

# TAX REPORTING SUITE

## MODULE SEI

### VERSION 1911



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USERS'S MANUAL

Published: Nov 2019

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# Revision History

Product Version	Document Version	Revision Date	Description
1801	Rev 0	21.01.2018	Initial Revision
1802	Rev 1	27.02.2018	Minor improvements
1803	Rev 2	21.03.2018	No changes
1807	Rev 3	31.03.2018	TRSuite Work Item
1812	Rev 4	17.12.2018	No changes
1902	Rev 5	12.02.2019	Typos fixed
1911	Rev 6	07.11.2019	Major update: New XML schema v1.2, excel template updates, see release notes for further information
1911	Rev 7	25.11.2019	Minor fixes, additional settings, search dialog, PDF TOC

# The Main Window

The Main window is the launch point for the entire application. You can select the licensed module in the modules button bar and perform the module specific tasks within main area of the module.

Each module comes with its own module menu and detail area.

**Modules Button Bar** – shows all available modules of the software.

**Module Menu** – module specific menu options

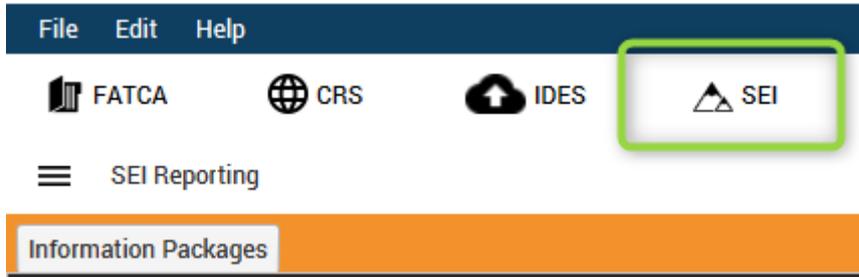
**Menu options**

**Module Main Area** – the main working area of a module, where all module specific tasks can be executed

**Module Details Area** – includes general information and details for the selected module

## SEI: Module Overview

This guide provides information about the Administrative assistance and judicial assistance (SEI) module of the TRSuite software package (FATCA group request). It describes processes and procedures for generating a FATCA Information Delivery Package.



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The screenshots throughout the USER'S MANUAL are produced on Windows 10 using the Windows Look and Feel.

## Reference

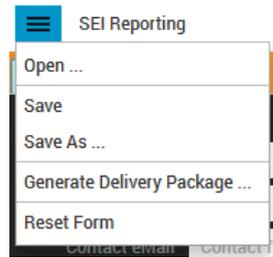
In addition to this Users Guide, the following online resources may be useful:

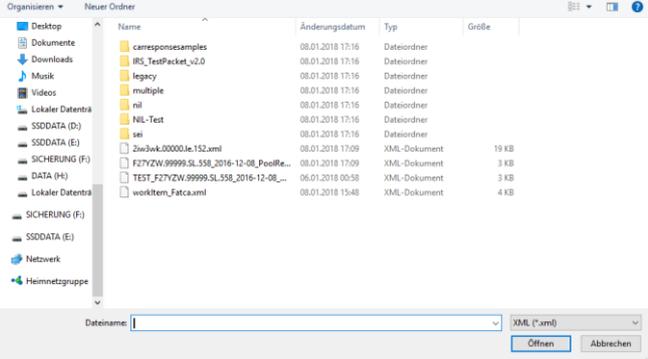
- ESTV portal: <https://www.estv.admin.ch/estv/de/home/internationales-steuerrecht/fachinformationen/amts-und-rechtshilfe/amtshilfe-nach-fatca.html>
- XML schema definition: <https://www.estv.admin.ch/dam/estv/de/dokumente/intsteuerrecht/themen/fatca/sei-xml.zip.download.zip/sei-xml.zip>
- Technical Specification and User Guide for Financial Institutions according to FATCA IGA 2: <https://www.estv.admin.ch/dam/estv/de/dokumente/intsteuerrecht/themen/fatca/sei-fatca-userguide-v1-0.pdf.download.pdf/sei-fatca-userguide-v1-0.pdf>

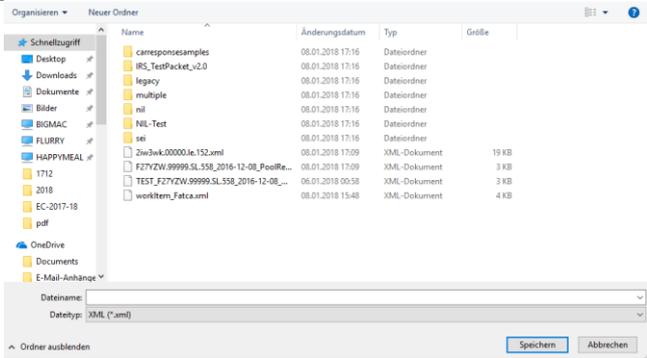
Before filing a SEI Report, please ensure that you are familiar with your country specific Guidance Notes.

## SEI Menu Items

The SEI menu includes the following elements

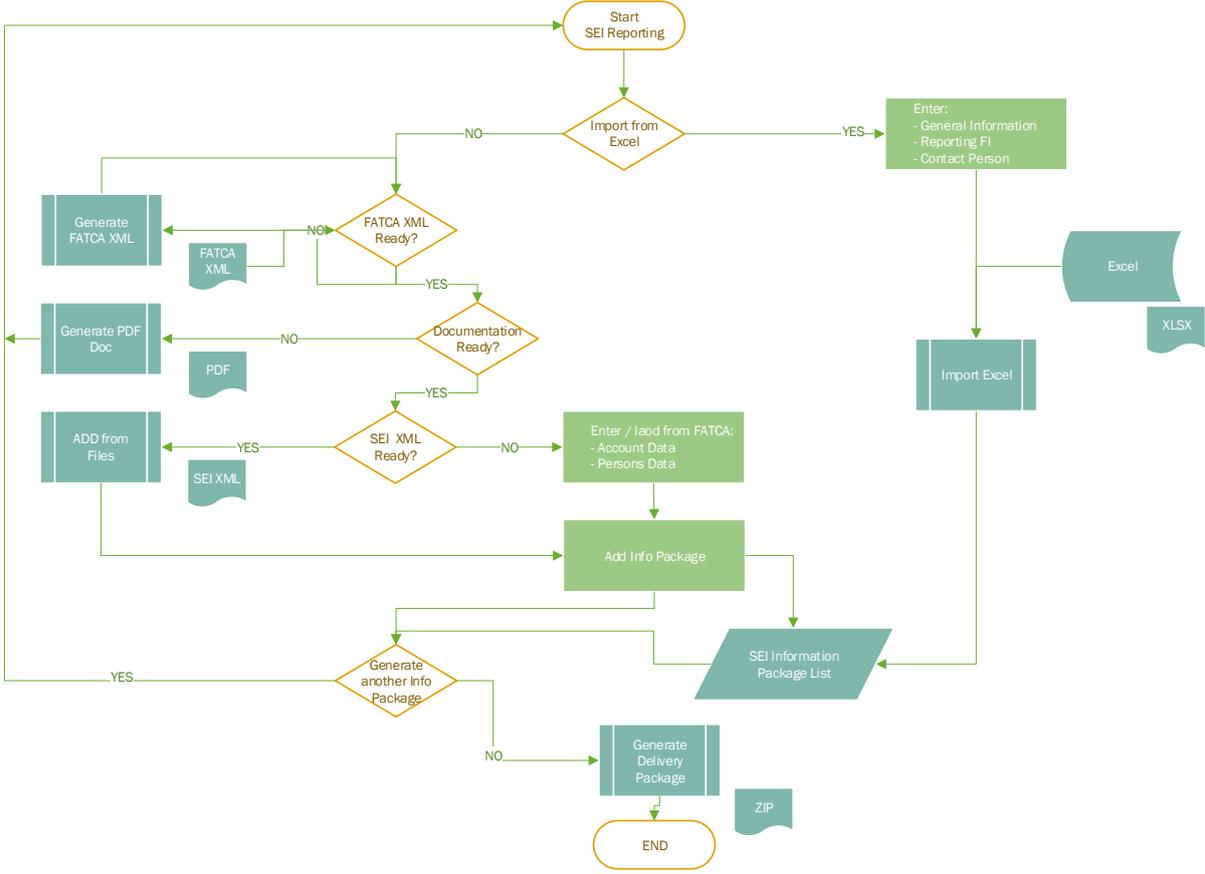


Menu Options	Description
<p>Open ...</p>	<p>Once you've saved a document, you may want to access it again to make changes or correct it out. From the menu, choose "Open ..."</p>  <p>An 'Open' dialogue box will pop up. From this, find your way to the folder in which your document is saved. Folders are shown down the left-hand side of the dialogue box. Once you've located your document and clicked on it to select it, its name will be shown in the 'File name' box at the bottom of the dialogue box.</p>  <p>Click <b>Open</b>, the document will then be opened.</p>
<p>Save</p>	<p>From the menu, choose "Save" to save the current work.</p>  <p>A 'Save' dialogue box will come up, if pressed the first time. At the top and at the left-hand side in the list of folder options, it will show the folder where you'll be saving the document. If you wish to change this folder, navigate through the folders on the left-hand side of the dialogue box to choose the one where you want to save your document.</p>

	 <p>Type a name for your document in the 'File name' box. Come up with a name that is concise but will allow you to find the document easily again.</p> <p>Once you have typed in the name of your document, click <b>Save</b></p> <p>Your document will now have a name, which will be shown at the right file info screen. If you make changes to your document and then save them after it has been saved originally, the dialogue box will not come up again. It will just save your changes without any visual notification being shown.</p>
Save As ...	 <p>The 'Save As' menu is used to save an existing document under another name. This is helpful if you've made changes to your document and then want to save the changes, but also keep the original document in its original format and under its original name.</p>
Generate Delivery Package ...	<p>The 'Generate Delivery Package ...' menu is used to generate a delivery package from the entered data.</p>
Reset Form	<p>The Reset Form menu resets the values of all elements in the CRS main area.</p>

**Basic Workflow**

The module offers different options on how the required data can be collected and imported into TRSuite. The SEI-XML generation requires data which is often not readily available and must be retrieved and pre-processed. Typically, the data is collected in one of our provided excel templates. This allows to have all data at a single source and generate the SEI-XML as well as the FATCA-XML during the import. Also, multiple PDF documents can be merged to a single PDF.



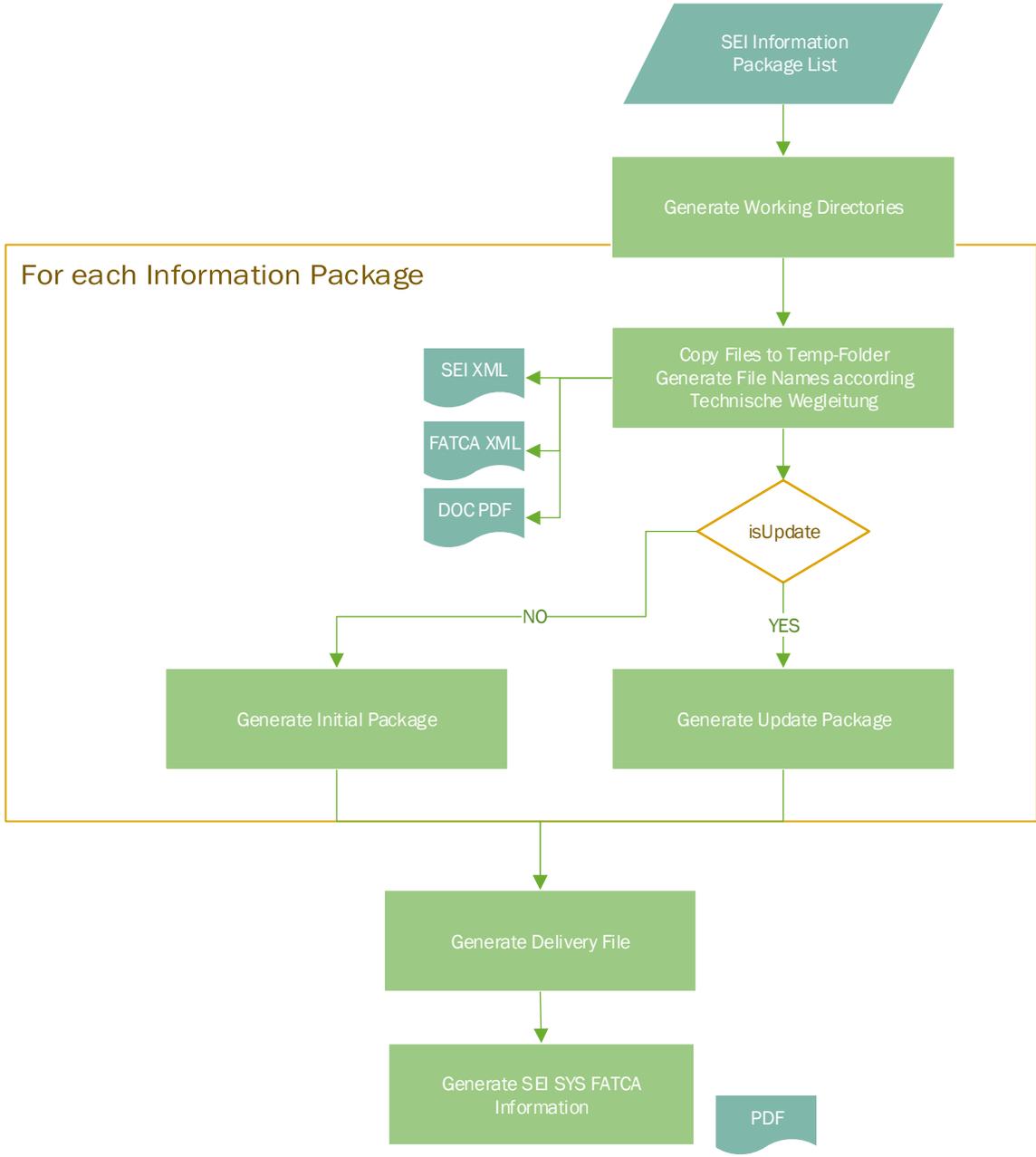
The data is grouped in so called information packages. Once all data is available and validated, it can be exported into a delivery file as specified by the FTA. If required, multiple delivery files are generated, if size or number of information packages exceed the maximum defined number.

### Information Delivery

A delivery from an FI to the FTA always consists of a single encrypted delivery file (ZIP format encrypted with AES256-Bit, Deflate compression method) containing at least one unencrypted information package (ZIP format, Deflate compression method) with the actual content.

An information package represents a dossier that contains only new or updated information that needs to be delivered to the FTA.

An initial information package can only be sent once per enquiry and dossier, all following information packages concerning the same dossier must be delivered as an update information package. update information package represents updated information for a dossier that has already been delivered to the FTA in a previous delivery. It always contains an updated SEI-XML, optionally an updated PDF documentation and/or updated FATCA-XML



## User Interface

Within the Information Packages Tab all relevant information can be entered to generate a valid delivery package and enter / correct all SEI-XML relevant information. FATCA-XML reports can be corrected or validated in the FATCA module of TRSuite.

The screenshot displays the TRSuite Information Packages interface. It is divided into several sections:

- General Information (Red box):** Contains fields for FI Number (0001), Year (2019), Request Number (0001), Contact eMail (contact@me.org), Transmission Number (0001), Password, Working Directory (H:\TMP), Initial Serial Number (000001), and Reporting Period (2015-12-31). A red callout box states: "General Information Used for SEI- & FATCA-XML header and reporting FI information + Delivery Package".
- Dossier Information (Blue box):** Contains fields for ID, Name, and Details. A blue callout box states: "Dossier Information Used for SEI-XML".
- Status and Progress Information (Pink box):** Contains a STATUS section. A pink callout box states: "Status and Progress Information".
- List of all Information Packages (Green box):** A section on the right with a search bar and a message: "Kein Content in Tabelle".

## General Information

The General Form Info contains common information to identify the financial institution (FI), information about the Request and relevant data about the transmission.

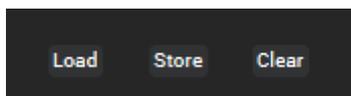
If leading zeros are required, the tool enters the missing digits after hitting enter/tab when editing the according text field.

This close-up screenshot shows the General Information form with the following fields and values:

Field	Value
FI Number	0001
Year	2019
Request Number	0001
Contact eMail	contact@me.org
Transmission Number	0001
Password	(Optional) generated if not provided
Working Directory	H:\TMP
Initial Serial Number	000001
Reporting Period	2015-12-31

- **FI Number:** Contains the unique number of the financial institution (FI).

- **Transmission Number:** Sequential transmission number (to be provided by the FI, starting with 0001 for every delivery, incremented by 1 per delivery, with leading zeros)
- **Request Number:** Number of the request (4 numbers, defined by the FTA)
- **Year:** Year of the request’s reception (4 numbers, defined by the FTA)
- **Contact eMail:** Used as information, when generating the FATCA Credential Form ([https://www.estv.admin.ch/dam/estv/de/dokumente/intsteuerrecht/themen/fatca/sei-fatca-credentialform\\_v1-0.pdf.download.pdf/SEISYS\\_FATCAInformationDelivery\\_CredentialForm\\_v1.0.pdf](https://www.estv.admin.ch/dam/estv/de/dokumente/intsteuerrecht/themen/fatca/sei-fatca-credentialform_v1-0.pdf.download.pdf/SEISYS_FATCAInformationDelivery_CredentialForm_v1.0.pdf))
- **Reporting Period:** Used during excel import to generate the FATCA-XML message header information
- **Initial Serial Number:** Used during excel import to generate the “Dossier Serial Number”, starts with the given number and is increased by 1 for each single dossier (information package)
- **Password:** Password used to encrypt the information delivery. A password can be entered manually or generated by the application. All passwords used in an information delivery must meet the following conditions:
  - at least 17 and at most 24 characters long
  - at least one upper case character is used (A, B, C, ...)
  - at least one lower case character is used (a, b, c, ...)
  - at least one digit is used (1, 2, 3, ...)
  - at least one special character is used (?, !, \$, ...)
  - must not contain look-alike characters (O/O, l/l, ...)
  - must not have been used in another information delivery before.
- **Working Directory:** Where all output is stored. The following directory structure is generated within the folder:
  - **sei\_temp:** all artefacts generated during the process are stored here
  - **sei\_upload:** the generated delivery files and credential forms are stored here



All entered general information can be locally stored and (re) loaded for future reporting. “Clear” resets the entered data.

### Reporting Financial Institute (FI)

Information used to generate the SEI-XML files and partly during the excel import to generate the FATCA-XML reporting FI:

General Information	Reporting FI	Contact Persons	Settings
GIIN	123456.12345.LE.156	Reporting Swiss FI	YES
Name	Universal Suisse Bank	Local Client Base	YES
Street	Prada Platz	Filer Category	FATCA_604
City	Zurigo	Generated SEI Address:	
Postal Code	8000	Line 1: Universal Suisse Bank	
Country Code	CH	Line 2: Prada Platz	
		Line 3: CH-8000 Zurigo	

- **GIIN:** The GIIN of the reporting Swiss FI. If this is a sponsored entity that does not have a GIIN, the GIIN of the sponsoring entity must be given. Otherwise, the sponsoring entity appears only as a contact person (in addition to the sponsored entity).
- **Name:** the name of the reporting Swiss FI where the account is held.
- **Address:** The full postal address of the reporting Swiss FI where the account is held in a structured way as required by FATCA-XML. The structured address is transformed to the line-based address as required by SEI-XML
  - **Street, City, Postal Code, Country Code**
  - FI-Name becomes Line 1: This element is the first line of the full postal address and generally contains the name of the addressee.
  - Street becomes Line 2: This element is the second line of the full postal address.
  - Country Code, Postal Code & City becomes Line 3: This element is the third line of the full postal address
  - Line 4-6: optional and not used
- **Reporting Swiss FI:** It must be declared under the element that the information holder is a reporting Swiss financial institution which is not identified as a non-reporting Swiss financial institution in Annex II of the FATCA Agreement and that does not otherwise qualify as a deemed-compliant FFI, an exempt beneficial owner, or an excepted FFI under relevant US Treasury Regulations (Art. 2 para. 1 (15) and (16) of the FATCA Agreement [Reason: condition for administrative assistance eligibility]).
- **Local Client Base:** It must be specified under the element if the reporting Swiss FI is a financial institution with a local client base in accordance with Annex II section II part A 1. of the FATCA Agreement. This information is particularly important for the SEI because the individual accounts of a financial institution with a local client base must only be reported if the specified US person is not a resident of Switzerland (see also Annex II section II part A 1. f. of the FATCA Agreement and section 6 of the PDF documentation described in chapter 4.5.2.2).
- **Filer Category:** Used for FATCA-XML generation during excel import

General Information	Reporting FI	Contact Persons	Settings														
<table border="1"> <thead> <tr> <th>Contact</th> <th>eMail</th> </tr> </thead> <tbody> <tr> <td>Contact Franz</td> <td>franz@contact.me</td> </tr> </tbody> </table>		Contact	eMail	Contact Franz	franz@contact.me	<table border="1"> <thead> <tr> <th colspan="2">Contact Details</th> </tr> </thead> <tbody> <tr> <td>Name</td> <td><input type="text" value="Contact Franz"/></td> </tr> <tr> <td>Phone</td> <td><input type="text" value="+4179123456"/></td> </tr> <tr> <td>Email</td> <td><input type="text" value="franz@contact.me"/></td> </tr> <tr> <td colspan="2" style="text-align: right;"> <input type="button" value="NEW / CLEAR"/> <input type="button" value="UPDATE"/> </td> </tr> </tbody> </table>		Contact Details		Name	<input type="text" value="Contact Franz"/>	Phone	<input type="text" value="+4179123456"/>	Email	<input type="text" value="franz@contact.me"/>	<input type="button" value="NEW / CLEAR"/> <input type="button" value="UPDATE"/>	
Contact	eMail																
Contact Franz	franz@contact.me																
Contact Details																	
Name	<input type="text" value="Contact Franz"/>																
Phone	<input type="text" value="+4179123456"/>																
Email	<input type="text" value="franz@contact.me"/>																
<input type="button" value="NEW / CLEAR"/> <input type="button" value="UPDATE"/>																	

- **Contact Person List:** Contact persons of the reporting Swiss FI (or the sponsoring entity) can be entered.
  - **Name:** The full name of the FI's contact person must be entered.
  - **Phone:** The telephone number of the FI's contact person must be entered (comma separated list in case >1 phone number needs to be entered)
  - **eMail:** The e-mail address of the FI's contact person must be entered.

### Settings

General Information	Reporting FI	Contact Persons	Settings
No. of information packages	5000	Legal Entity	003
Max uncompress size [MB]	250	Business Unit	0011
Generate Page Numbers for PDF	<input checked="" type="checkbox"/>		
Create Documentation TOC	<input checked="" type="checkbox"/>		
check PDF/A-1b compatibility	<input type="checkbox"/>		

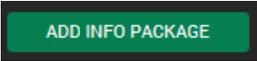
- **No. of information packages:** Default Value (5000) - Restriction of the delivery file: the number of information packages within a delivery file must not exceed the number of 5000. For testing (and future changes) the number can be set.
- **Max uncompressed size [MB]:** Default Value (250) – Restriction of the size of the Delivery File: the uncompressed content of a delivery file must not exceed the size of 250MB. For testing (and future changes) the size can be set
- **Generate Page Number for PDF:** set this option, if the OCR numbering should be set during importing (and merging) the PDF documentation (excel import)
- **Create Documentation TOC:** if this option is set, a table of content is generated during importing (and merging) the PDF documentation (excel import)
- **Check PDF/A-1b compatibility:** if set, during generation of the delivery file PDF files are checked for PDF/A-1b compatibility

### Information Packages

A delivery from an FI to the FTA always consists of a single encrypted delivery file (ZIP format encrypted with AES256-Bit, deflate compression method) containing at least one unencrypted information package. The single information package information can be collected under the information package area.

#### Overview

The “Information Packages” table show all current gathered information packages (dossiers). Selecting a single entry from the list, shows the details in the dossier, SEI-XML and Persons area. New data can be added by using the “ADD PACKAGE” functionality after adding all mandatory elements.

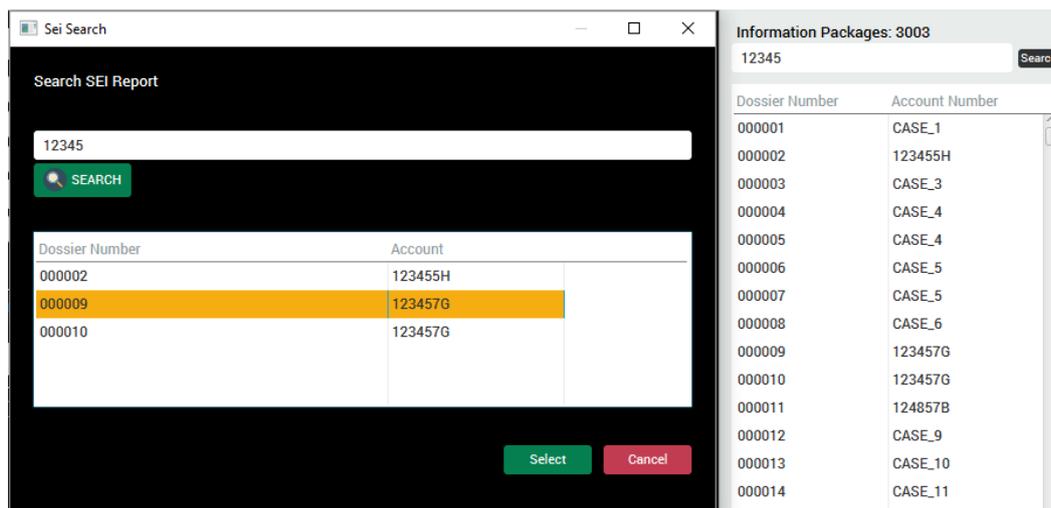


Information Packages	
Dossier Number	Account Number
000001	CASE_1
000002	123455H

#### Search

It is possible to search for an existing information package. Pressing the “Search”-Button opens the search dialog (if a search term is entered, the result is shown in the dialog). If no term is entered, follow the following steps

- Enter the search term
- Press the “SEARCH”-Button
- Select the matching result entry and
- Press “Select” to display the information package or “Cancel” to discard the search result



Following fields are taken into consideration for the search:

- Account number
- Internal Account ID (technical ID – if defined in data dictionary)
- Dossier Serial Number
- FI specific Person ID
- Last Name, if individual
- First Name, if individual
- Name of organization

If you require any other field, please contact: [support@section11.ch](mailto:support@section11.ch)

After selecting the information package from the list, the dialog can be closed. The selected entity is display.

### *Dossier*

An information package represents a dossier that contains information that needs to be delivered to the FTA. You can generate initial and update information packages.

An initial information package can only be sent once per enquiry and dossier, all following information packages concerning the same dossier must be delivered as an update information package.

An initial package contains the following elements:

- 1 (one) SEI-XML file
  - Content: dossier meta data for one FATCA account report
  - File name: 631.3-YYYY-US-AAAA-BBBB-NNNNNN.xml
- 1 (one) Documentation PDF file
  - Content: documentation copies (1-n pages) for one FATCA account report
  - File name: 631.3-YYYY-US-AAAA-BBBB-NNNNNN.pdf
- 1 (one) FATCA-XML file
  - Content: Account report corresponding to SEI-XML dossier
  - File name: 631.3-YYYY-US-AAAA-BBBB-NNNNNN-FATCA.xml

The correct names are set by the tool during the generation of the delivery file.

An update package contains the following elements:

- 1 (one) SEI-XML file
  - Content: dossier meta data for one FATCA account report
  - File name: 631.3-YYYY-US-AAAA-BBBB-NNNNNN-MM.xml
- 0-1 (zero to one) Documentation PDF file
  - Content: documentation copies (1-n pages) for one FATCA account report
  - File name: 631.3-YYYY-US-AAAA-BBBB-NNNNNN-MM.pdf
- 0-1 (zero to one) FATCA-XML file
  - Content: Account report corresponding to SEI-XML dossier
  - Content: 631.3-YYYY-US-AAAA-BBBB-NNNNNN-FATCA-MM.xml

Depending on the type, different information is required. Following is always required:

- **Dossier Serial Number:** This is the dossier serial number. It is a consecutive serial number assigned by the FI that begins again at 000001 for each FATCA group request. The FI may not use the numbers 900000-999999 (for SEI internal use).
- **Comment:** Any (optional) comments the FI would like to make can be entered here.
- **Path to FATCA XML:** Path to the FATCA XML 2.0 compliant data file
- **Path to PDF Doc:** Path to the PDF documentation

### Initial Package

Opens the selected FATCA XML 2.0 in the TRSuite FATCA module

Opens the system default PDF viewer and displays the selected PDF file

### Update package

An update information package represents updated information for a dossier that has already been delivered to the FTA in a previous delivery. It always contains an updated SEI-XML, optionally an updated PDF documentation and/or updated FATCA-XML.

LOAD FROM FATCA

- **Update Number:** A consecutive serial number assigned by the FI that begins again at 01 for each dossier number assigned.
- **SEI XML Update:** It is mandatory for an update information package to contain an SEI-XML.
- **FATCA XML Update:** For each update information package, it must be stated if it contains a FATCA-XML update.
- **Path to FATCA XML:** Path to the updated XML file
- **PDF Update:** For each update information package, it must be stated if it contains a PDF update
- **PDF Update Details:** If an update information package contains a PDF update, explanations on this can be entered under the element if necessary.
- **Path to PDF Doc:** Path to the updated PDF document

### Account data (SEI-XML)

Information about the reported account can be entered in the Account panel as described below:

Dossier	Account	Persons
Account Number	corresponds to the AccountNumber as defined in the FATCA-XML Schema	
Doc Ref ID	corresponds to the DocRefID as defined in the FATCA-XML Schema	
Category	ORGANISATION	Type
Pool Report Type		Aggregated Accounts
Account Classification		Previously Reported
FATCA Financial Account		Multiple Specified US Persons
Consent Received		TIN Available
US Account		Due Dilligence Regulations Elected
Account Relationships		Definition Regulations Elected
US Indicia	SEI301: Incorporation under US law (specified US entity) SEI302: Place of incorporation in the US (specified US entity) SEI303: US address (specified US entity)	
US Indicia Comment		

- **Account Number:** The Account Number used in the FATCA-XML that is to be sent to the SEI must be entered.
- **Doc Ref ID:** The Document Reference ID used in the FATCA-XML that is to be sent to the SEI must be entered so that a connection with the corresponding Account Report in the FATCA-XML can be established.
- **Category:** It must be indicated if the account is an individual account or an entity account
- **Type:** It is mandatory to fill in the element Account Type if the value "Organisation" was entered in the element Category.
- **Pool Report Type:** The value under which the account was reported in aggregate form to the IRS (FATCA-XML) must be entered.
- **Aggregated Accounts:** The aggregation of the balance of the account with the balances of other accounts
- **Account Classification:** It must be indicated if the account is a preexisting account or a new account.
- **FATCA Financial Account:** It must be declared under the element FATCAFinancialAccount that the account is a financial account as established in relevant US Treasury Regulations and is not an account, product or arrangement identified as excluded from the definition of financial

account in Annex II of the FATCA Agreement (Art. 2 para. 1 (22) of the FATCA Agreement [Reason: condition for administrative assistance eligibility]).

- **Previously Reported:** The previous reporting of the account to the SEI on the basis of a FATCA group request made by the IRS in the past.
- **Consent Received:** It must be stated under the element ConsentReceived whether or not consent has been received for reporting the banking information to the IRS (
- **Multiple Specified US Persons:** Indicates, if in the case of a passive NFFE, multiple controlling specified US persons are named in the same AccountReport. This information is important for the SEI because it must black out information in the case of a diverging result regarding eligibility for administrative assistance
- **US Account:** For a US account with or without US indicia, the value "Yes" must be entered under the element USAccount. For a nonparticipating foreign financial institution's account, the value "No" must be entered (irrespective of whether or not a US indicium is available in accordance with the FATCA Agreement or (if the voting right is exercised) relevant US Treasury Regulations)
- **TIN Available:** It must be stated whether or not the US TIN of the specified US person(s) is available
- **Account Relationships:** A link to other accounts/persons reported to the SEI based on the same disclosure order under the FATCA Agreement.
- **Due Diligence Reg. Elected:** {Yes, No, Partial: <Explanation>} - whether or not the financial institution relies on the procedures described in relevant US Treasury Regulations to establish whether an account is a US account or an account held by a nonparticipating foreign financial institution
- **Definition Regulations Elected:** whether or not the FI uses definitions from relevant US Treasury Regulations instead of those given in the FATCA Agreement
- **US Indicia:**
- **US Indicia Comment:** Comment on select US Indicia
- **Comment NPFFI/PNFFE:** Comment required based on selected Type

### *Persons (SEI-XML)*

This is the information section on the persons concerned by the administrative assistance procedure and on the persons (additionally) entitled to appeal (see the Federal Act on International Administrative Assistance in Tax Matters [TAAA; SR 672.5]).

The persons concerned are considered to be the specified US person and the nonparticipating foreign financial institution. Persons (additionally) entitled to appeal are considered to be any of the FI's contracting parties (e.g. account holders, policyholders) who are not specified US persons or nonparticipating financial institutions.

Dossier	Account	Persons
ID	Name	Details
0001-000201_A_BOB	Smith, John	
<div style="display: flex; justify-content: space-between;"> <span>Clear Form / New ...</span> <span>UPDATE</span> </div>		
Person ID	0001-000201_A_BOB	
Category	SEI401	Relation to Account
Person Type	INDIVIDUAL	SEI501: Contracting party
Confirmed US Person	NO	SEI502: Beneficial owner/beneficiary
Deceased	NO	SEI503: Controlling person
First Name	John	SEI504: Account holder as named in the FATCA-XML
Middle Name	A.	Birth Date
Last Name	Smith	1963-01-01
Address	John A. Smith	Gender
	350 5th Avenue	MALE
	US-NY10018 New York	

- **PersonID:** The FI must assign an FI-specific personal ID to every person entitled to appeal. This is composed of the SEI Dossier FI Number assigned by the SEI and a Person Sequence Number assigned by the FI. This PersonID may be assigned to one person only (it cannot be assigned again to a different person for a subsequent transfer of data to the SEI under the FATCA Agreement). This person may be assigned the same PersonID or a new one for a subsequent transfer of data to the SEI under the FATCA Agreement. The Person Sequence Number can consist of an existing internal number.
- **Category:** The personal details of the specified US person or the nonparticipating foreign financial institution must always be entered.
- **Person Type:** It must be entered under the element PersonType if the person is a natural person or an entity.
- **Relation to Account:** All of the relationships the person has to the account must be entered
- **First Name:** It is mandatory to fill in the element FirstName if the value "Individual" was entered in the element Person Type.
- **Middle Name:** It is mandatory to fill in the element Middle Name if the value "Individual" was entered in the element Person Type and the middle name is known.
- **Last Name:** It is mandatory to fill in the element Last Name if the value "Individual" was entered in the element Person Type
- **Gender:** It is mandatory to fill in the element Gender if the value "Individual" was entered in the element Person Type and the gender is known
- **Birth Date:** It is mandatory to fill in the element Birthdate if the value "Individual" was entered in the element Person Type and the date of birth is known.
- **Confirmed US Person:** It must be confirmed that the US person did not pose as an unspecified US person to the FI.
- **Deceased:** It is mandatory to fill in the element Deceased if the value "Individual" was entered in the element Person Type and it is known if the person is deceased or still living.
- **Address:** The element refers to the full postal address (domiciliary address) of the stated person.

- Line 1: This element is the first line of the full postal address and generally contains the name of the addressee.
- Line 2: This element is the second line of the full postal address.
- Line 3: This element is the third line of the full postal address
- Line 4-6: optional
- **Organisation Name:** It is mandatory to fill in the element Organisation Name if the value "Organisation" was entered in the element Person Type.

Person Type	ORGANISATION	SEI501: Contracting party
Confirmed US Person	NO	SEI502: Beneficial owner/beneficiary
		SEI503: Controlling person
		SEI504: Account holder as named in the FATCA-XML
Organisation Name	Smith	
Address	John A. Smith	
	350 5th Avenue	
	US-NY10018 New York	

## Generating the Delivery File

Once all data is entered and validated, the delivery file can be generated using the "Generate Delivery Package ..." menu item.

A delivery file is an AES256-Bit encrypted ZIP file with the following file name:

631.3-YYYY-US-AAAA-BBBB-TTTT.zip

Example: 631.3-2015-US-0001-0343-0001.zip (meaning: delivery no. 0001 of FI no. 0343 for the first request in 2015)

It contains the following elements:

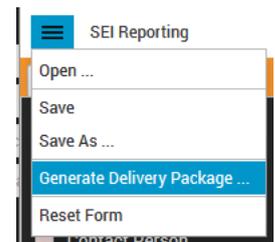
- 1-n (one to many) information packages
  - Content: initial or update dossier information for one FATCA account report
  - File name: 631.3-YYYY-US-AAAA-BBBB-NNNNNN.zip or 631.3-YYYY-US-AAA-BBBB-NNNNNN-MM.zip

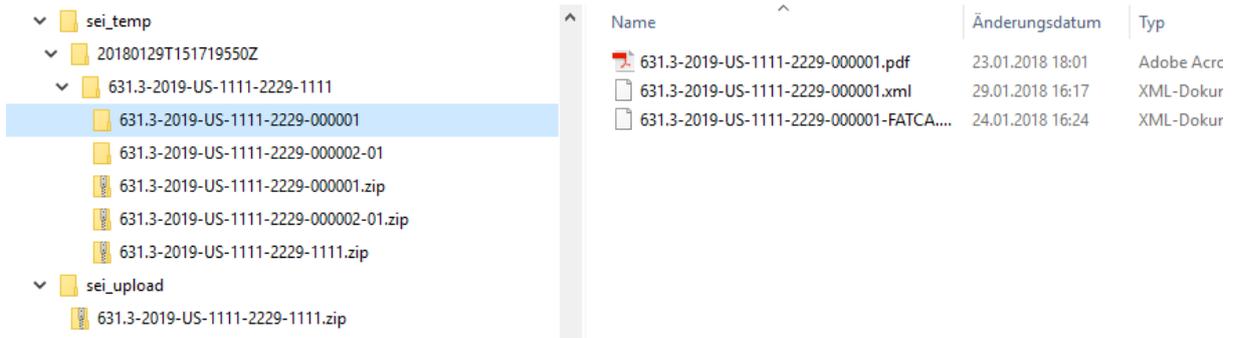
All generated files will be written to the following folder structure within the selected output directory.

sei\_temp  
sei\_upload

26.01.2018 18: The generated delivery file and credential PDF is moved to the sei\_upload folder. The temp folder contains all artifacts

generated during the processing. All temporary output is stored in a new folder created within the working directory temp folder. The naming schema for the new folder is simply the UTC-timestamp and subfolder following the naming of the transmission package.





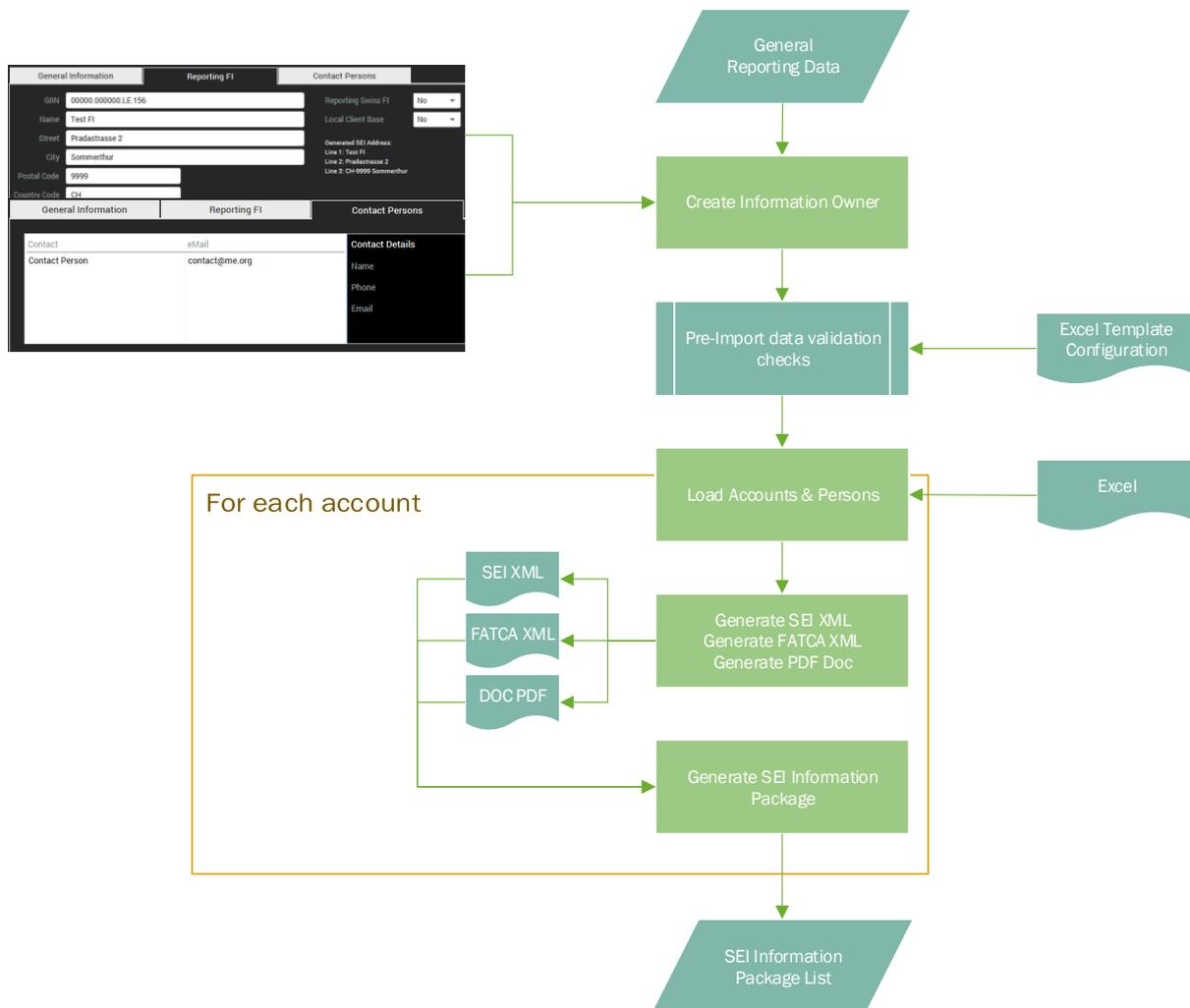
After the successful generation, the file and the credential information (with the calculated SHA-1 Hash Value) are available in the sei\_upload folder.

TRSuite supports different methods to import/add data to generate compliant delivery files:

- Use the provided Excel templates
- Generate and configure your own Excel template
- Input the data interactively over the User Interface
- Request a customized importer fitting your company needs (csv, xml, ...)
- From existing information packages (XML- & PDF-Files)



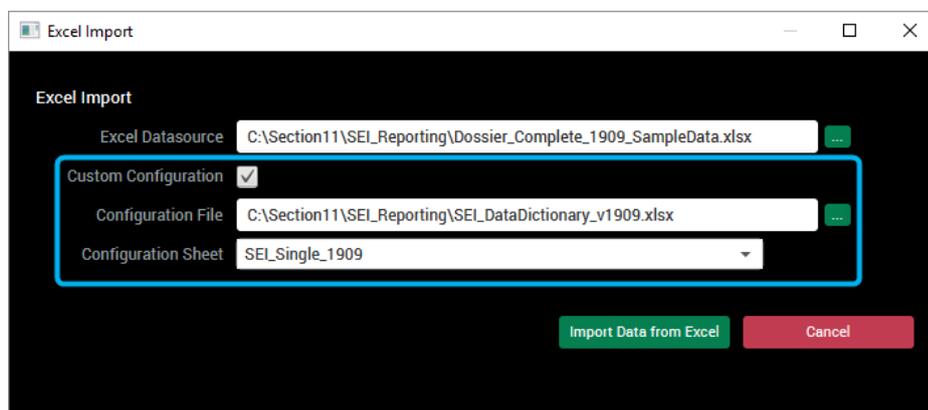
The following workflow gives an overview about the import process:



The most commonly used function to load data into TRSuite is to use the provided or a customized Excel template. The following chapter describes the required configuration and import process.

## Excel-Template Configuration

Before an excel template can be imported the application needs to know how to map the spreadsheet data to the SEI- and FATCA-XML format. This can be achieved by loading a so-called data dictionary and selecting the right configuration sheet for your purpose.



A standard data dictionary and two templates are delivered with the product.



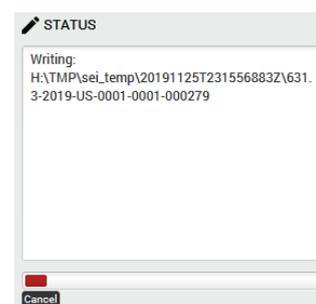
The “Import Excel ...” option allows the user to load data from our provided excel templates. Any existing data in the module is cleared.

Selecting the load option opens a file chooser dialog, enabling the user to select a filled excel file. The file it is then analyzed and all available data is displayed in the SEI module main area. Errors or warnings are displayed in a error dialog after the import.

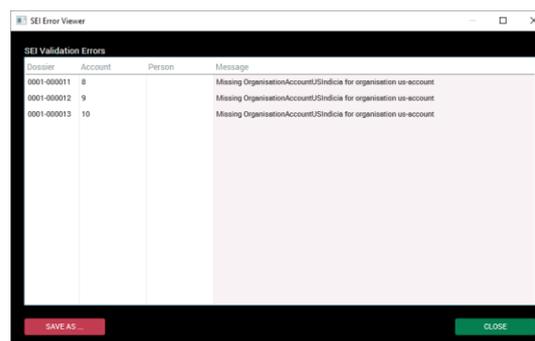
The provided Excel template is available for download at: <http://www.section11.ch/downloads.html>  
Extract the zip file to a local directory and extract the content.

The progress of the import is displayed in the “Status” area of the TRSuite SEI module (percentage of generated information packages). During the import the user interface is disabled until all data is loaded.

The import can be canceled by pressing the cancel button below the progress bar.



In case any validation error is detected during the import - e.g. missing PDF files, invalid or missing data – an error dialog appears. For later reference the error list can be exported using the “Save As ...” functionality.



Sample Credential Exchange Information



### Credentials Exchange Information Delivery

This form can be used to send the needed decryption information as described in the Information Delivery Guide. The decryption information must include the SHA-1 hash value of the encrypted delivery ZIP file as well as the passwords needed to decrypt delivery ZIP file and data medium (if applicable).

#### Exchange Conditions

- The decryption information can be sent
- by postal mail (for all delivery channels)
  - by fax to the number +41 58 462 35 99 (for all delivery channels)
  - by email to the address [sei@estv.admin.ch](mailto:sei@estv.admin.ch) (only for USB data medium deliveries)
- Please note: the credentials exchange must always be executed before the information delivery and always using a different channel.

#### Password Conditions

- All used encryption passwords must meet the following conditions:
- at least 12 and at most 24 chars long
  - at least one upper case character
  - at least one lower case character
  - at least one digit is used
  - at least one special character (?, !, \$, ...)
  - must not contain look-alike characters (O/O, l/I, ...)
  - must not have been used in another information delivery before.

#### Credentials

Delivery ZIP File Name  
631.3-2019-US-1111-2229-1111 .zip

SHA-1 Hash Value of Delivery ZIP File  
34ac7bcac33dc41058016efc69ff4cc0cd0d6a6f

Encryption Password for Delivery ZIP File  
K3u!x+L3gLRG\*}p\*

Encryption Password for USB Data Medium (only if applicable)



### Export control information

This distribution includes cryptographic software. The country in which you currently reside may have restrictions on the import, possession, use, and/or re-export to another country, of encryption software. BEFORE using any encryption software, please check your country's laws, regulations and policies concerning the import, possession, or use, and re-export of encryption software, to see if this is permitted. See <http://www.wassenaar.org/> for more information.

TRSuite uses the Java Cryptography Architecture (JCA) and the Bouncy Castle libraries for handling de-/encryption.