul style="list-style-type: none"> <li>● Void</li> <li>● New</li> <li>● Corrected</li> <li>● Amended</li> </ul>
Name of Filer	Select the Name of the Filer from the drop-down list. This is a mandatory field.

**Table 19. E-File Search**

<b>Field</b>	<b>Description</b>
GIIN of Filer	This field can be used to search reports based on GIIN of Filer. You can Search for multiple GIIN using comma separated values. The maximum length to be restricted to 255.
Reporting Yr Start Date >=	This field displays the reporting year start date at the time of report creation. Select the reporting start date from the calendar to display reports having a reporting year start date greater than or equal to the specified date. If the user tries to enter a date in Reporting Year End Date <= which is prior to the date entered in Reporting Year Start Date >=, an error message is displayed: <i>"Please enter a Reporting Year End Date &lt;=' which is greater than ' Reporting Year Start Date &gt;="</i> , if the <i>'Reporting Year End Date &lt;=' is prior to the date entered in 'Reporting Year Start Date &gt;=</i> .
Reporting Yr End Date <=	This field displays the reporting year end date at the time of report creation Select the reporting end date from the calendar to display reports having a reporting year start date lesser than or equal to the specified date.
Source System	This field displays the source system from which this data content is extracted.

### **E-File List**

The E-File List section displays the Search Result of the reports that has been processed for E-Filing. The following fields are displayed in this section:

- E-File Number
- Type of Filing
- E-Filer Generated Date
- E-File Generated By
- Comments
- E-File Status
- E-File

To Submit a report follow these steps:

4. Select the Report from the E-File List which you want to submit.
5. Click **Submit**. The *E-File Submission* pop up window is displayed.
6. Enter your comments in the Comment section and click **Save**.
7. If you have multiple files under one E-File for which a single comment is applicable, check the option *Apply comment to all included E-File (Enter comments for the First E-File only to apply to all)*
8. The E-File status changes to *Submitted*.

### **Upload Acknowledgment**

Once the status is submitted, acknowledgment can be uploaded through **Upload Acknowledgment** function. This button is placed in the e-file grid.

1. Check the E-File number for which you want to upload acknowledgment. Fill in the required filed, upload the notifications and Save.



2. Once the notification is uploaded it is displayed in the **Notification Grid** below. The grid has following columns:

- Notification Reference ID
- Notification Timestamps
- Notification Type
- Notification Code
- Notification Content text
- Action required
- Action Requested Due date
- Reporting Period Date
- Message Type Code
- Message Reference ID
- XML
- Field Chooser

Under Notification list grid **Record/Field Level Error** sub-section is displayed. This sub-section contains the list of report uploaded in each notifications. When user check any notification in the list above the list of reports uploaded in the notification is displayed here. The **Record/Field Level Error** sub-section grid displays the following column:

- FATCA Report Type Code
- Document Type Code
- DocRefId - Document Reference ID
- CorrDocRefId - Corrected Document Reference ID
- Record Level Error Code
- Field Name
- Field Error Text
- Field Error Code

### Report List

The Report List section lists the multiple reports if any for a single E-File. To view the multiple reports, select the E-File from the E-File List. The file details are displayed in the Report List section. The following fields are displayed:

- Report Number
- Report Name
- Report Type
- Type of Filing
- FATCA Status

- Name of Filer
- Account Number
- Name of Account Holder
- Name of Owner
- Approved Date
- Approved By
- Report
- Reporting Year

### **Reject a Report**

To Reject a report follow these steps:

1. Select the report from the Report List which you want to reject.
2. Click **Reject**. The Reject Report pop up window is displayed.
3. Enter your comments in the *Comments* text box and click **Save**.
4. If you have multiple files under one E-File for which a single comment is applicable, check the option *Apply comment to all included E-File (Enter comments for the First E-File only to apply to all)*
5. The E-File Status is changed to *Rejected*.

**Note:** You can only Reject reports which are in *Awaiting for Submission* status.

### **Export to Excel**

You can export the report details in excel format from the application. To export the report, select the report from the E-File List or the Report List section and click **Export**.

Your report data will be exported into excel.

### **NIL E-File Generation**

To navigate to the NIL XML tab, follow these steps:

1. Select *File FATCA Reports* from **Regulatory Reporting**. The *File Regulatory Report* screen is displayed.

2. Click **NIL XML** tab. This tab has the following two sections:

- Reports Search
- Approved Reports Display

**Note:** NIL XML is supported only for US region.

### Reports Search

The Report Search section enables you to search for Approved Reports using certain criterias as stated in the following table:

**Table 20. Report Search**

Field	Description
GIIN	Select the GIIN from the drop-down list. <b>Note:</b> This is a mandatory field
Name of Filer	Select the Name of the Filer from the drop-down list. <b>Note:</b> This is a mandatory field. and is populated on GIIN selected.
Reporting Yr Start Date >=	This field displays the reporting year start date at the time of report creation. Select the reporting start date from the calendar to display reports having a reporting year start date greater than or equal to the specified date. If the user tries to enter a date in Reporting Year End Date <= which is prior to the date entered in Reporting Year Start Date >=, an error message is displayed: "Please enter a Reporting Year End Date <= which is greater than ' Reporting Year Start Date >=", if the 'Reporting Year End Date <=' is prior to the date entered in 'Reporting Year Start Date >=. <b>Note:</b> This field is mandatory.
Reporting Yr End Date <=	This field displays the reporting year end date at the time of report creation. Select the reporting end date from the calendar to display reports having a reporting year start date lesser than or equal to the specified date. <b>Note:</b> This field is mandatory.

## Approved Reports Display

The Approved Report Display section displays the list of the Approved Reports along with the details as shown below:

- Report Number
- Type of Filing
- GIIN of Filer
- FATCA Status
- Name of Filer
- Account Number
- Name of Account Holder
- Approved Date
- Approved By
- Report
- Source System
- Reporting Year

## Generating NIL E-File

To generate NIL E-File, follow these steps:

1. Select the Report from the *Approved Report Display* section for which you want to Generate NIL E-File.
2. Click **Generate NIL E-File**. The *Generate E-File* pop window is displayed.

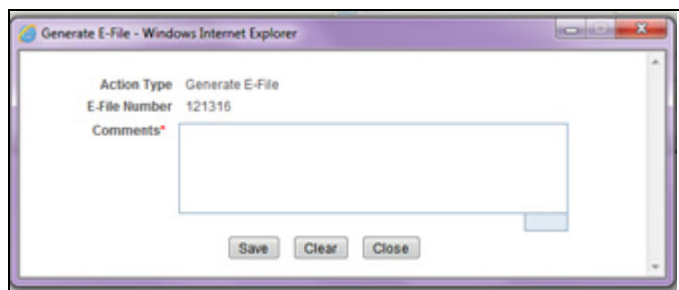


Figure 40. Generate E-File window

3. Enter the comments in the **Comments** text box and click **Save** to save the data.
4. The E-File is generated and is displayed in the **E-file Status** tab.

## Generating Revised Report

Click **Generate Revised Report** to generate a new, corrected, amended, or void revised report for on an already submitted report. The Generate Revised Report action window is displayed.

Once you click **Generate Revised Report**, a new report is created with *Open* status. The new report has the details of the original report. The newly created report records the originating report as the Prior Report Number.

Select the Type of Filing from the drop-down list. The options are:

- Corrected
- Amended
- Voided

If you select **OK**, the system would generate a new report. The system generates a Message indicating the report creation successfully.

If you select **Cancel**, the system would close the message popup and the you would remain on the current report with no changes made.

## Setting Due Date For Reports

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

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

**Table 21. Due Date Attributes**

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

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

**Table 22. Setting Due Date**

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

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

1. Navigate to the Report Details page of a report.
2. Click **Set Due Date**. The Set Due Date Action window is displayed.

**Figure 41. Set Due Date Window**

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

**Note:** This field is a mandatory field.

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

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

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

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

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

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

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

1. Navigate to Search and List page.
2. Select the check box of the report you want to set the due date for.
3. Click **Set Due Date** in the Action bar. The Set Due Date window is displayed.

Updated By: FATCA Supervisor		
Set Due Date (1)		
Report Name	Due Date*	Comments*
<input checked="" type="checkbox"/> CA10089307182014145020	31-12-2014	

**Figure 42. Set Due Date from Search and List Page**

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

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

**Note:** This field is a mandatory field.

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

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

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

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

6. Click **Save**. The following message is displayed: *Update Operation Successful*.
7. Click **OK**. The Search and List page is displayed.

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

## ***Adding Comments to Report***

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

1. Navigate to the Report Details page of a report.
2. Click **Add Comments**. The Add Comments Action window is displayed.

The image shows a screenshot of a software window titled "Action Type Add Comments". Inside the window, there is a label "Comments\*" followed by a large, empty text input box. Below the input box, there are three buttons: "Save", "Clear", and "Close". The window has a simple, clean design with a white background and a thin border.

**Figure 43. Add Comments Action Window**

3. Enter the comments in the Action window.

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

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

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Action window closes and displays the Report Details page.

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



## Exporting the Report Details to Excel

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

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

1. Navigate to the Search and List page.
2. Click **Export to Excel**. The Export Properties dialog box is displayed.

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

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

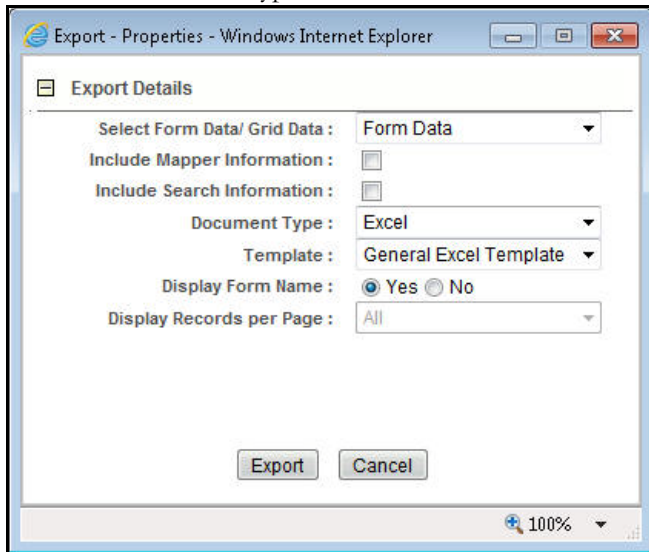


Figure 44. Export Properties Dialog Box

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

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

5. Click **Save** from the dialog box. The Save As dialog box is displayed.
6. Select a directory location where you want to save the file.
7. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.
8. Click **Save**.

The application saves your file to the specified location.

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

## Managing FATCA Analytics Report

Analytics report provides business user an overall idea on reports statistics over the years. For more details refer to *FCCM Analytics User Guide*.





