# TAX REPORTING SUITE

## MODULE FATCA

## VERSION 26.02

USERS'S MANUAL

Published: Sep 2026

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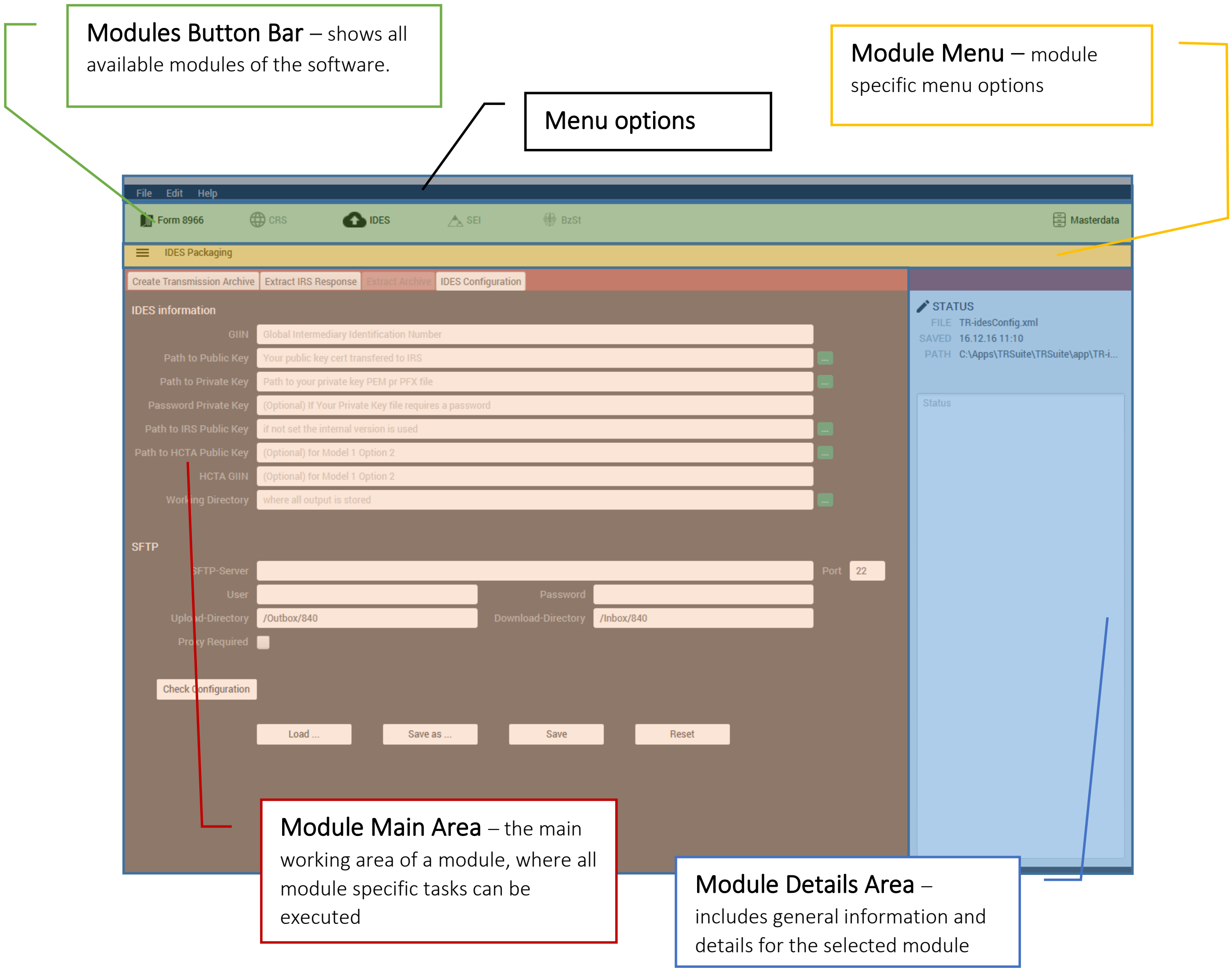
# Revision History

| Version | Doc Version | Revision Date | Description |
|---|---|---|---|
| 1612 | Rev 0 | 15.12.2016 | Initial Revision |
| 1703 | Rev 1 | 07.03.2017 | CRS module release<br>Minor fixes and improvements |
| 1706 | Rev 2 | 15.06.2017 | Excel configuration |
| 1712 | Rev 3 | 01.01.2018 | Work Item, Account Holder information |
| 1802 | Rev 4 | 27.02.2018 | Multi FI Reporting |
| 1803 | Rev 5 | 21.03.2018 | Minor Fixes: #-character handling |
| 1807 | Rev 6 | 31.07.2018 | Module Renamed, Work Item file extension, encrypted config passwords, UI enhancements, fixes, link notifications, documentation |
| 1812 | Rev 7 | 17.12.2018 | Free-Address Fix, AU-BBDM export/import |
| 1902 | Rev 8 | 12.02.2019 | Screenshots updated, config tab removed / excel templates updated |
| 1911 | Rev 9 | 07.11.2019 | https://www.easycrs.ch/index.php/8-trsuite/10-trsuite-release-notes-version-19-11 |
| 20.01 | Rev 10 | 20.01.2020 | https://www.easycrs.ch/index.php/8-trsuite/12-trsuite-release-notes-version-20-01 |
| 20.02 | Rev 11 | 24.02.2020 | https://www.easycrs.ch/index.php/8-trsuite/13-trsuite-release-notes-version-20-02 |
| 20.03 | Rev 12 | 25.03.2020 | https://www.easycrs.ch/index.php/8-trsuite/15-trsuite-release-notes-version-20-03 |
| 20.05 | Rev 13 | 02.06.2020 | https://www.easycrs.ch/index.php/8-trsuite/16-trsuite-release-notes-version-20-05 |
| 20.11 | Rev 14 | 24.11.2020 | https://www.easycrs.ch/index.php/8-trsuite/17-trsuite-release-notes-version-20-11 |
| 21.01 | Rev 15 | 01.02.2021 | https://www.easycrs.ch/index.php/8-trsuite/18-trsuite-release-notes-version-21-01 |
| 26.02 | Rev 16 | 06.09.2026 | https://www.trsuite.ch/trsuite/ReleaseNotes/RELEASE_NOTES_26.02.en.html |
| 26.02 | Rev 17 | 08.09.2026 | TIN formats: NA with TIN Issued by, spaces; default schema version 2.0.1 |
| | | | |

# The Main Window

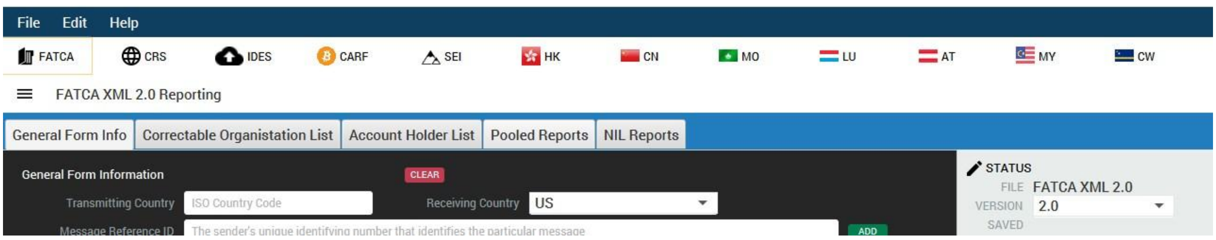
The Main window is the launch point for the entire application. You can select the licensed module in the modules button bar and perform the module specific tasks within main area of the module.

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




# FATCA: Module Overview

This guide provides information about the FATCA module of the TRSuite software package. It describes processes and procedures for generating, importing, voiding and correcting FATCA XML 2.0.1 files. Files in version 1.1 and 2.0 can still be loaded. During the import the version is detected automatically.



The schema version used for export and validation can be specified using the version drop down. This document may describe features and capabilities that requires a separate license and are not covered by the standard license. For information about licensing please contact support@section11.ch

The FORM8966 module includes the following:

- General Form Info Tab
- Correctable Organisation List Tab
- Account Holder List
- Pool Reports Tab
- NIL Reports Tab

This document will help explain how each option functions.

The screenshots throughout the USER's MANUAL are produced on Windows 11 using the Windows Look and Feel.

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

- IRS Publications
  https://www.irs.gov/pub/fatca/
- FATCA General Compliance and Legal FAQ
  https://www.irs.gov/businesses/corporations/frequently-asked-questions-faqs-fatca-compliance-legal
- FATCA Registration System FAQ
  http://www.irs.gov/Businesses/Corporations/FAQsFATCARegistrationSystem
- FATCA XML Schemas and Business Rules for Form 8966
  http://www.irs.gov/Businesses/Corporations/FATCA-XML-Schemas-and-Business-Rules-for-Form-8966
- FATCA XML Reporting Schema to Correct, Amend and Void Records
  https://www.irs.gov/Businesses/Corporations/FATCA-XML-Reporting-Schema-to-Correct-Amend-and-Void-Records

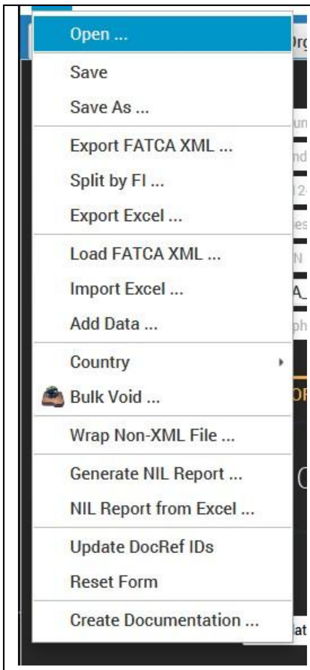
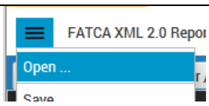
## References

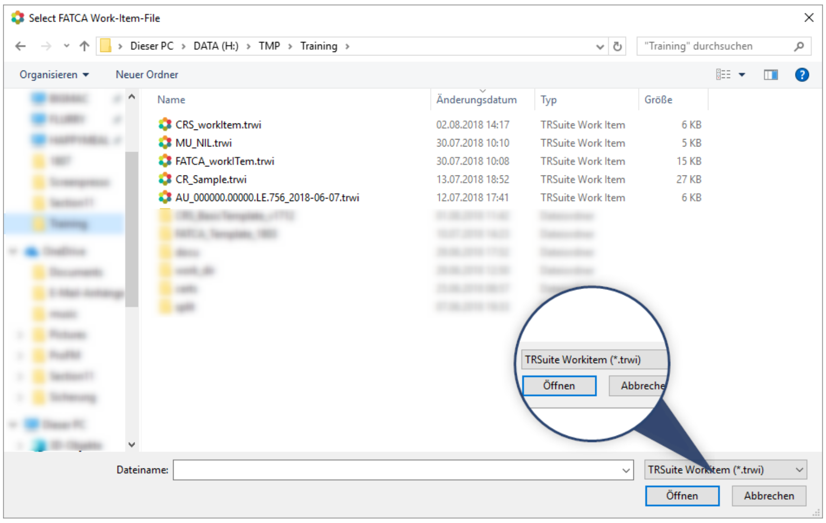
The following information is used to generate a FATCA XML 2.0.1 compliant document. Before filing a FATCA Report, please ensure that you are familiar with the FATCA - Guidance Notes, which can be downloaded from https://www.irs.gov/pub/irs-pdf/p5124.pdfhttps://www.irs.gov/pub/irs-pdf/p5124.pdf

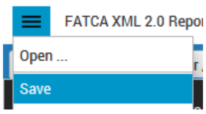
## FATCA Menu Items

The FORM8966 menu includes the following elements

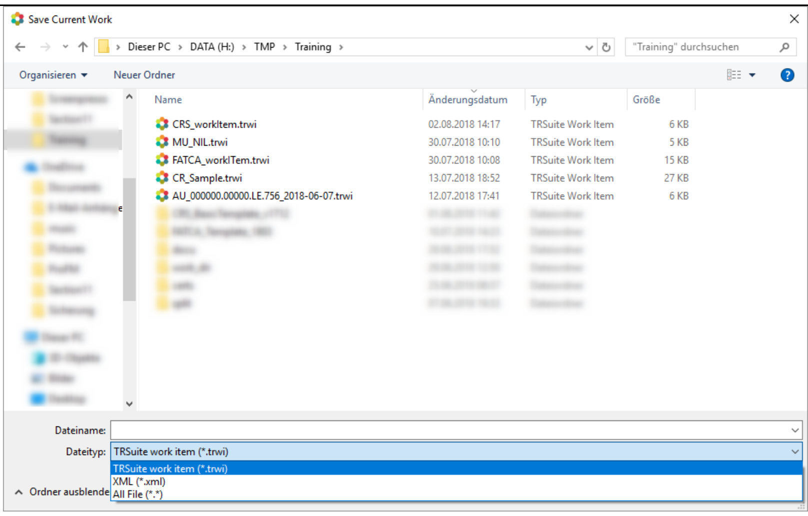
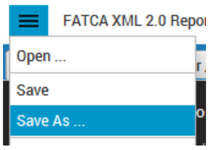
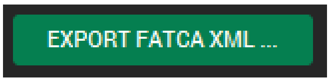
| Menu Options | Description |
|---|---|
| Open ... | Once you've saved a document, you may want to access it again to make changes or correct it out. From the menu, choose "**Open ...**" |

<table>
<tr>
<td>
</td>
<td>

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.<br>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.


Click Open, the document will then be opened. </td>
</tr>
<tr>
<td>Save</td>
<td> From the menu, choose “Save” to save the current work.


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. </td>
</tr>
</table>

| | |
|---|---|
| | <br>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.<br><br>Once you have typed in the name of your document, click **Save**<br><br>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. |
| Save As ... | <br>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. |
| Export FATCA XML ... | The export method persists the current FATCAOECD report to the user selected path.<br><br>The same functionality is provided by the according button in the General Form Info Tab<br><br> |
| Split by FI ... | The export method persists the current FATCAOECD report to the user selected path. A new report is generated for each reporting financial institution |

| | |
|---|---|
| Load FATCA XML ... | Loads the user selected FATCA XML file (version 1.1, 2.0 & 2.0.1). The version is detected automatically. All current values are replaced. |
| Import Excel... | Loads the user selected IDEaSy-/TRSuite-Excel file (version 1603 & 1612 and later are supported). Existing values in the FATCA main area will be replaced. |
| Add Data | Allows to concatenate account and pool reports from different data sources (XML or XLMS).<br>Hint: When adding data from a file, only the account and pool report data is imported – no other data like reporting FI, sponsor, ... |
| Bulk Void ... | After selecting a folder with FATCA XML 2.0 reports for each report a corresponding void report is generated. |
| Export AU BBDM XML ... | For 2026 FATCA files must contain the appropriate wrapper header for lodgment via Bulk Data Exchange (BDE). |
| Import AU BBDM XML ... | The FATCA part of the BBDM files can be imported into TRSuite using the import functionality. |
| Generate NIL Report | Generates a NIL Report and saves it to a user selected path. For each reporting FI/Sponsor combination a single NIL report (XML file) is generated. |
| NIL Report from Excel ... | The NIL Report Generator is the built-in functionality to generate a NIL Report for multiple reporting financial institutions. |
| Update DocRef IDs | This menu item generates new document reference IDs for all elements within the current FATCAOECD report. A valid GIIN is required.<br><br>The same functionality is provided by the according button in the General Form Info Tab<br>Generate DocRef IDs |
| Reset Form | The Reset Form menu resets the values of all elements in the FATCA main area. |
| Create Documentation ... | Allows to generate a reporting statement in PDF similar to the IRS Form 8966 for the current FATCA XML report. |

## Common UI Objects

### Invalid Fields

Some text fields expect specific values or formatted text, e.g. GIIN- or date-fields. If an invalid value/format is entered the text fields is marked red:


### CLEAR Buttons

A CLEAR-button resets the values of all elements in the according logical region.


### POP-OVER Buttons

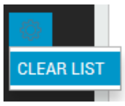
If a button is colored with a blue background, more data is available. The black background indicates an empty data set.


### Update Document or Message References IDs

As the document reference ID is depending on the GIIN, there is the possibility to update the document reference IDs if required, for instance after changing the GIIN. Either update each single ID by pressing the ADD button for the specific field or updating all IDs by choosing the FATCA menu item „Reset All Document Reference IDs".


### CLEAR Lists

Table views like the Pool or Account Holder List have a separate menu to clear their content. By pressing the CLEAR LIST menu item all elements from the table are removed.



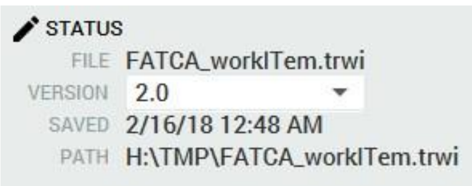

### Data Validation

Entered data is continuously validated. If the data is not complete (all mandatory fields filled) or in a wrong format the warning symbol is displayed next to the affected section label.

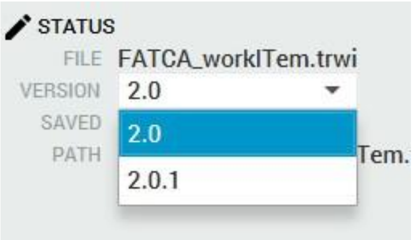
If the section is complete and correct, the green checkbox symbol is shown next to the label.

### File Information & Schema Version

After a file is loaded or saved, the information about the file (name, last modified, absolute path) is displayed in the status pane of the detail area. The full path can be seen in the tooltip.



To select the schema version, use the drop-down menu. This is the version the file gets exported. Further this is the schema version the final report is validated against. A new report starts with version 2.0.1; when a file is loaded, the version declared in that file is preselected.




Default Values

Whenever an empty Country Code or Currency Code field is selected by the user, the default value as defined within the master data dialog is entered.

Address

The Address_Type allows free text input of the address for any individual or organization Included in the report (e.g., reporting FI, account holder, substantial owner). There are two available options, AddressFree or AddressFix with supplemental optional AddressFree. AddressFix should be used for all FATCA reporting; however, you may select AddressFree to enter the data in a less structured format.


This data element allows free text input of the address for the individual or organization. AddressFree should only be used if the data cannot be presented in the AddressFix format and the sender cannot define the various parts of the address.

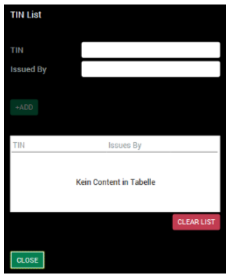
- The address shall be presented as one string of bytes, blank, slash (/) or carriage return line feed used as a delimiter between parts of the address.
- AddressFree can be used as a supplemental element after the AddresFix element and when the AdressFix format is selected for address.

The Fix Address element allows input in fixed format for the address for the individual or organization.

- Enter the address and if additional information is needed, use the supplemental AddressFree element.  In this case, the city, sub entity, and postal code information should be entered in the appropriate data elements.
- All elements are optional, except the City element which is required for schema validation.

TIN-List

This data element identifies the receiving tax administration or U.S. Tax Identification Number (TIN) for the individual account holder or substantial owner and the attribute identifies the jurisdiction that issued the TIN. For FATCA reporting a blank “issued by” attribute field will be assumed to indicate the issuing jurisdiction is the United States (US). In this case, only the text field needs to be entered.


In case of different “issued by” jurisdiction or multiple TINs the TIN List allows input of those.

### *TIN Format*

A value for a TIN data element must be either in a GIIN format or in one of the following formats for a US TIN:

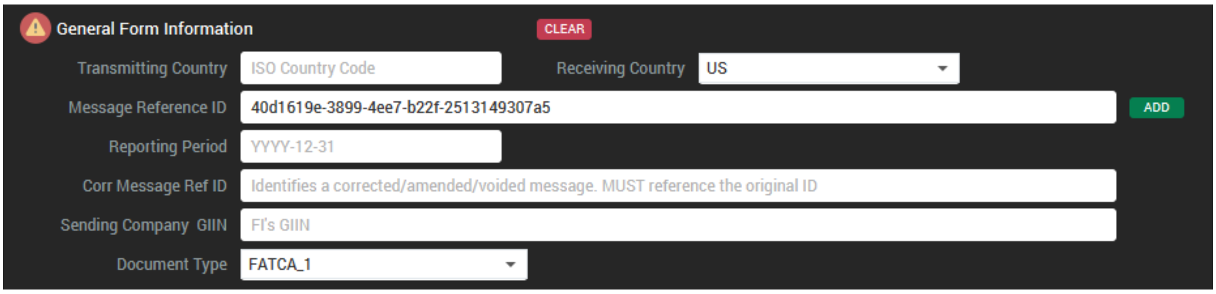
- Nine consecutive digits without hyphens or other separators (e.g., 123456789)
- Nine digits with two hyphens (e.g., 123-45-6789)
- Nine digits with a hyphen entered after the second digit (e.g., 12-3456789)
- The characters NA ("not available") together with a jurisdiction in the "TIN Issued by" attribute. This is the way of reporting a missing US TIN described by the IRS in the ICMM FAQ "Populating the TIN field"; NA on its own, without "TIN Issued by", is rejected.
- One up to 200 space characters, likewise for a US TIN that is not available.

## General Form Info

The General Form Info contains all information to identify the financial institution (FI), host country tax authority (TA or HCTA) and non-GIIN filers sending a message. It contains unique message identifiers, references corrected messages and specifies the date created, calendar year and reporting period.

General Form Information

Only the corrected message reference ID is optional (depending on report type), all other fields are mandatory. The values are validated in real time and an indication next to the label gives immediate feedback, if the section is complete and valid.




A message reference ID is automatically generated, when focusing the empty field.

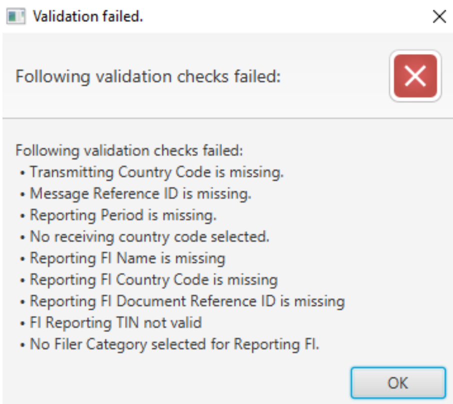
## Validation Checks

Before exporting data, it is recommended to validate the entered values by pressing the “Validate FATCA” button. Following validations are performed by the application:


- If the DocReferenceID follows the latest XML best practice: (http://www.irs.gov/Businesses/Corporations/FATCA-XML-Schemas-Best-Practices-for-Form-8966-DocRefID
- If valid GIIN/TINs are entered
- If the reporting period format is correct
- If all mandatory fields are set, e.g. address and message reference ID
- If the entered country codes are valid

Following the ICMM Record-level Processing Error Codes from “International Compliance Management Model (ICMM) Notifications User Guide” (Publication 5189 (Rev.8-2015) Catalog Number 67385U Department of the Treasury Internal Revenue Service www.irs.gov) TRSuite does the following record-level checks, when the data is entered into the Form 8966 mask. It checks, if …

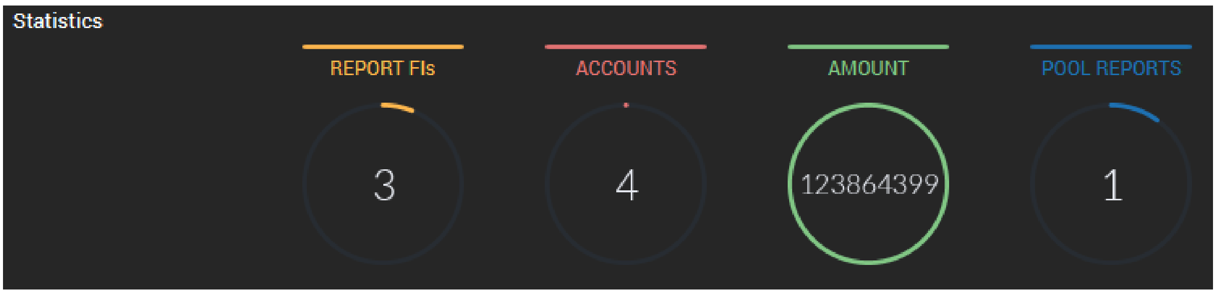
- Account Balance > $0
- Address validation, at minimum one type is entered and fix address contains at least City/Town fieldCountry Code set for Sponsor/Intermediary
- Date of Birth format validation
- US TIN format check: 9 numeric characters
- GIIN format check
- GIIN/TIN populated check, e.g. Reporting FI, intermediary, …
- Name of reporting FI provided
- Account Holder name provided
- Account number is entered
- Number of accounts declared in a pool > 0
- All DocumentRefIDs are starting with the entered GIIN




If invalid content is found, a detailed error message is displayed.

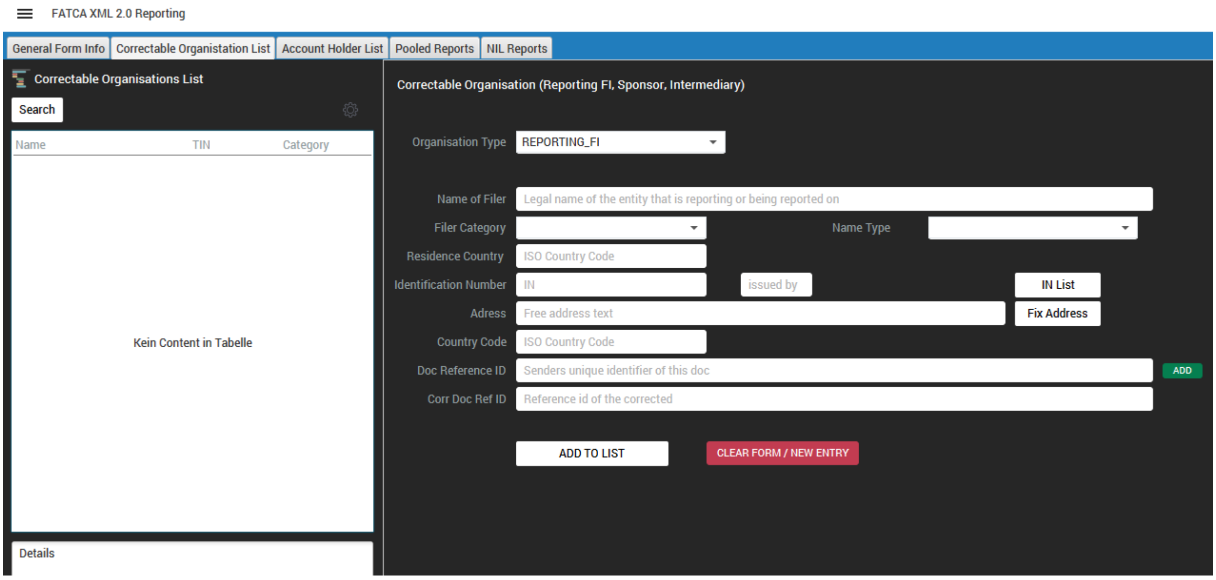
## Statistics

The statistics section gives a brief overview about the number of reporting FIs, number of accounts, the sum of all account balances (ignoring different currencies) and the number of pool reports.



## Correctable Organisation List

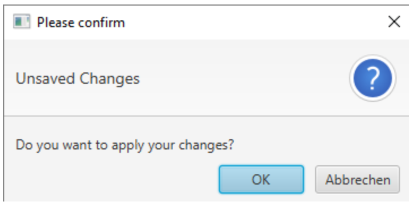
The Correctable Organisations List Tab contains data for Reporting FI, Sponsor, and Intermediary organizations. The data type is identified by the organization type combo box.




The entered values are continuously evaluated and any errors are displayed in the details area on the lower left text area. The organization can be added to the list by pressing the now enabled “ADD TO LIST” button. Selecting the entry in the list let you change and update the data.

If data is changed, but not updated before selecting another entry or create a new one the following notification pops up:

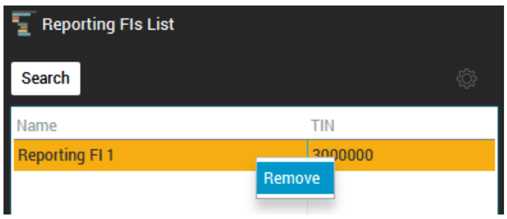
Pressing “OK” applies the changes and updates the item.

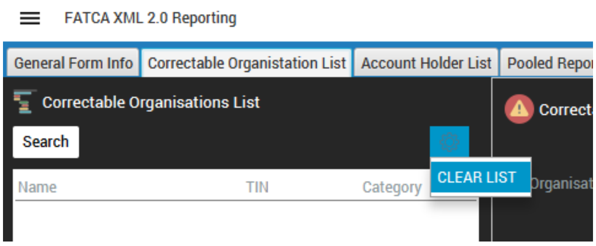



A document reference ID is NOT automatically generated, when focusing the empty field. Pressing the “ADD” button generates a new value, if possible. Recommended practice is to generate the document reference IDs once all data is entered by using the “Update DocRef IDs” functionality of TRSuite.

A single entry in the list can be removed or duplicated by right-clicking the according entry and selecting the remove menu option from the displayed context menu.

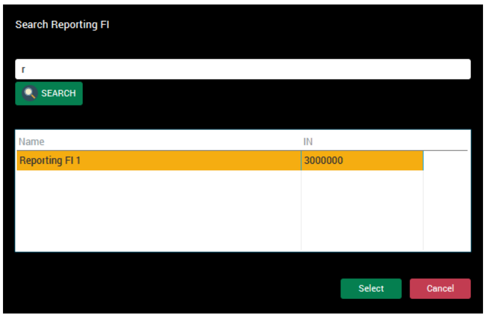
The whole list can be cleared by selecting the “CLEAR LIST” menu option.






Search Organisations

Within the correctable organisations list tab, it is possible to search for an existing organisation. Pressing the “Search”-Button opens the search dialog:




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

Following fields are taken into consideration for the search:

- IN
- Name of organization

If you require any other field, please contact: support@section11.ch

After selecting the according reporting FI from the list, the dialog can be closed. The selected entity is display within the data area.

Reporting FI

This data element identifies the FI that maintains a reportable account, makes a payment, or is a Direct Reporting NFFE or Sponsored Directed Reporting NFFE required to report its owners. If the reporting FI maintains branches outside of its country of tax residence then the GIIN for the reporting FI is the GIIN associated with the branch of the reporting FI that maintains the reported financial account.

Unless otherwise noted, for all other reporting FIs, the filer category is mandatory. The list below summarizes the allowable values are for a reporting FI.

| If the financial institution reporting the account is a: | FilerCategory for element | FilerCategory Value |
|---|---|---|
| PFFI (other than a Reporting Model 2 FFI and including a U.S. branch of a PFFI not treated as a U.S. person) | Reporting FI | FATCA601 |
| RDC FFI (including a Reporting Model 1 FFI) | Reporting FI | FATCA602 |
| Limited Branch or Limited FFI | Reporting FI | FATCA603 |
| Reporting Model 2 FFI | Reporting FI | FATCA604 |
| Qualified Intermediary (QI), Withholding Foreign Partnership (WP), or Withholding Foreign Trust (WT) | Reporting FI | FATCA605 |
| Direct Reporting NFFE | Reporting FI | FATCA606 |
| Withholding Agent (including a U.S. branch of a PFFI, Reporting Model 1 FFI, Reporting Model 2 FFI, or RDC FFI treated as a U.S. person, and a U.S. branch of a Reporting Model 1 FFI (including any other RDC FFI) or Limited FFI that is not treated as a U.S. person) | Reporting FI | FATCA610 |
| Territory Financial Institution treated as a U.S. person | Reporting FI | FATCA611 |

- If an HCTA in a Model 1 IGA jurisdiction is sending information on accounts maintained by a Reporting Model 1 FFI, use filer category FATCA602 (RDC FFI).
- If the reporting FI is a Related Entity or branch described in an applicable IGA, use filer category code FATCA603 (Limited Branch or Limited FFI).
- If reporting FI is a Sponsored FFI, Sponsored Direct Reporting NFFE, or Trustee-Documented Trust, the filer category is not allowed.

Sponsor

This data element identifies a Sponsoring Entity or a Trustee of a Trustee-Documented Trust that has agreed to report on behalf a Sponsored FFI, Sponsored Direct Reporting NFFE, or Trustee-Documented Trust (as applicable). Information on the Sponsored FFI, Sponsored Direct Reporting NFFE, or Trustee-Documented Trust should be entered as a Reporting FI element.

**TIN Value for Sponsoring Entity**

- The TIN of a Sponsoring Entity is the GIIN issued to such entity when it is acting in its capacity as a Sponsor.
- The Sponsoring Entity should use its Sponsoring Entity's GIIN as a TIN value
- The TIN of a Trustee of a Trustee-Documented Trust is the GIIN it received when it registered to act as a trustee of a Trustee-Documented Trust.

Note: Do not use GIINs obtained by financial institutions designated as a Single, Lead or Member as a TIN value in Sponsor element.

**Filer Category for Sponsoring Entity**

This element is mandatory for a Sponsor. It will be validated on the application level and if not present, will generate a record level error notification.

| If the financial institution reporting the account is a: | FilerCategory for element | FilerCategory Value |
|---|---|---|
| Sponsoring Entity of a Sponsored FFI | Sponsor | FATCA607 |
| Sponsoring Entity of a Sponsored Direct Reporting NFFE | Sponsor | FATCA608 |
| Trustee of a Trustee-Documented Trust | Sponsor | FATCA609 |

Intermediary
This data element identifies an Intermediary that is:

- A Territory Financial Institution not treated as a U.S. person that is acting as an intermediary or is a flow-through entity and receives a withhold able payment from a withholding agent or holds an account with a Participating FFI (including a Reporting Model 2 FFI) (the withholding agent or Participating FFI (including a Reporting Model 2 FFI) is the Reporting FI); or
- A certified deemed - compliant FFI that is acting as an intermediary for a withhold able payment and provides the withholding agent with information on a substantial U.S. owner of a passive NFFE account holder or payee (the withholding agent is the Reporting FI)

**TIN Value for Intermediary**

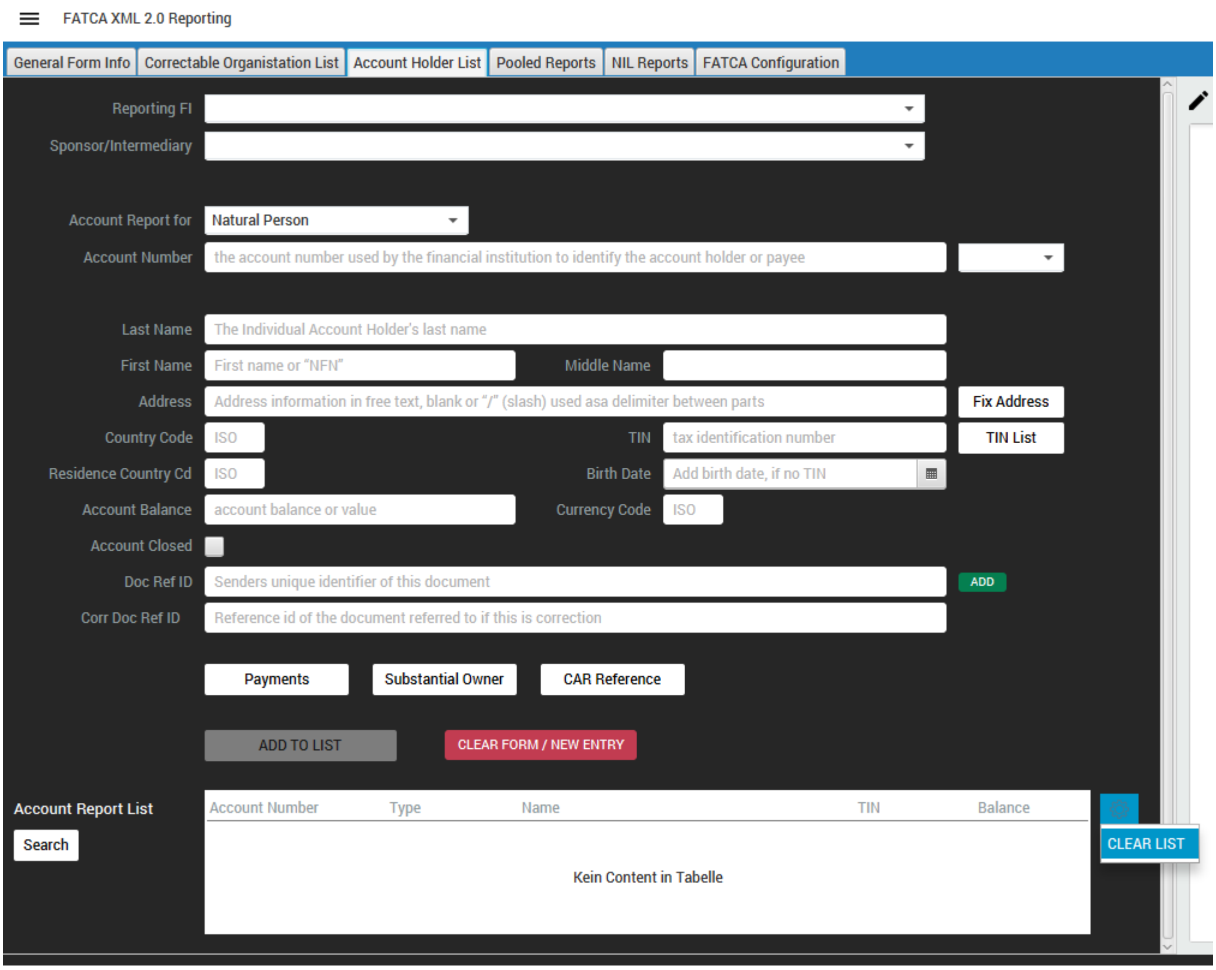
- If the Intermediary is a Territory Financial Institution not treated as a U.S. person, enter the TIN issued to the Territory Financial Institution by the IRS, or if the Territory Financial Institution has not been issued a TIN by the IRS, enter the EIN assigned to the entity by the relevant U.S. territory.
- If the Intermediary is a certified deemed-compliant acting as an intermediary, the entity will not have a GIIN or U.S. TIN or EIN. Leave the TIN element blank.

**Filer Category**

Element is not allowed and if included will generate an error notification.

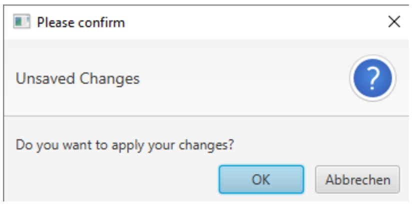
## Account Holder List

The account holder list tab contains detailed information on the accounts or payments required to be reported. The account report contains the account holder, account balance and other related account information as specified in chapter 6.4 of the FATCA XML 2.0 User Guide. Since TRSuite version 1802 the reporting FI and sponsor/intermediary needs to be filled for each account report to enable multiple FI reporting within one FATCA XML 2.0 document.



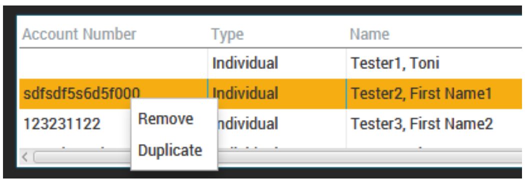

The entered values are continuously evaluated and errors displayed in the details text area. The account holder can be added to the account report list by pressing the now enabled "ADD TO LIST" button. Selecting the entry in the list let you change and update the account holder data.

If data is changed, but not updated before selecting another entry or create a new one the following notification pops up:




Pressing "OK" applies the changes and updates the item.

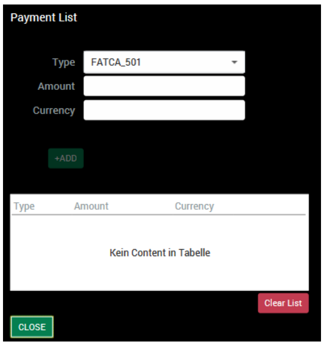
A single entry in the list can be removed or duplicated by right-clicking the according entry and selecting the remove menu option from the displayed context menu.




The whole list can be cleared by selecting the "CLEAR LIST" menu option.

## Payments

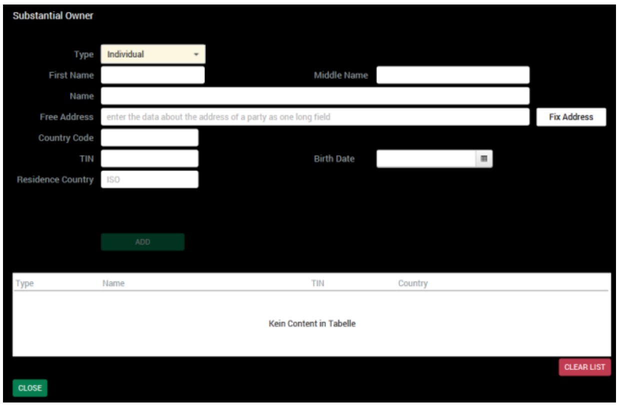
This data element provides account data on certain payments made to an account, payee, or owner. More than one payment type may be reported. The entered values are continuously evaluated and once all mandatory fields are filled with valid data, the account holder can be added to the account report list by pressing the now enabled "ADD TO LIST" button. Selecting the entry in the list let you change and update the account holder data.




A single entry in the list can be removed by right-clicking the according entry and selecting the remove menu option from the displayed context menu. The whole list can be cleared by pressing the "CLEAR LIST" button.

## Substantial Owner

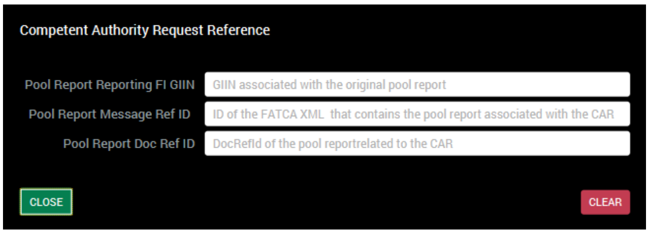
This data element identifies certain owners of the account holder or payee, and the substantial U.S. owners of a direct reporting NFFE. The substantial owner popup supports entities and organizations and describes the account holder as an individual or organization. The entered values are continuously evaluated and once all mandatory fields are filled with valid data, the account holder can be added to the account report list by pressing the now enabled "ADD TO LIST" button. Selecting the entry in the list let you change and update the account holder data.




A single entry in the list can be removed by right-clicking the according entry and selecting the remove menu option from the displayed context menu. The whole list can be cleared by pressing the "CLEAR LIST" button.

## Competent Authority Request Reference

This data element should only be included in FATCA account reports submitted in response to a Competent Authority Request (CAR). The CAR Reference contains identifying information for a pooled report (Reporting FI GIIN, Message Ref ID, and Doc Ref ID elements) and links the account report to the CAR and the original pool report. Any FATCA account report submitted in response to a CAR must include the CARRef element.



## Search Account Holder

Within the account reporting dialog, it is possible to search for an existing account holder. Pressing the "Search"-Button opens the search dialog:


- Enter the search term
- Press the "SEARCH"-Button
- Select the matching result entry and
- Press "Select" to display the accountholder or "Cancel" to discard the search result

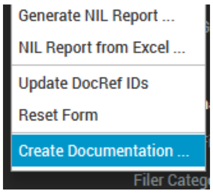
Following fields are taken into consideration for the search:

- Account number
- Document Reference ID
- TIN
- Last Name, if individual
- First Name, if individual
- Name of organization

If you require any other field, please contact: support@section11.ch

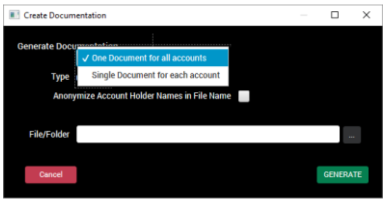
The Search-Functionality now covers also the document reference ID field and allows search for multiple fields using the keywords: AND / OR.

## Generating Account Holder Documentation



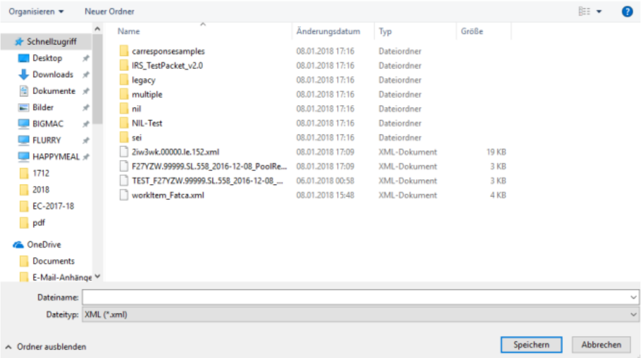

With this new feature is it possible to generate a reporting statement in PDF similar to the IRS Form 8966.

Once you've completed your document and are ready to generate the account holder documentation, click **"Generate Documentation"** in the top left-hand corner of the Form 8966 screen.




You can either generate a single document with all account holder/owner (One Document ... option) or a single document for each (Single-Page ... option). With release 20.01 it is now possible to anonymize customer names in file names. Instead of the name a hash value is calculated.

A 'Save' dialogue box will come up, if pressed. 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.




In case of the One-Document-Option 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.

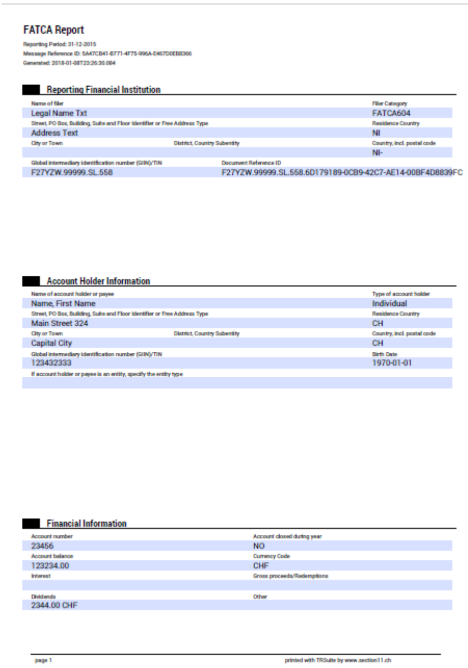
In case of the Single-Page-Option select a target folder from the ‘Folder name’ box. All generated files will be placed there. The names are generated according the following schema:

<ACCOUNT_NUMBER>_<ACCOUNT_HOLDER/OWNER_NAME>.pdf

New with active anonymization: <ACCOUNT_NUMBER>_<HASH_VALUE>.pdf

Once you have typed in the name of your document, click **Save/Select.**

Sample PDF-Report



**FATCA Report**

Reporting Period: 31-12-2015
Message Reference ID: 5A47CB41-B771-4F75-996A-E467D0EB8366
Generated: 2018-01-08T23:26:30.084

**Reporting Financial Institution**

Name of filer: Legal Name Txt
Filer Category: FATCA604
Street, PO Box, Building, Suite and Floor Identifier or Free Address Type: Address Text
Residence Country: NI
City or Town:
District, Country Subentity:
Country, incl. postal code: NI-
Global intermediary identification number (GIIN)/TIN: F27YZW.99999.SL.558
Document Reference ID: F27YZW.99999.SL.558.6D179189-0CB9-42C7-AE14-00BF4D8839FC

**Account Holder Information**

Name of account holder or payee: Name, First Name
Type of account holder: Individual
Street, PO Box, Building, Suite and Floor Identifier or Free Address Type: Main Street 324
Residence Country: CH
City or Town: Capital City
District, Country Subentity:
Country, incl. postal code: CH
Global intermediary identification number (GIIN)/TIN: 123432333
Birth Date: 1970-01-01
If account holder or payee is an entity, specify the entity type:

**Financial Information**

Account number: 23456
Account closed during year: NO
Account balance: 123234.00
Currency Code: CHF
Interest:
Gross proceeds/Redemptions:
Dividends: 2344.00 CHF
Other:

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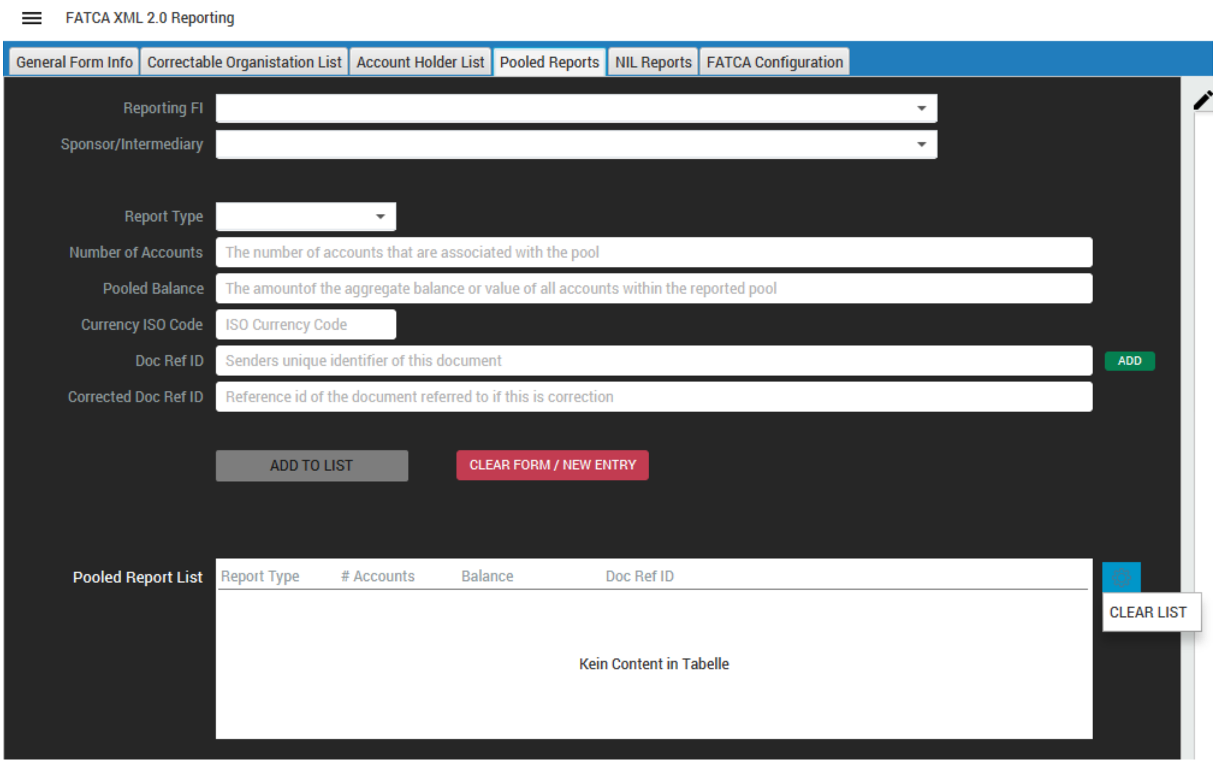
# Pooled Reports

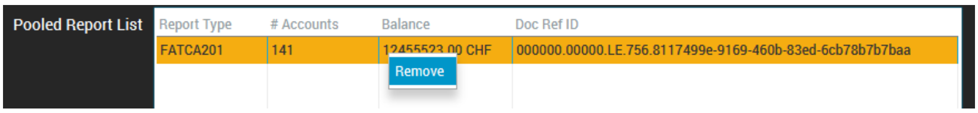
The Pooled Reports tab provides information about accounts held by recalcitrant account holders (or, in the case of a reporting FI that is a Reporting Model 2 FFI, non-consenting U.S. accounts) and, for 2015 and 2016, amounts paid to nonparticipating FFIs that are reported on a pooled basis. The pool report tab specifies the report type and balances or payments. Pooled reports should not be used if the message sender is providing information pursuant to a Model 1 IGA.

Since TRSuite version 1802 the reporting FI and sponsor/intermediary needs to be filled for each pool report to enable multiple FI reporting within one FATCA XML 2.0 document.




The entered values are continuously evaluated and once all mandatory fields are filled with valid data, the pool report can be added to the pooled report list by pressing the now enabled "ADD TO LIST" button. Selecting the entry in the list let you change and update the pooled report data.

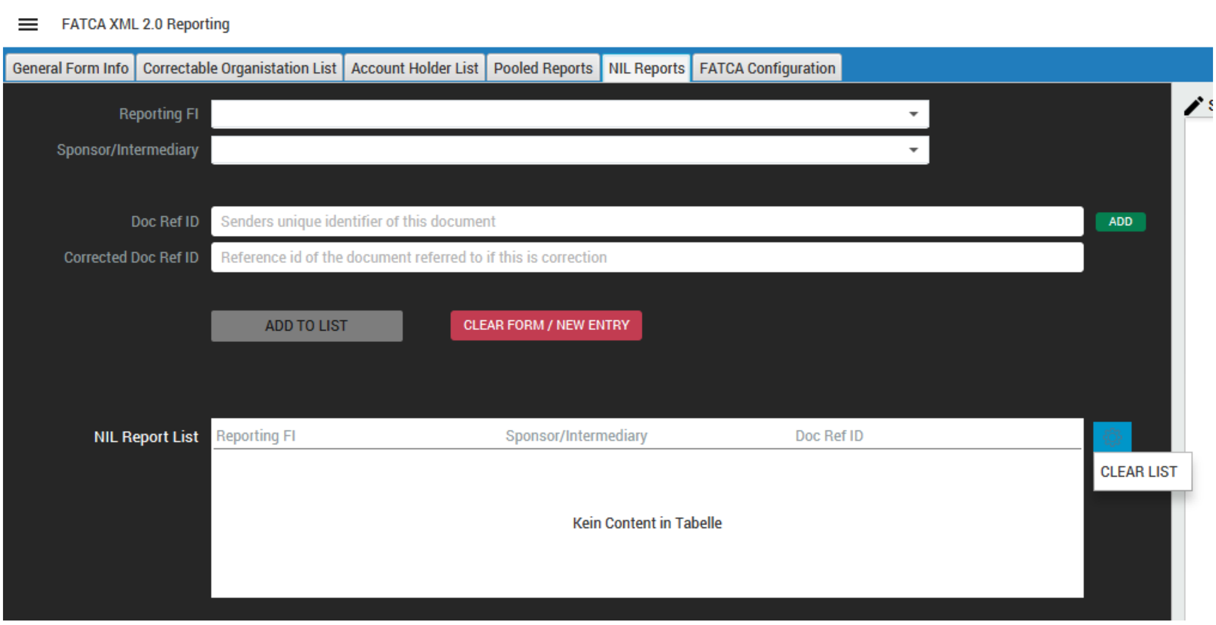
A single entry in the list can be removed by right-clicking the according entry and selecting the remove menu option from the displayed context menu.



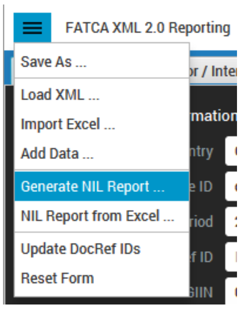

The whole list can be cleared by selecting the "CLEAR LIST" menu option.

## NIL Report

A NIL Report specifies that a financial institute has no accounts to report or that a Direct Reporting NFFE (or Sponsored Direct Reporting NFFE) has no substantial U.S. owners. Generally, a Nil Report is optional for filers other than Direct Reporting NFFEs and Sponsored Direct Reporting NFFEs. Nil reports that are submitted must also include ReportingFI and Sponsor or Intermediary, if applicable.

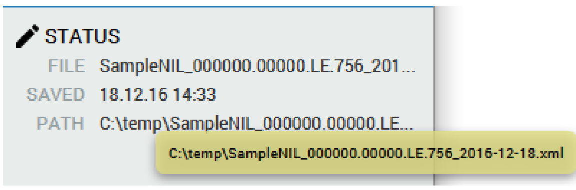



In order to generate an empty report, fill the required data elements into the General Form Info Tab and if applicable, the sponsor and intermediary. After the data is entered and validated, select the "Generate NIL Report" menu. A file chooser dialog opens and the file is validated against the FATCA XML 2.0.1 schema and saved to the selected location.




Manual validation by pressing the "Validate FATCA XML" button is recommended.

A notification indicates a successful generation of the file and the file information panel is updates accordingly. In case of an error a detailed error message is displayed a dialog and the detail area on the right-hand side of the module area.

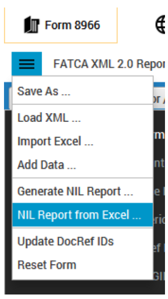


```xml
<?xml version="1.0" encoding="UTF-8" standalone="true"?>
<ftc:FATCA_OECD xsi:schemaLocation="urn:oecd:ties:fatca:v2 FatcaXML_v2.0.1.xsd" version="2.0.1"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xmlns:iso="urn:oecd:ties:isofatcatypes:v1"
xmlns:ftc="urn:oecd:ties:fatca:v2" xmlns:stf="urn:oecd:ties:stf:v4"
xmlns:sfa="urn:oecd:ties:stffatcatypes:v2">
<ftc:MessageSpec>
	<sfa:SendingCompanyIN>000000.00000.LE.756</sfa:SendingCompanyIN>
	<sfa:TransmittingCountry>CH</sfa:TransmittingCountry>
	<sfa:ReceivingCountry>US</sfa:ReceivingCountry>
	<sfa:MessageType>FATCA</sfa:MessageType>
	<sfa:MessageRefId>c07e17ce-c6c0-492c-86f2-a98a896a039e</sfa:MessageRefId>
	<sfa:ReportingPeriod>2015-12-31</sfa:ReportingPeriod>
	<sfa:Timestamp>2016-12-18T13:33:11.681Z</sfa:Timestamp>
</ftc:MessageSpec>
<ftc:FATCA>
	<ftc:ReportingFI>
		<sfa:ResCountryCode>CH</sfa:ResCountryCode>
		<sfa:TIN>000000.00000.LE.756</sfa:TIN>
		<sfa:Name>Name of Filer</sfa:Name>
		<sfa:Address>
			<sfa:CountryCode>CH</sfa:CountryCode>
			<sfa:AddressFix>
				<sfa:City>City</sfa:City>
			</sfa:AddressFix>
		</sfa:Address>
		<sfa:Address>
			<sfa:CountryCode>CH</sfa:CountryCode>
		</sfa:Address>
		<ftc:FilerCategory>FATCA601</ftc:FilerCategory>
		<ftc:DocSpec>
			<ftc:DocTypeIndic>FATCA1</ftc:DocTypeIndic>
			<ftc:DocRefId>000000.00000.LE.756.cf51458b…</ftc:DocRefId>
		</ftc:DocSpec>
	</ftc:ReportingFI>
	<ftc:ReportingGroup>
		<ftc:NilReport>
			<ftc:DocSpec>
				<ftc:DocTypeIndic>FATCA1</ftc:DocTypeIndic>
				<ftc:DocRefId>000000.00000.LE.756… </ftc:DocRefId>
			</ftc:DocSpec>
			<ftc:NoAccountToReport>yes</ftc:NoAccountToReport>
		</ftc:NilReport>
	</ftc:ReportingGroup>
</ftc:FATCA>
</ftc:FATCA_OECD>
```

## NIL Report Generator

The NIL Report Generator is the built-in functionality to generate a NIL Report for multiple reporting financial institutions from an excel template file.

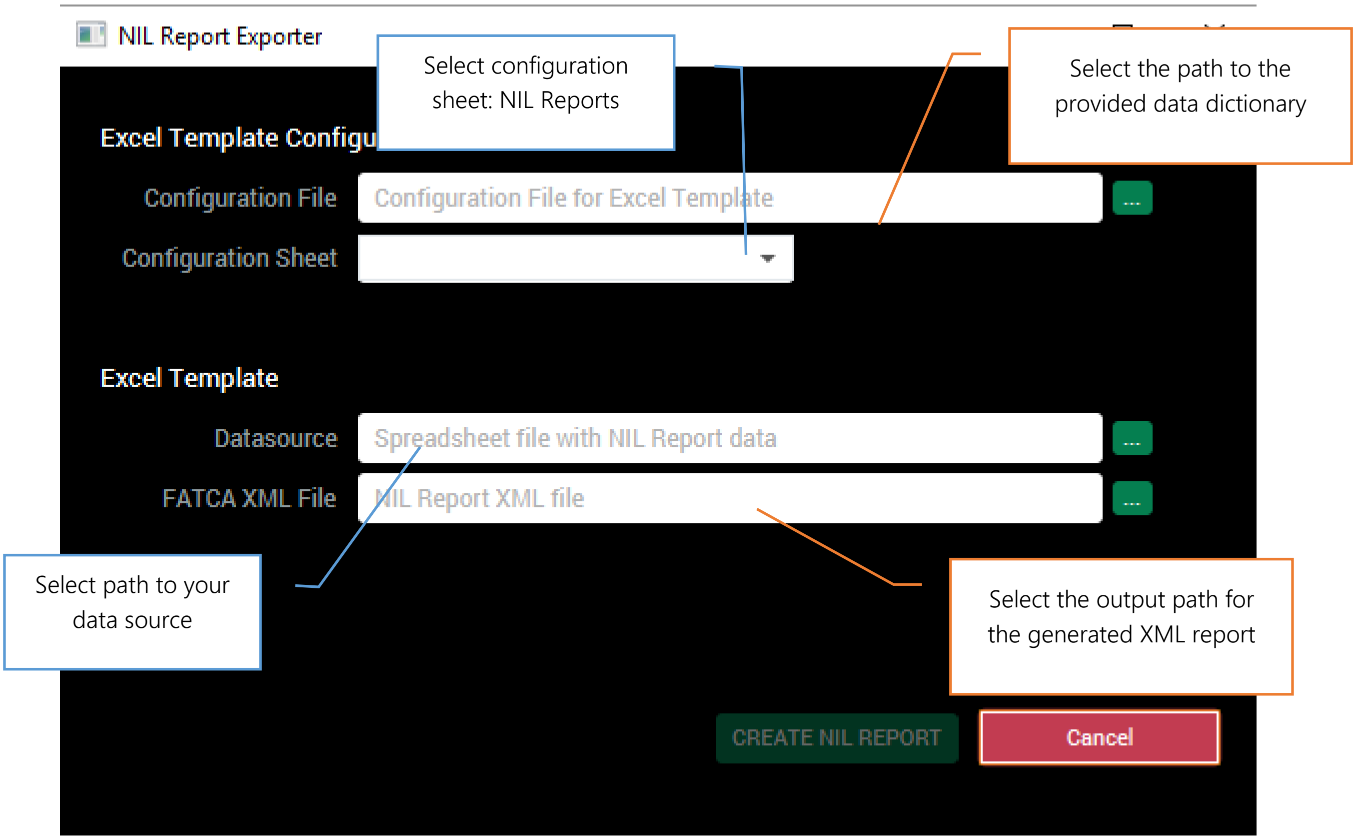
What you need




- **The provided data dictionary:** FATCA_TRSuite_NILReport_DataDictionary_v1706.xlsx
- **Your configured data source:** best is to make a copy of the provided Excel-Template FATCA_NILReport_v1706.xlsm and file your data.

To open the NIL Report Generator dialog, select the FATCA module and select the according "NIL Report from Excel ..." menu item.

The Dialog

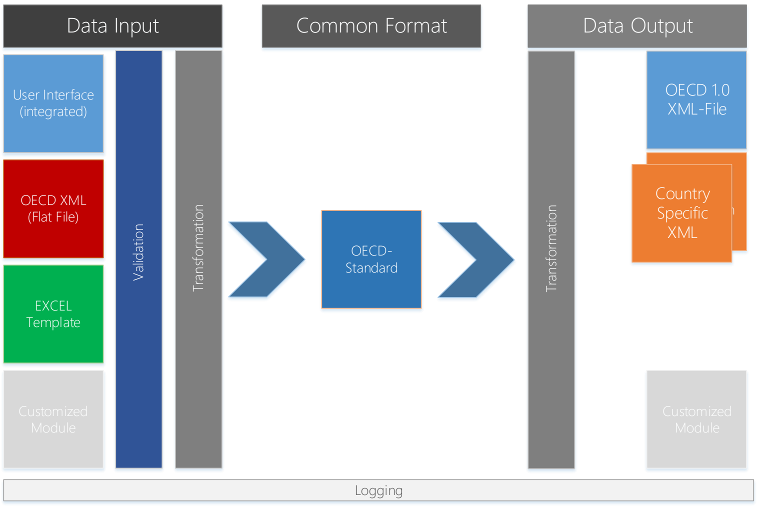



Select the data dictionary, configuration sheet, your data source and the output file. Once all data is entered, the "Create NIL Report" button is enabled. Pressing the button writes the NIL Report to the given path.

## Loading and Importing Data

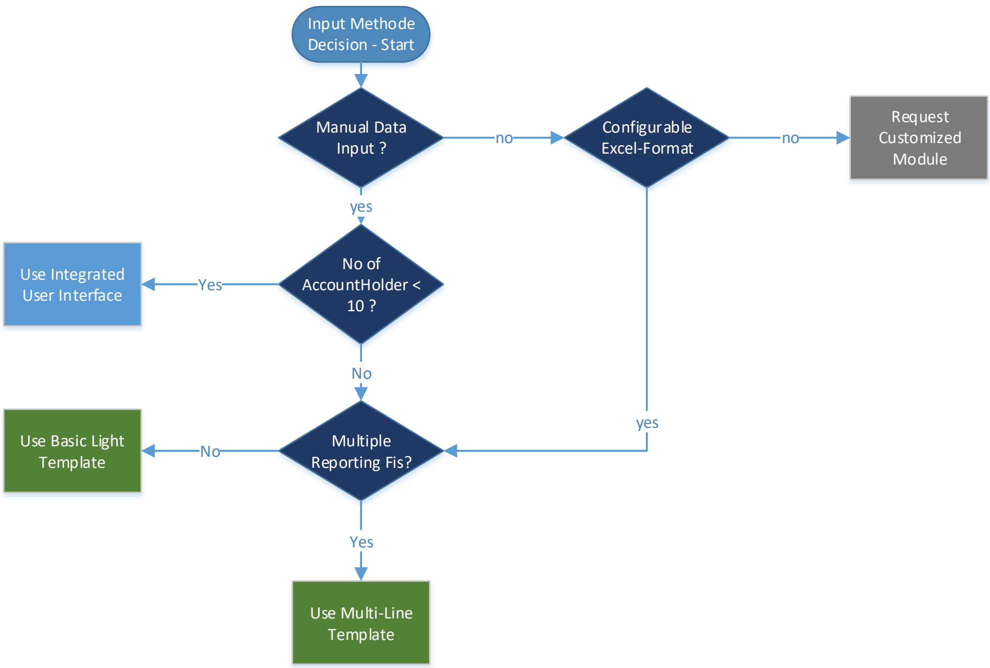
TRSuite supports different methods to import/add data to generate a FATCA XML 2.0.1 compliant file:

- Use the provided Excel templates
- Generate and configure your own Excel template
- Input the data interactively over the User Interface
- FATCA XML 1.1/2.0 files
- Request a customized importer fitting your company needs (csv, xml, ...)



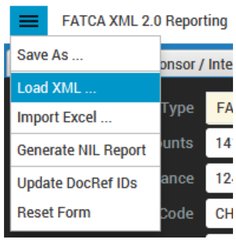

Once the data is entered, TRSuite transforms the data into a FATCA 2.0.1 XML file.

The following workflow should guide you, what import method to choose.

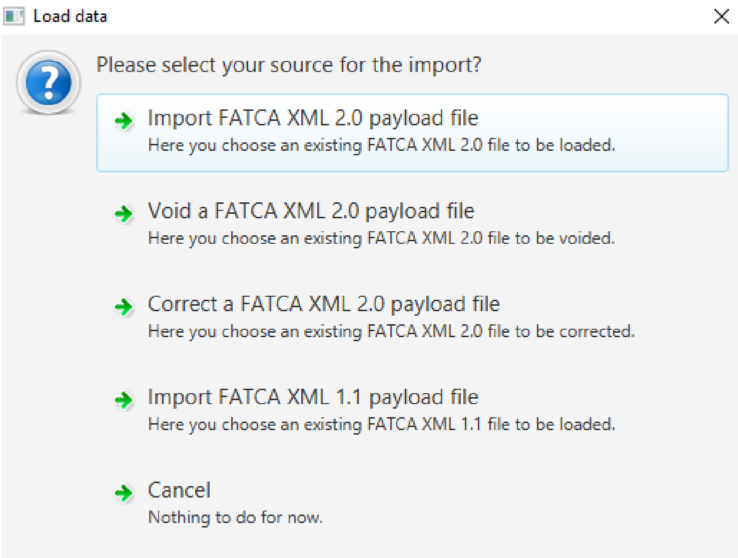



Load FATCA XML schema 1.1 / 2.0 / 2.0.1

The “Load XML ...” option of the FATCA menu allows the user to load data from different sources as well as voiding or correcting existing FATCA XML 2.0.x reports. Existing data in the From8966 module is cleared.




Selecting the load option opens the following selection dialog:




After selecting the required option, a file dialog opens and the according file can be selected.

Automatic Generation of voided and corrected reports

During the loading process, all Document Reference ID fields are copied to the corresponding Corrected Document Reference ID fields.

**NOTE: No new document reference IDs are generated automatically!** This needs to be done either manually field by field or using the TRSuite feature from the FATCA menu:

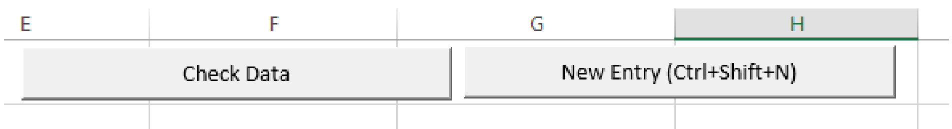
Depending on the functionality the document type is set either to FATCA2 if you need to correct the data or FATCA 3 if voided. Afterwards all data can be manipulated and exported as usual.

Import XLSM to generate FATCA XML 2.0.1

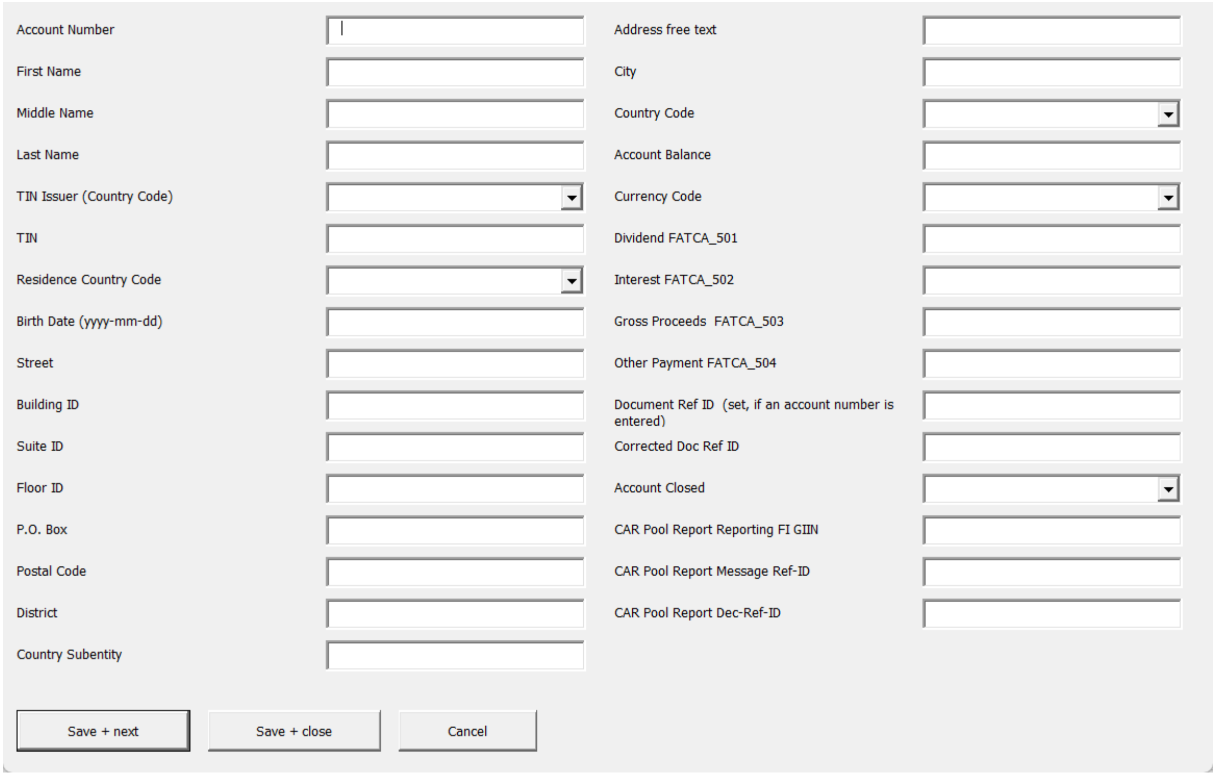
The most commonly used function to load data into TRSuite is to use the provided or a customized Excel template. The following chapter describes the required configuration and import process.

Data Entry and Validation in the Template

The delivered workbooks contain macros that help you to fill them in correctly before the import. Excel blocks macros in a file downloaded from the internet, so confirm the security prompt when you open the workbook for the first time; without it the two buttons described below do nothing.



"New Entry" - also on the keyboard as Ctrl+Shift+N - opens an entry form for the list sheet you are on. The form is not a fixed mask: it is built when you open it, from the field identifiers and the column headings of that sheet, so it always matches the workbook you are working in. Coded fields are offered as drop-down lists, which spares you looking codes up. "Save" writes the entry into the first free row of the sheet.



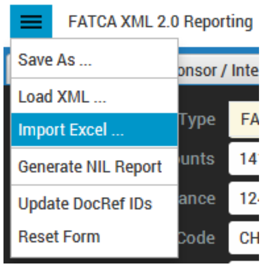

"Check Data" examines the entered data against the rules of the schema. Findings are marked orange in the cell, and the reason is written into the "Check Result" column at the end of the row; a message box reports how many were found. Running the check again clears the previous findings first, so the sheet never accumulates old marks. The following is examined:

- Mandatory fields on the Part I/II sheet and on the list sheets
- The account holder type against the values of the FATCA schema
- Amounts: not negative and with at most two decimal places
- Dates, either as a real date or as text in the form YYYY-MM-DD
- "Account Closed" as a yes/no value
- Maximum field lengths
- Substantial owners: an entry is either complete - type, name and city - or absent

One set of macros serves all workbooks of the family. Which rules apply is decided by the workbook itself: a rule that belongs to a field the workbook does not contain switches itself off. You can therefore use the same handling in the basic template, in the variant with document reference IDs, in the correction variant and in the workbook for several reporting financial institutions.

The check is a help before the import, not a replacement for it. TRSuite validates the report again after the import, against the schema and against the rules of the selected jurisdiction, and only that result decides whether the report can be filed.

The “Import Excel ...” option of the Form 8966 menu allows the user to load data from our provided excel templates. Existing data in the From8966 module is cleared.




Since version 19.02.0.5 it is not required any more to select a data dictionary. The data dictionary defines the data mapping between the excel data sheet and the FATCA XML format.

The used template is now detected during import and if recognized the internal data mapping is used. Old templates can also be used for autodetection as long as the version cell E-24 is not changed or updated to the correct new values.

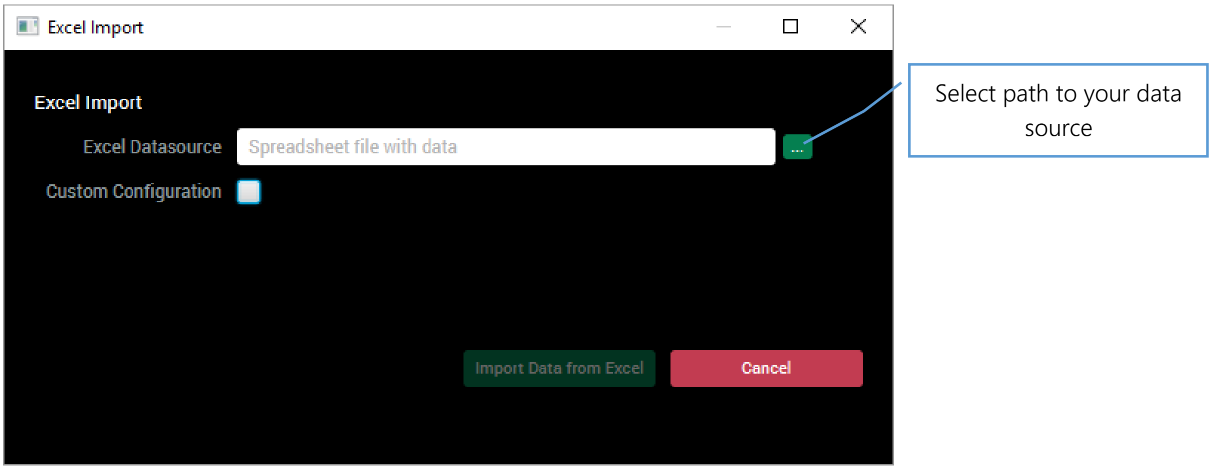
Old:

| | |
|---|---|
| Document-Version | 1802 |
| supported since TR Suite versioı | 1802 |

New:

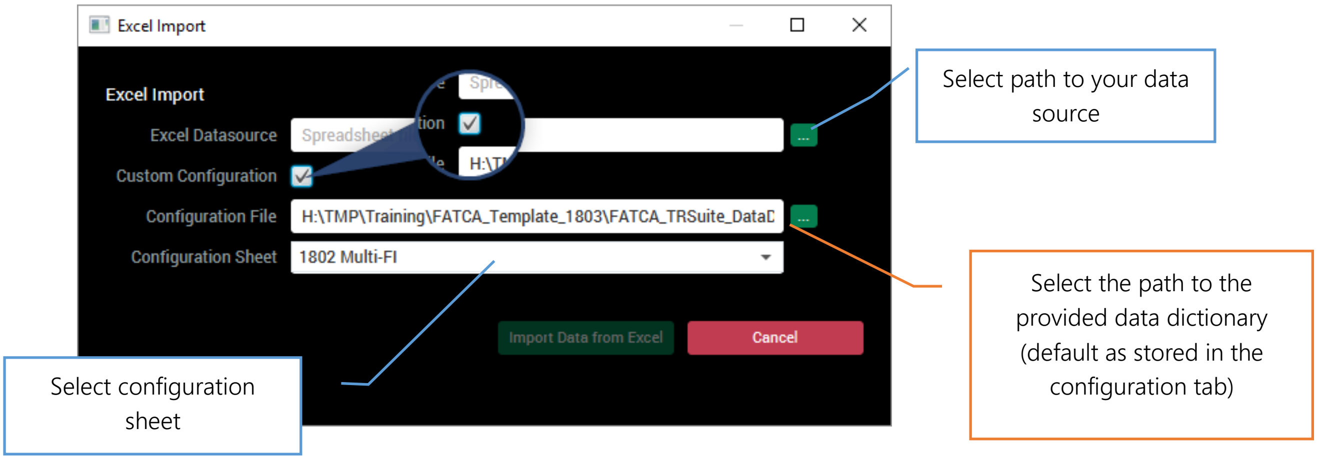
| | |
|---|---|
| Document-Version | FATCA_1902_M |
| supported since TR Suite version | 19.02 |

Selecting the load option opens the following selection dialog:



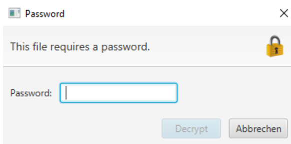

Select your data source and import the data.

If you use a customized data sheet, it is still possible to select the required data dictionary by checking the “Custom Configuration”:




Select the data dictionary, configuration sheet and your data source. Once all data is entered, the "Import Data from Excel" button is enabled. The file it is then analyzed and all available data is displayed in the FATCA main area. Errors or warnings are displayed in the details area and a dialog.

**Password Protections (since v1703)**




If the excel file is protected by a password a password dialog is displayed allowing the user to enter the required password to decrypt the file.

This chapter describes how data can be mapped from the XLSM sheet provided by BRIFS GmbH to the defined FATCA XML 2.0.1 specification.

The following information is used to generate a FATCA XML 2.0.1 compliant document. Before filing a FATCA Report, please ensure that you are familiar with the FATCA - Guidance Notes, which can be downloaded from https://www.irs.gov/pub/irs-pdf/p5124.pdf

The provided Excel templates are available for download at:
http://www.section11.ch/downloads.html

Extract the zip file to a local directory an extract the content.

Excel Template Version
The file contains 6 different sheets to enter the required data:

| Sheet | Description |
|---|---|
| Overview | Short description of the document |
| Part_I_II | Part I / II of form 8966 FATCA Report |
| Individuals_List | Parts II, III and IV of form 8966 FATCA Report (multiple individual accounts entry) |
| Pool_Report | Part of form 8966 FATCA Report (pool reporting) |
| Organisations_List | Parts II, III and IV of form 8966 FATCA Report (multiple entity accounts entry) |
| Reference Data | List of values used in drop-down lists (for your reference only) |

## *Part_I_II*

**GENERAL FORM INFO**

Clear Form

new Message RefID

| | | |
|---|---|---|
| **Document Type** | New Report | FATCA1 |
| Message Reference ID | | 0186948E-4A78-4DF2-B7E0-9AD7624179AE |
| Corrected Message Reference ID | | |
| Version | | 1.1 |
| Transmitting Country | | CH |
| Receiving Country* | | US |
| Reporting period | | **2014-12-31** |

## *Individuals List*

Clear List

**Individual / Natural Person**

| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 16 | 17 | 18 | 19 |
|---|---|---|---|---|---|---|---|---|---|---|
| **Account Number** | **First Name** | **Last Name** | **TIN Issuer (Country Code)** | **TIN** | **Residence Co** | **Birth Date (yyyy-mm-dd)** | **City** | **Country Code** | **Account Balance** | **Currency Co** |
| 12 | 1stName | Name 1 | CH | 1t | JE | 1968-10-17 | Basel | CH | 177 | USD |

## *Organizations (non-natural persons) List*

Clear List

**Organisation**

| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 1 |
|---|---|---|---|---|---|---|---|---|---|---|---|
| **Account Number** | **Name** | **Account Holder Type** | **TIN Issuer (Country Code** | **TIN** | **Residence Countr** | **Street** | **Building ID** | **Suite ID** | **Floor ID** | **P.O. Box** | **Postal Code** |
| 1 | Org Name | FATCA_101 | | TIN1233 | | Street | Building ID | Suite ID | Floor ID | P.O. Box | Postal Code |

## *Pool Report*

Clear Pool Report Data

Create Document Ref IDs

**Pool Report**

| 0 | 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|---|
| **Report Type** | **No. Of Accounts** | **Pooled Balance** | **Currency Code** | **Document Ref ID (set, if an account number is entered)** | **Corrected Doc Ref ID** |
| FATCA_201 | 1 | 2233 | CHF | ABCDEF.00000.LE.756.AB92FD72-9064-488E-A159-72C3B6D97826 | |
| FATCA_202 | 233 | 23525 | USD | ABCDEF.00000.LE.756.B7CC6C90-C973-4120-8B64-1EDCD55BEF69 | |

A file chooser opens, enabling the user to select a filled excel or XML-file. The file it is then analyzed and all available account- and poo report data is added to the existing data in the FATCA main area. Errors or warnings are displayed in the details area and a dialog.

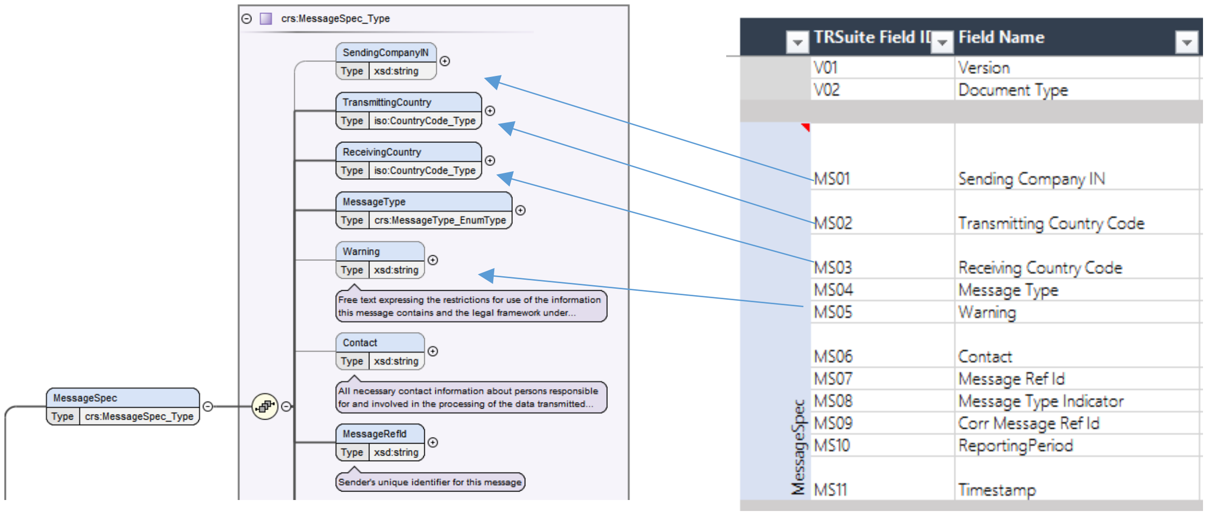
### General Excel-Template Configuration

Before an excel template can be imported the application needs to know how to map the spreadsheet data to the FATCA 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.

**NOTE:** If no configuration file is configured, TRSuite assumes the legacy template delivered with version 1612.

Each possible FATCA entity has its TRSuite Field ID. This is the key used to map data from the excel sheet to the XML format. The following example show the mapping of the MessageSpec_Type element.

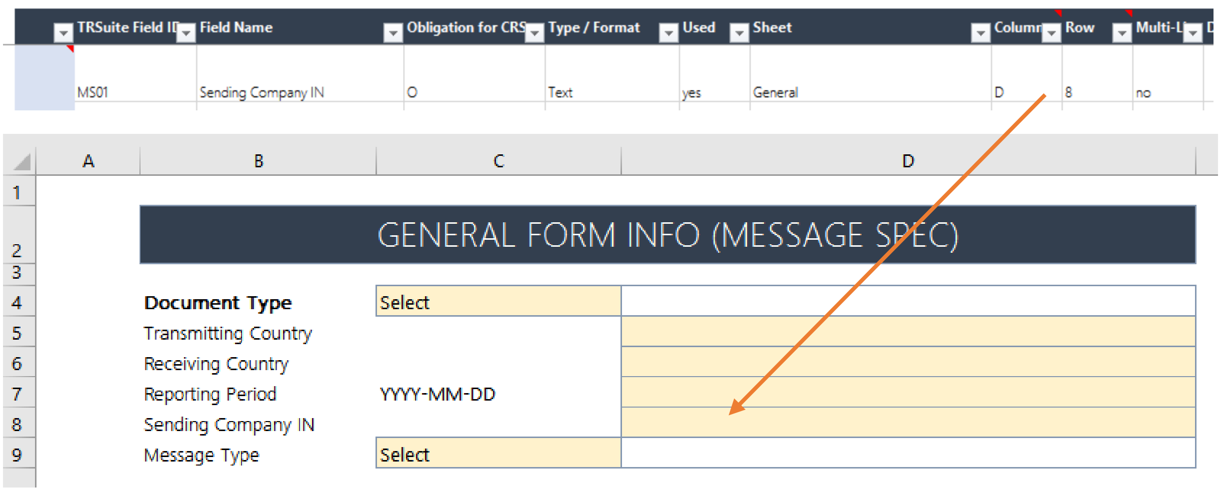



The relevant columns next to the ID are:

| Used | Sheet | Column | Row | Multi-L |
|---|---|---|---|---|
| yes | General | D | 5 | no |
| yes | General | D | 2 | no |

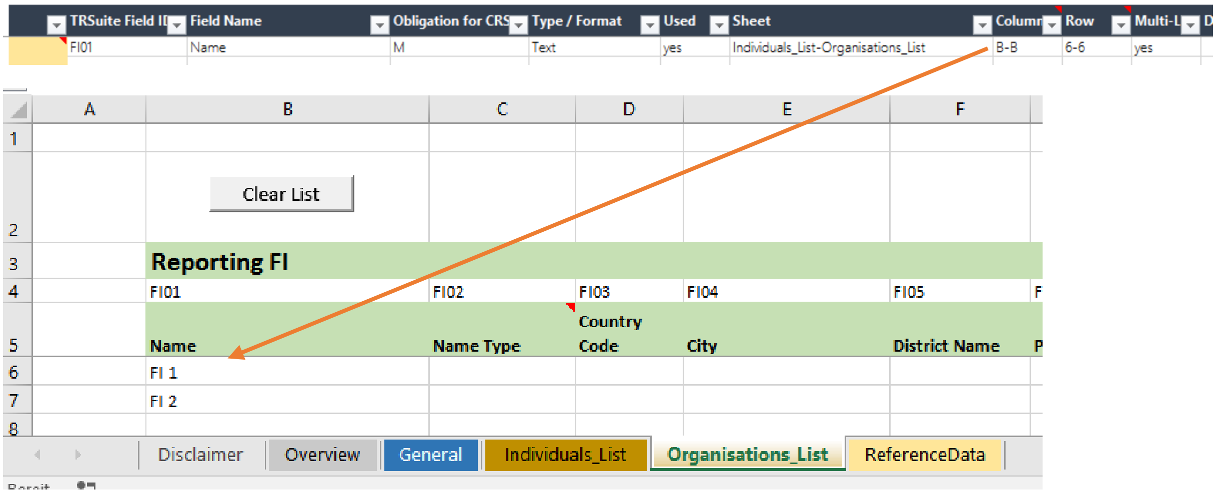
- Used:
  - yes->the field is loaded during the import
  - no->the field is ignored
- Sheet: data sheet holding the value
- Column: Column of the data field
- Row: Row of the data field (in case of a multi-line field this is the 1st row)
- Multi-Line:
  - no->this is a single data entry
  - yes->this field occurs multiple times

**Example 1:** Single Field Sending Company IN from the 1706 Basic Light template:



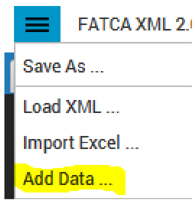
**Example 2:** Multi-Line, Multi-Sheet field Reporting FI Name

This field is located in two sheets. In this case the Sheet/Column and Row cell holds multiple values using the minus character as separator.

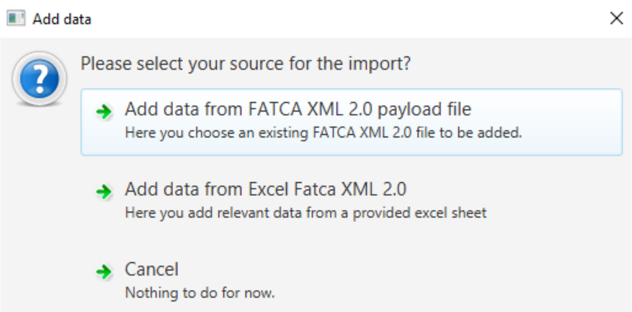



## Add data to current report

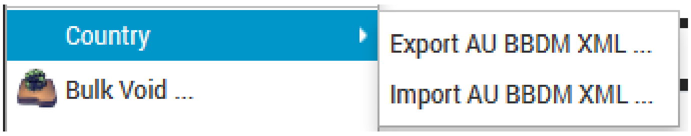
The "Add …" option of the Form 8966 menu allows the user to concatenate account and pool reports from different XML- or XLSM-sources. Existing data in the From8966 module is **NOT** cleared.




Selecting the add option opens the following selection dialog:



## AU BBDM file support




For 2019 FATCA files must contain the appropriate wrapper header for lodgment via Bulk Data Exchange (BDE) and Standard Business Reporting (SBR) channels, similar to CRS reporting.

The country specific import/export functionality lets you save and load AU specific XML files. During the import only the FATCA part is imported. The header information of the bulk business document is not loaded.

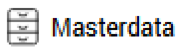
## FI Specific Reference IDs

Finland specified country specific rules on how to generated message and document reference IDs. Once the user enters FI as transmitting country code the rules are active for the current report.

A short video demonstrates the ID generation for FI-FATCA:
https://www.trsuite.ch/video/FI_FATCA.mp4

## Master Data

In the master data area default values for regularly used fields can be defined.




Default Values


- Default Currency ISO Code, used for FATCA schema 2.0.1 XML generation
- Default Country ISO, used for FATCA schema 2.0.1 XML generation
- Username (not yet used)
- The default working directory, where generated artifacts are stored.

## FATCA Configuration

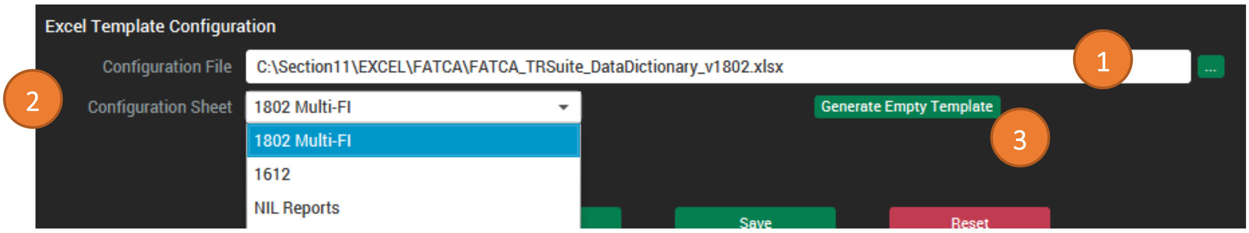
The FATCA configuration tab allows the user to enter required information about the spreadsheet template to be imported. The template can be fully customized.

## Excel Template Configuration

Version 1802 introduces the support of configurable excel templates. Each template requires its own configuration sheet. TRSuite comes with the following pre-defined configuration/template set:

- FATCA Basic Template for multiple reporting FIs with all fields (1802 Multi-FI)
- FATCA NIL Report Template (NIL Reports)
- Legacy Template 1612 (default, if no configuration is entered)

For the 1st time configuration, select the provided (or your own) configuration file (1) and select the configuration sheet matching the excel template you want to use for import (2).




The "Generate Empty Template" button (3) enables the user to generate an empty excel template based on the selected configuration sheet. This is typically used, to verify the template, if you customize the configuration sheet.

The customization is described in more detail later in the loading and importing data chapter.

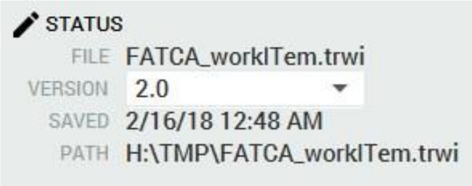
## Configuration Button Bar


- **"Load"** You can open existing configuration files by pressing the Load-Button. In the dialog box browse to select a document and click "Open" to load the document.
- **"Save as …"** Saves the current configuration in a different location, or with a different file name or file type. Opens a file chooser dialog to let you browse to the location where you want to save the document.
- "**Save**" Saves the current configuration to the last selected file or default location. The data is stored within an XML-File and automatically available the next time you start the program. If there are unsaved changes the save-button is colored green.
- "**Reset**" loads the last saved configuration and overwrites all unsaved changes.

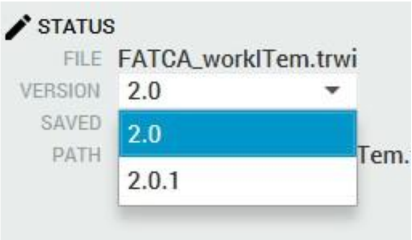
By pressing the "**Validate**"-Button the tool loads the given keys, validates the entered data and shows the result of the validation

## File and Schema Information

After a file is loaded or saved, the information about the file (name, last modified, absolute path) is displayed in the status pane of the detail area. The full path can be seen in the tooltip.




To select the schema version, use the drop-down menu. This is the version the file gets exported. Further this is the schema version the final report is validated against.



# Appendix

## 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.

## GIIN Composition

Format: XXXXXX.XXXXX.XX.XXX

The GIIN is a 19-character identification number that is a composite of several other identifiers. These identifiers include the following:

• Each registering FI will be given a FATCA ID that will be used for purposes of establishing and accessing the FI's online FATCA account. For all FIs other than Member FIs, the FATCA ID is a randomly generated six-character alphanumeric string. These 6 characters are upper case letters excluding the letter O, or numbers, or a combination of both. For Member FIs, the FATCA ID will be comprised of 12 characters: the first 6 characters will be the Lead FI's FATCA ID, followed by a period, and the last 5 characters will be alphanumeric and assigned sequentially to each Member. The FATCA ID is not the same as the GIIN.

• The Financial Institution Type can be Single, Lead of an Expanded Affiliated Group, Member (not Lead) of an Expanded Affiliated Group, or Sponsoring Entity. The Financial Institution type is provided by the Financial Institution when creating its FATCA account.

• The Category Code is a two-character abbreviation identifying either the Financial Institution Type as previously described or a branch of the Financial Institution.

• The Country Identifier will be the ISO 3166-1 numeric standard country code for the Financial Institution's country of residence for tax purposes that the Financial Institution identified in question 3 on the registration form, or, if the GIIN is for a branch, the branch country identified in question 9A on the registration form.

## OpenSSL manual tasks

### Converting a PKCS#12 private key to PEM Using OpenSSL

(**Hint**: not required any more since version 1.01, as PFX/P12 keys are supported by the tool)

The tool requires the private key to be stored in the PEM file format. The following command allows you to convert certificates and keys to different formats to make them compatible with specific types of servers or software.

For example, you can convert a PFX (PKCS#12) file used with Tomcat or IIS to a normal PEM file that would work with Apache and IDEaSy:

Convert a PKCS#12 file (.pfx .p12) containing a private key and certificates to PEM

    openssl pkcs12 -in keyStore.pfx -out keyStore.pem –nodes -nocerts

You can add -nocerts to only output the private key or add -nokeys to only output the certificates

## OpenSSL extract IRS notification

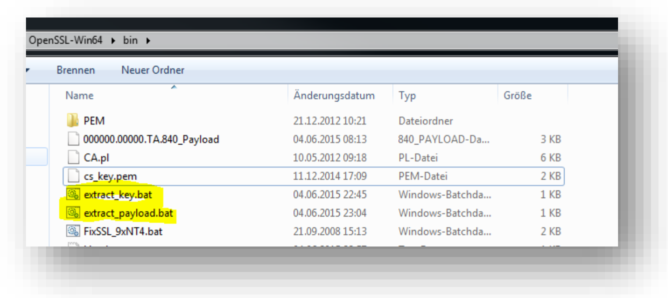
The commands are intended to be run from a batch file located along with the OpenSSL executable, the Key and Payload files from the notification, and the receiver's private key.

The described windows batch files can be downloaded from

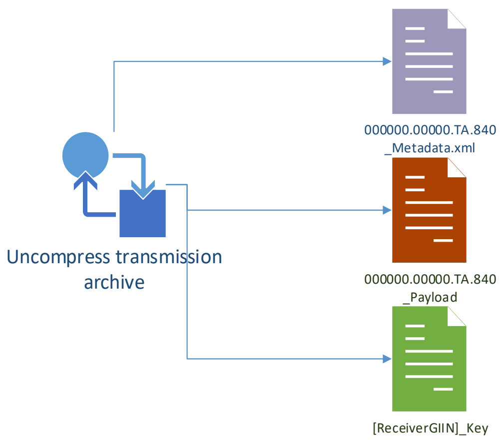
https://www.trsuite.ch/trsuite/GA/OpenSSL_scripts.zip

## Preparation

Copy the provided scripts to the openssl bin directory:




Extract the notification zip to the openssl bin directory. The file contains the following three files:




If your private key is in PFX/P12 format, you have to transform it to PEM format (and remove the password)

Converting a PKCS#12 private key to PEM Using OpenSSL

The tool requires the private key to be stored in the PEM file format. The following command allows you to convert certificates and keys to different formats to make them compatible with specific types of servers or software.

For example, you can convert a PFX (PKCS#12) file used with Tomcat or IIS to a normal PEM file that would work with Apache and IDEaSy:

Convert a PKCS#12 file (.pfx .p12) containing a private key and certificates to PEM

openssl pkcs12 -in keyStore.pfx -out keyStore.pem –nodes -nocerts

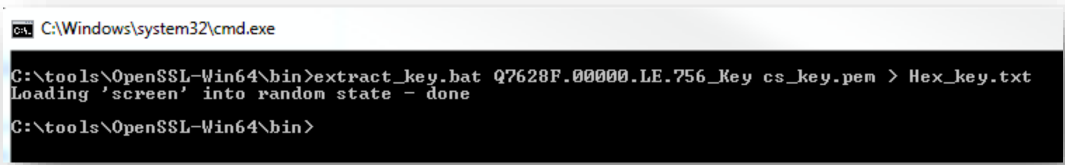
You can add -nocerts to only output the private key or add -nokeys to only output the certificates

Step 1
The following files are required and will be the input to the batch script:

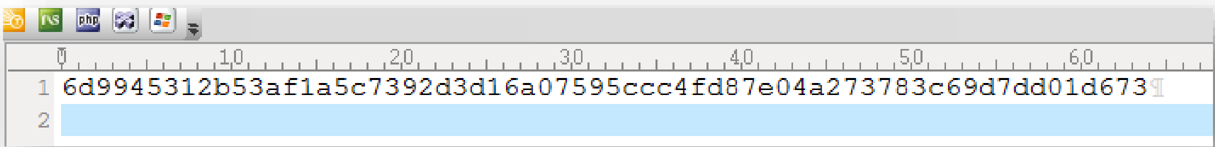
**AES_KEYFILE** - this is the Key file that will be in the downloaded notification .zip file [ReceiverGIIN]_Key
**PRIVATEKEY** - this will be your private key that corresponds to the certificate that was uploaded into IDES (in PEM format)
The first command will decrypt the AES key. The batch code will parse the hex values of the AES key and writes it in Hex-Format to the console (send to HEX_KEY.txt file)

**Usage:**

C:\openssl\bin>key_extract.bat *%AES_KEYFILE% %PRIVATEKEY% > HEX_KEY.txt*




Open the written Hex_key.txt file with the editor of your choice. It should similar to the following:




Select and copy the 1st line for usage in Step 2.

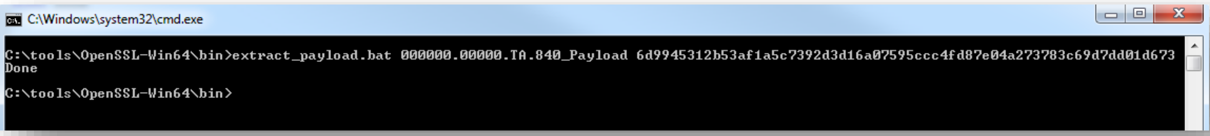
Step 2
The second command will use the AES key in hex format and decrypt the Payload file. The output will be the decrypted Payload .zip file.

The following files are required and will be the input to the batch script:

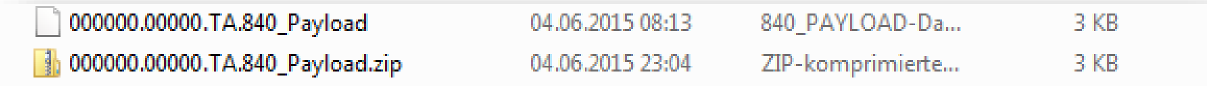
**HEX_KEY** - this is the one time AES-Key in Hex format (output from step 1)
**PAYLOAD** - this is the Payload file that will be in the downloaded notification .zip file

**Usage:**

C:\openssl\bin> extract_payload.bat 000000.00000.TA.840_Payload <*insert copied key here*>

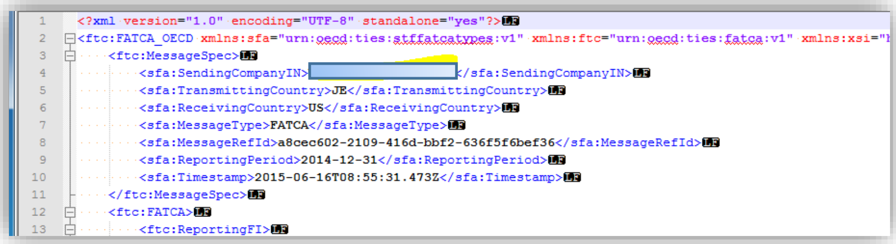



A zip file with the signed payload will be created.



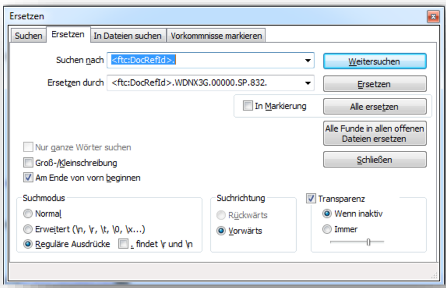

## Manual replace/extend existing document reference IDs using notepad++

Start notepad++
Open the required document (drag the file into the running notepad++)




Check, if the correct GIIN is entered in the SendingCompanyIN field.
Press Ctr-H (this will open the search and replace dialog):

In the search field enter: <ftc:DocRefId>.
In the replace field enter:
<ftc:DocRefId>*[GIIN].*




*[GIIN] you have to replace with the required GIIN, e.g.*
<ftc:DocRefId>ABCDFG.00000.LE.832.

Press the “Replace All” and save the document (Ctr-S)
The resulting DocRefIDs should now look similar to the following:

```
<ftc:DocSpec>
    <ftc:DocTypeIndic>FATCA1</ftc:DocTypeIndic>
    <ftc:DocRefId>WDNX3G.00000.SP.832.05bba660-9817-489a-a357-91745674794a</ftc:DocRefId>
</ftc:DocSpec>
```