TAX REPORTING SUITE

MODULE SEI

VERSION 26.03



USERS'S MANUAL

Published: Oct 2026

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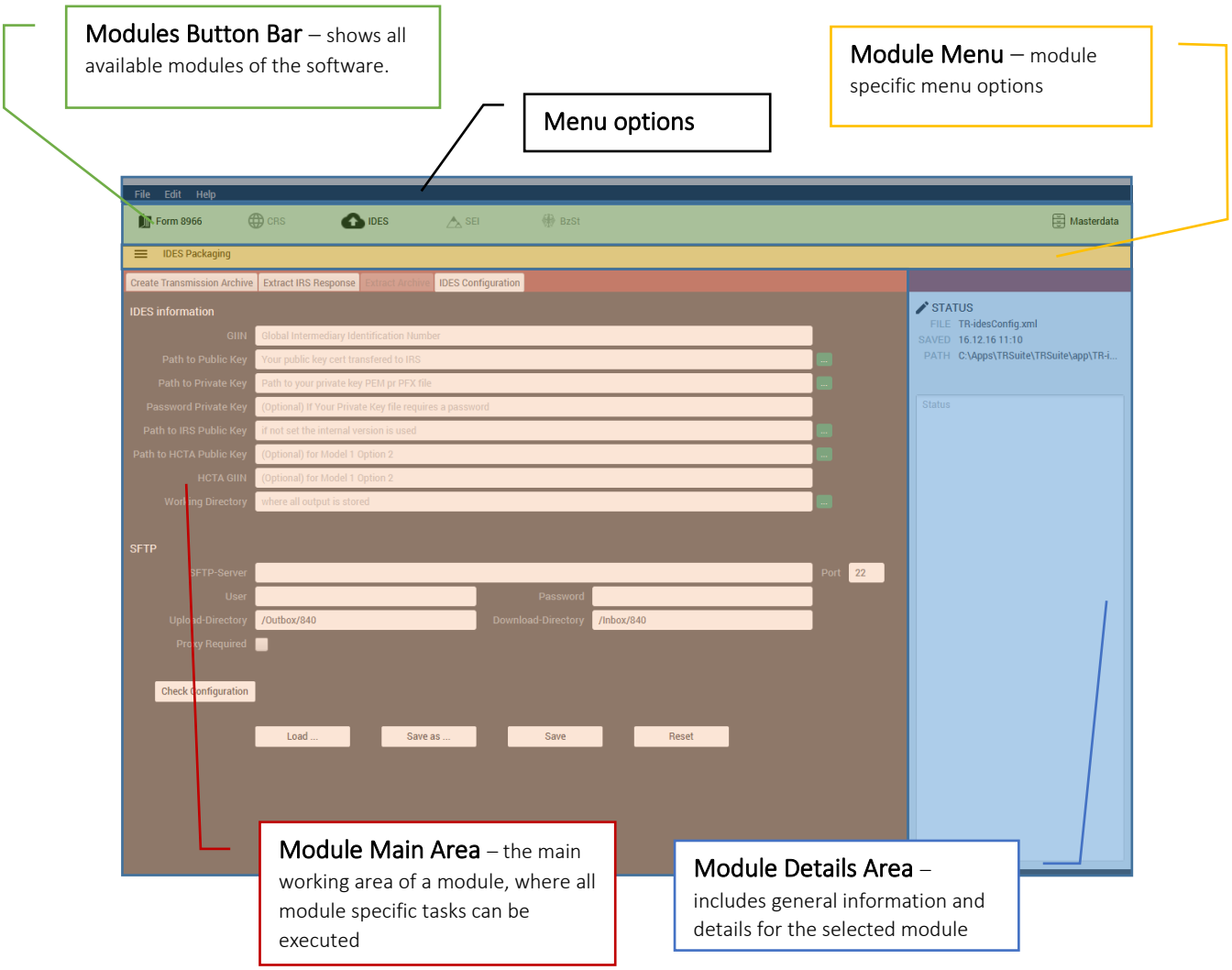
Revision History

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
20.01	Rev 8	20.01.2020	https://www.easycrs.ch/index.php/8-trsuite/12-trsuite-release-notes-version-20-01
20.02	Rev 9	24.02.2020	https://www.easycrs.ch/index.php/8-trsuite/13-trsuite-release-notes-version-20-02
20.03	Rev 10	02.06.2020	https://www.easycrs.ch/index.php/8-trsuite/15-trsuite-release-notes-version-20-03
20.05	Rev 11	02.06.2020	https://www.easycrs.ch/index.php/8-trsuite/16-trsuite-release-notes-version-20-05
20.11	Rev 12	24.11.2020	https://www.easycrs.ch/index.php/8-trsuite/17-trsuite-release-notes-version-20-11
21.01	Rev 13	01.02.2021	No changes
26.02	Rev 14	06.09.2026	https://www.trsuite.ch/trsuite/ReleaseNotes/RELEASE_NOTES_26.02.en.html
26.02	Rev 15	08.09.2026	FATCA XML 2.0.1 (IRS schema in force since 06.10.2025), update package content per ESTV User Guide v1.3, Filetransfer size limit
26.02	Rev 16	08.09.2026	FTA validation and update rules, LOAD FROM FATCA, delivery limits, FTA links, sample files
26.03	Rev 17	15.10.2026	https://www.trsuite.ch/trsuite/ReleaseNotes/RELEASE_NOTES_26.03.en.html

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.



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 11 using the Windows Look and Feel.

Reference

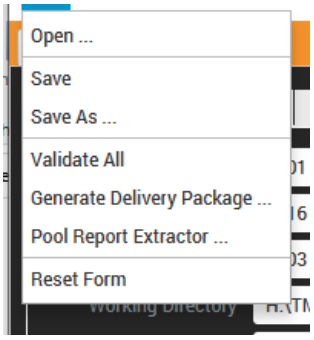
In addition to this Users Guide, the following online resources may be useful:

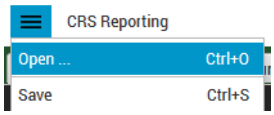
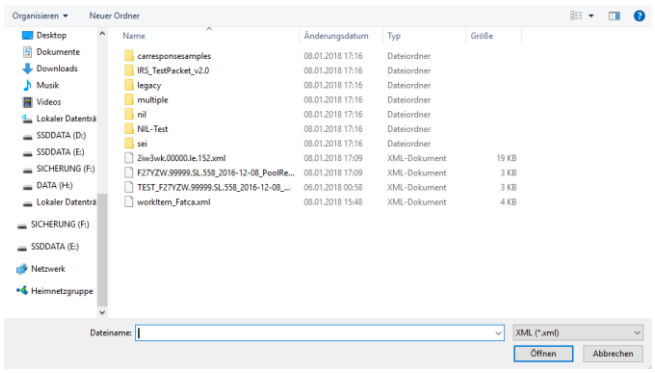
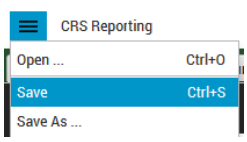
- ESTV portal: https://www.estv.admin.ch/de/amtshilfe-gemaess-fatca
- XML schema definition: https://www.estv.admin.ch/dam/de/sd-web/I5a85HSX1nYq/int-sei-xml-de.zip
- Technical Specification and User Guide for Financial Institutions according to FATCA IGA 2: https://www.estv.admin.ch/dam/de/sd-web/1obWmL9z5Fud/int-fatca-userguide-de.pdf
- Business and validation rules for SEI-XML and FATCA-XML: https://www.estv.admin.ch/dam/de/sd-web/L2uOxgEr-d93/int-fatca-business-validation-rules-fta-de.pdf
- Update rules for FATCA group requests: https://www.estv.admin.ch/dam/de/sd-web/mE7rJIQOHBKm/int-fatca-update-rules-fta-de.pdf

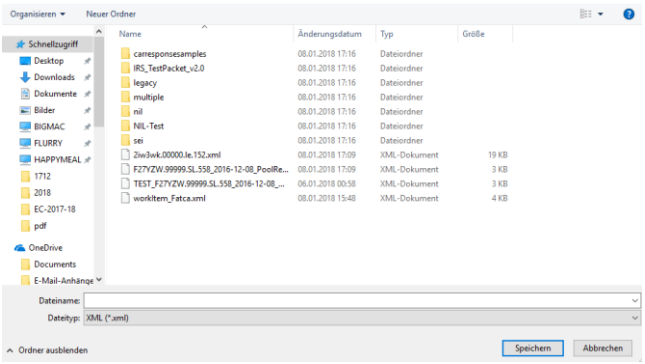
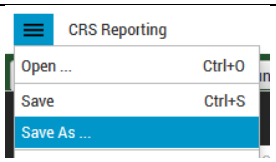
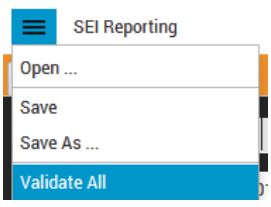
Before filing a SEI Report, please ensure that you are familiar with your country specific Guidance Notes.

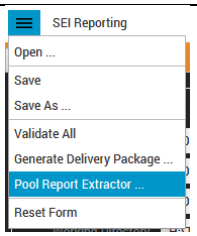
SEI Menu Items

The SEI menu includes the following elements



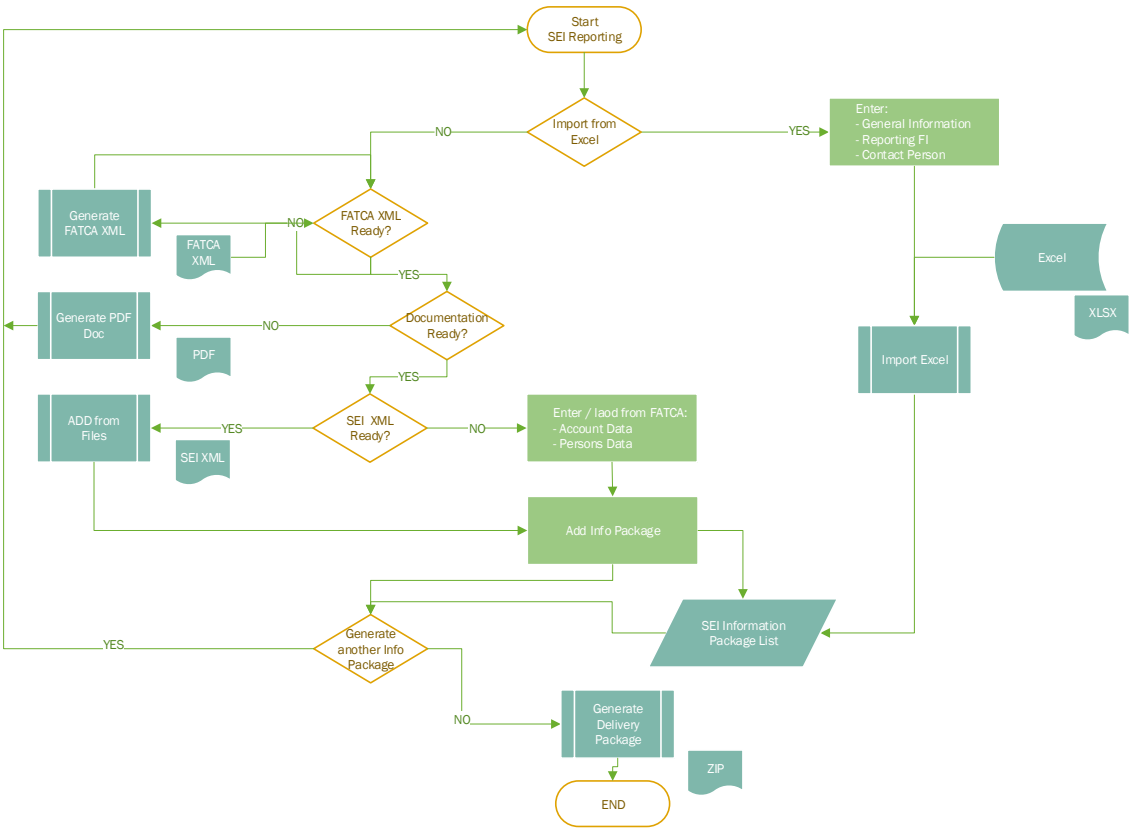
Menu Options	Description
Open ...	Once you've saved a document, you may want to access it again to make changes or correct it out. From the menu, choose "**Open ...**"  An 'Open' dialogue box will pop up. From this, find your way to the folder in which your document is saved. Folders are shown down the 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.  Click **Open, t**he document will then be opened.
Save	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.  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. Once you have typed in the name of your document, click **Save** 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 …	 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.
Validate All	 Validates all currently entered information packages
Generate Delivery Package …	The 'Generate Delivery Package …' menu is used to generate a delivery package from the entered data.

Pool Report Extractor	 To support financial institutes generating such a report we implemented a little tool (pool extractor) to extract the relevant information from pre-existing pool reports. As not all data is available in the pool report, there is still a major manual task to complete the data. The data is missing, because within the pool report there is no data available regarding above/below threshold data.
Reset Form	The Reset Form menu resets the values of all elements in the CRS main area.

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.



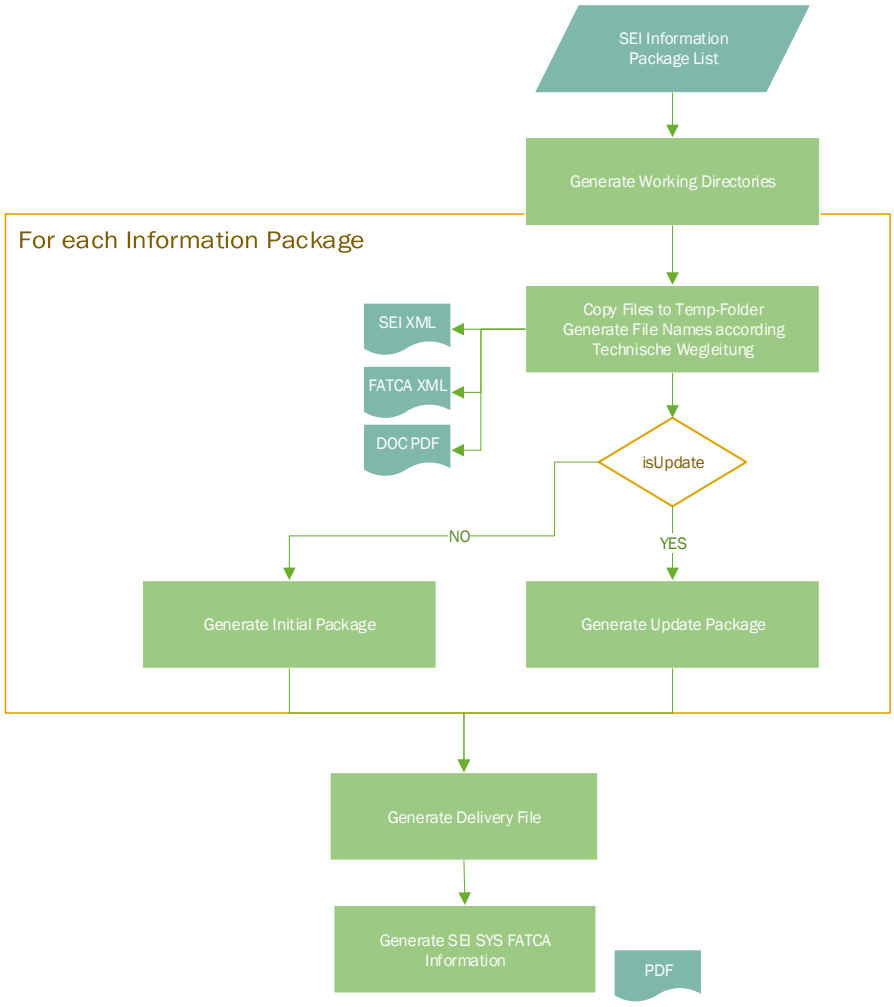
The data is grouped in so called information packages. Once all data is available and validated, it can be exported into a delivery file as specified by the FTA. If required, multiple delivery files are generated, if size or number of information packages exceed the maximum defined number.

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.

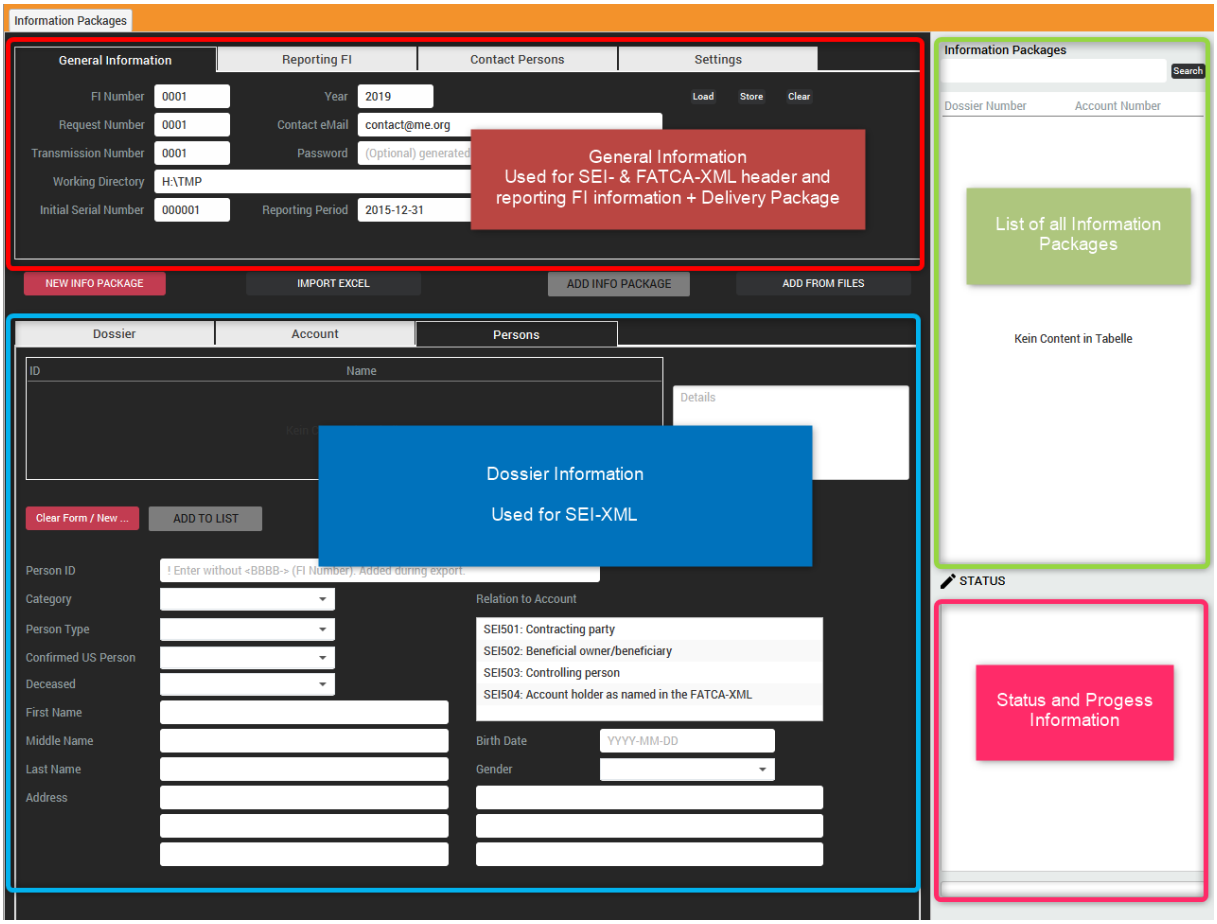
An information package represents a dossier that contains only new or updated information that needs to be delivered to the FTA.

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 a SEI-XML, a PDF documentation and a FATCA-XML. The update SEI-XML, PDF and FATCA-XML replace all previous files transmitted for the same dossier. Contact the FTA (amtshilfe.usa@estv.admin.ch) before sending update information packages.



User Interface

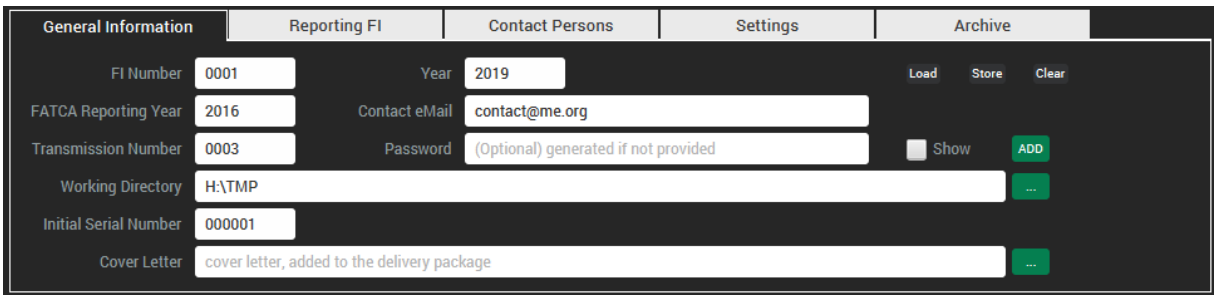
Within the Information Packages Tab all relevant information can be entered to generate a valid delivery package and enter / correct all SEI-XML relevant information. FATCA-XML reports can be corrected or validated in the FATCA module of TRSuite.



General Information

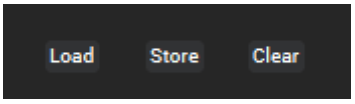
The General Form Info contains common information to identify the financial institution (FI), information about the Request and relevant data about the transmission.

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



- **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)

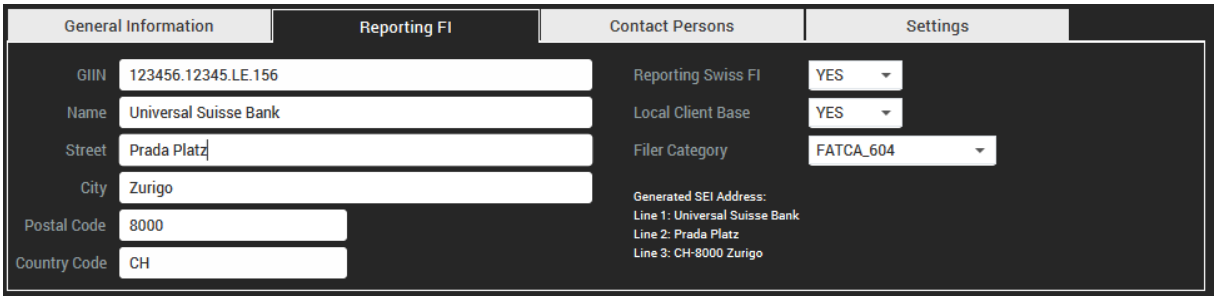
- **FATCA Reporting Year:** year of the FATCA report (must match with Reporting Period)
- **Year:** Year of the request's reception (4 numbers, defined by the FTA)
- **Contact eMail:** Used as information, when generating the FATCA Credential Form (https://www.estv.admin.ch/dam/de/sd-web/SYpGz0JIklio/sei-fatca-credentialform-de.pdf)
- **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)
- **Cover Letter:** Since version 20.05 it is possible to add a cover letter to the generated delivery package. Simply select or enter the path to the relevant file and it will be added automatically. If the delivery file is split due to size or account number restrictions the cover letter is added to each generated delivery file.
- **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/0, I/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



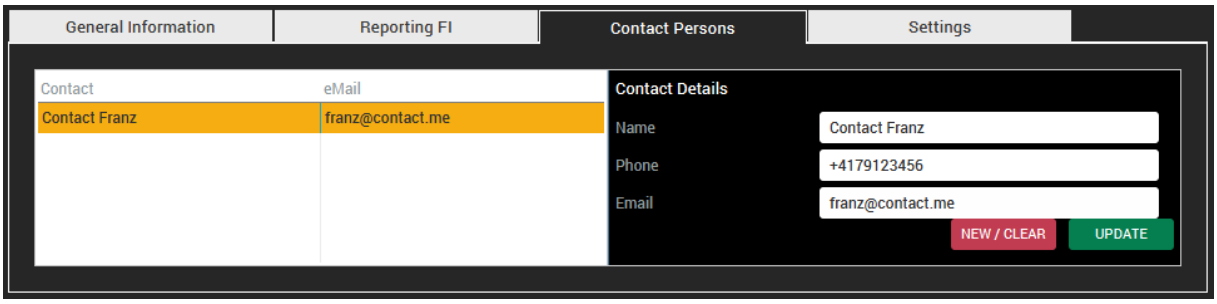
All entered general information can be locally stored and (re) loaded for future reporting. "Clear" resets the entered data.

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:



- **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



- **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



- **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. A value above this FTA limit (FATCA Information Delivery - Technical Specification and User Guide, version 1.3, chapter 4.3.2) is reduced to 5000 automatically and written to the log. A lower value can be set so that TRSuite splits the content over several delivery files earlier.
- **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. A value above this FTA limit (FATCA Information Delivery - Technical Specification and User Guide, version 1.3, chapter 4.3.2) is reduced to 250 MB automatically and written to the log. A lower value can be set to split the content over several delivery files earlier, for example to stay below the limit of approximately 200 MB of the Filetransfer Service.
- **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
- **Legal Entity (*)**: Legal Entity Code used for ELAR files
- **Business Unit (*)**: Unit Code used for ELAR files

(*) requires separate license

Information Packages

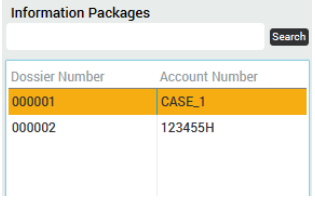
A delivery from an FI to the FTA always consists of a single encrypted delivery file (ZIP format encrypted with AES256-Bit, deflate compression method) containing at least one unencrypted information package. The single information package information can be collected under the information package area.

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.



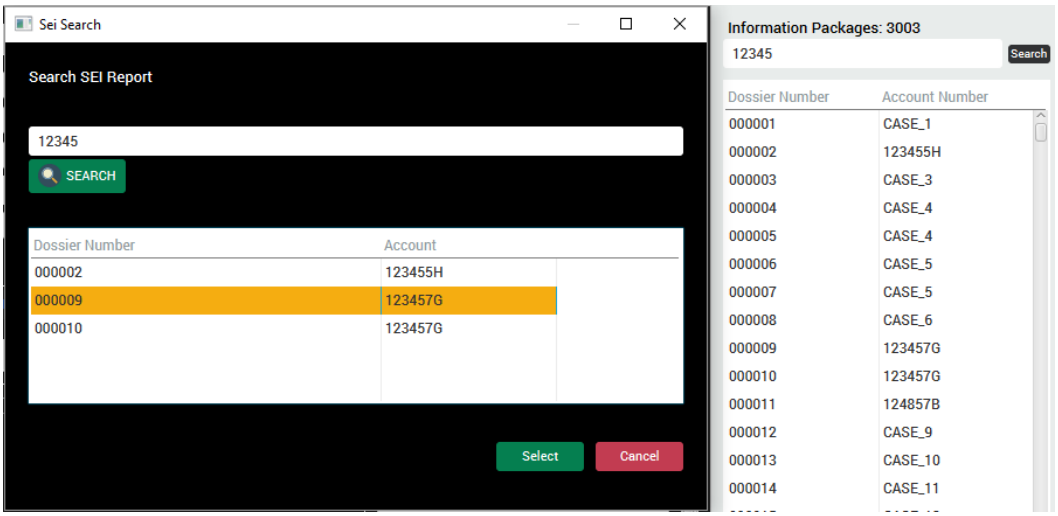


Selecting a package also shows the LOAD FROM FATCA button next to UPDATE FATCA XML. After a confirmation prompt it takes the account number, the Doc Ref ID, the account category and - for organisations - the account type (FATCA104 becomes SEI101, FATCA102 becomes SEI102, FATCA103 becomes SEI103) from the FATCA-XML given under "Path to FATCA XML" into the SEI form. Person data is not changed. Check the form afterwards ("Please verify"), store it with UPDATE PACKAGE and validate the package. Changing the account type may require further manual adjustments: the account of a nonparticipating foreign financial institution (SEI103), for example, must not carry any Substantial Owner and requires US Account = No.

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

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:

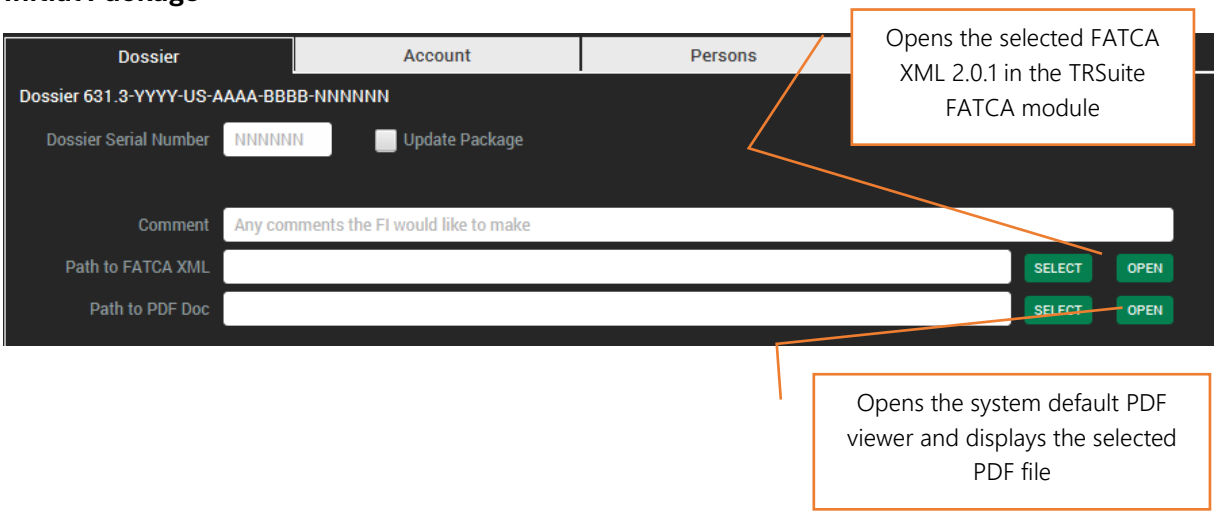
- 1 (one) SEI-XML file
  - Content: dossier meta data for one FATCA account report
  - File name: 631.3-YYYY-US-AAAA-BBBB-NNNNNN-MM.xml
- 1 (one) Documentation PDF file
  - Content: documentation copies (1-n pages) for one FATCA account report$
  - File name: 631.3-YYYY-US-AAAA-BBBB-NNNNNN-MM.pdf
- 1 (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 2.0.1 compliant data file
- **Path to PDF Doc:** Path to the PDF documentation

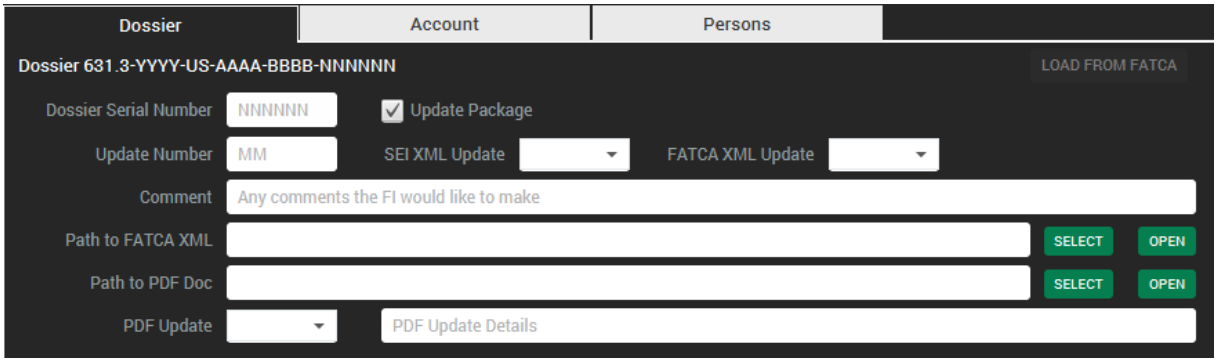
The delivered FATCA-XML has to be validated against the FATCA-XML schema being valid at the time of the information delivery to the FTA (FATCA Information Delivery - Technical Specification and User Guide, version 1.3, chapter 4.5.3). Since 6 October 2025 this is the IRS schema FATCA XML v2.0.1. TRSuite generates the FATCA-XML in version 2.0.1 and validates a file supplied by the user against the schema version declared in that file, so existing 2.0 files stay readable. A supplied 2.0 file is lifted to 2.0.1 as soon as TRSuite rewrites it (Update FATCA). The difference between 2.0 and 2.0.1 is limited to the ISO code lists: the country code XX (OTHER) and additional currency codes were added.

Initial Package



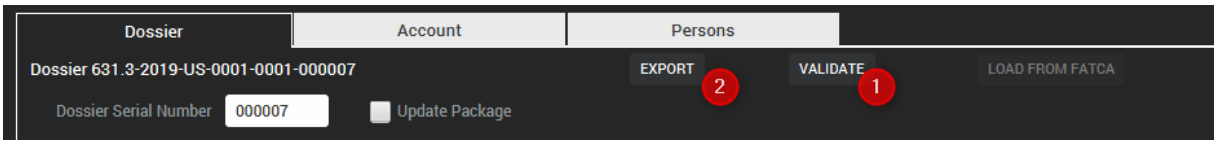
Update package

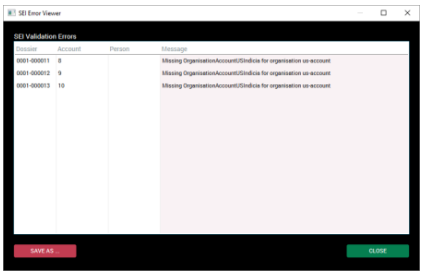
An update information package represents updated information for a dossier that has already been delivered to the FTA in a previous delivery. It always contains a SEI-XML, a PDF documentation and a FATCA-XML. The update SEI-XML, PDF and FATCA-XML replace all previous files transmitted for the same dossier. Contact the FTA (amtshilfe.usa@estv.admin.ch) before sending update information packages.



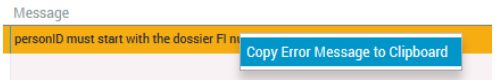
- **Update Number**: A consecutive serial number assigned by the FI that begins again at 01 for each dossier number assigned.
- **SEI XML Update**: It is mandatory for an update information package to contain an SEI-XML.
- **FATCA XML Update**: For each update information package, it must be stated if 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

If a dossier is selected, the single entry can be validated (1) or exported (2) to a single SEI-XML file:





In case any validation error is detected - 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.



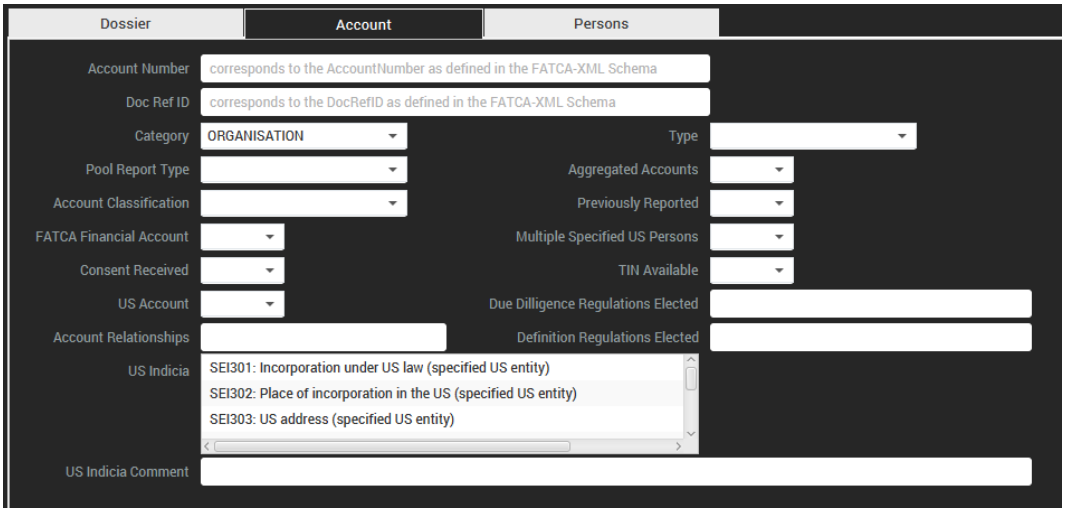
By right-clicking a single error entry, the content can be copied to the clip-board.

Validation rules: TRSuite validates each information package against the SEI-XML schema V1.2, against the FATCA-XML schema declared in the file (2.0 or 2.0.1), against the IRS FATCA business rules and against the FTA document "FATCA group requests: Important business and validation rules for SEI XML and FATCA XML" (24 January 2024) including the FTA update rules. An error message quotes the number of the FTA rule that was violated. The following points are cross-checked between the SEI-XML and the FATCA-XML of a package:

- Each FATCA-XML contains exactly one AccountReport.
- Doc Ref ID, GIIN and account number are identical in the SEI-XML and in the FATCA-XML (rules 36 to 38).
- Name and birth date of the account holder as well as account category and account type match (rules 39, 41 and 42).
- Every controlling person of the SEI-XML (SEI503) has a matching Substantial Owner in the FATCA-XML (rule 40).
- Exactly one person is marked as SEI504, and SEI503 and SEI504 are not combined (rule 5).
- The TIN of the account holder and of the substantial owners follows one of the permitted formats: nine digits, 123-45-6789, 12-3456789, a GIIN, omitted, or "NA" together with "TIN Issued by" (rule 27).
- For an update package, SEI XML Update is Yes; if FATCA XML Update is Yes as well, the FATCA-XML carries a new Doc Ref ID, DocTypeIndic FATCA1 and neither CorrDocRefId nor CorrMessageRefId (update rules 1 to 4).

Account data (SEI-XML)

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



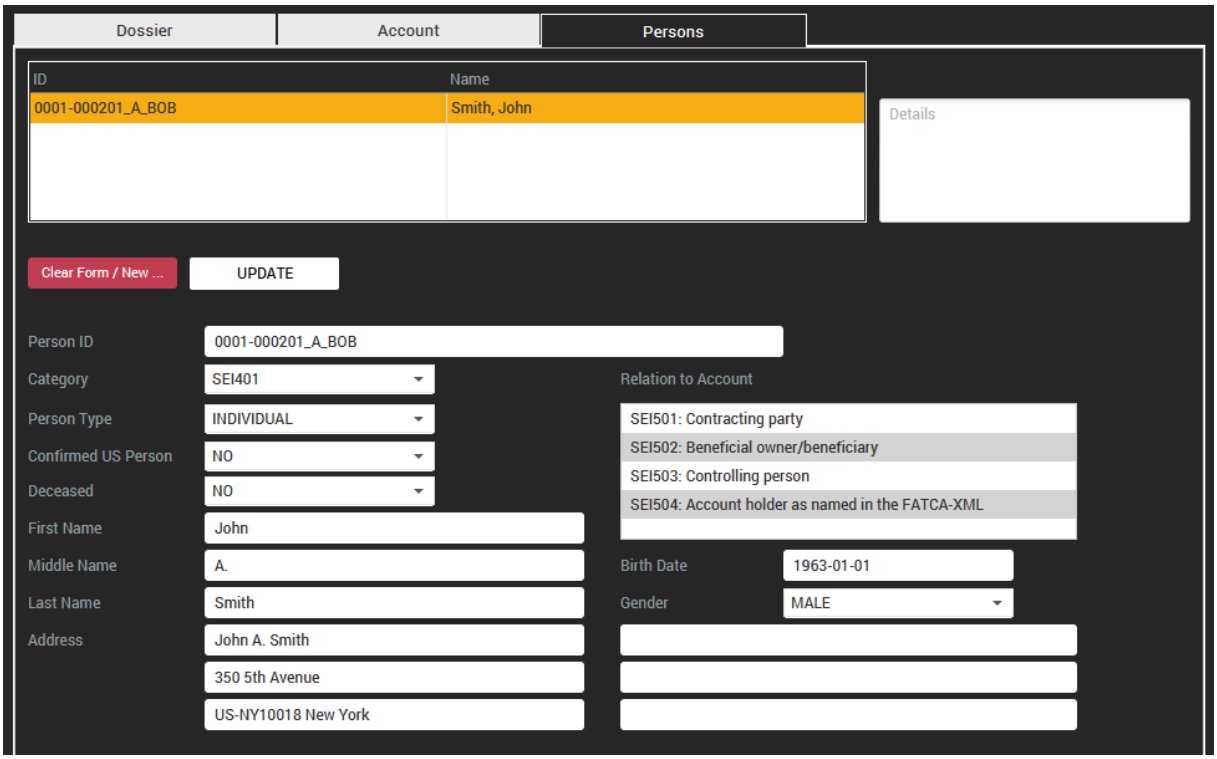
- **Account Number:** The Account Number used in the FATCA-XML that is to be sent to the SEI must be entered.
- **Doc Ref ID:** The Document Reference ID used in the FATCA-XML that is to be sent to the SEI must be entered so that a connection with the corresponding Account Report in the FATCA-XML can be established. IRS format: <GIIN>.<unique value>, for example AAAAAA.00000.SP.001.5bf1a3fa-6c2e-4a54-9b0f-2d8e4c7a1b39. TRSuite generates a Doc Ref ID on request.
- **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 Releationships:** A link to other accounts/persons reported to the SEI based on the same disclosure order under the FATCA Agreement.
- **Due Dillegence 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)

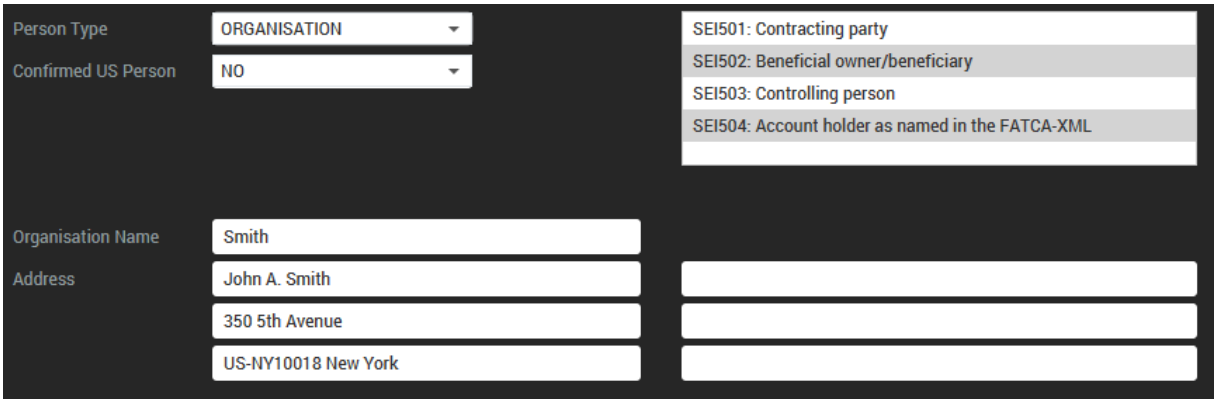
This is the information section on the persons concerned by the administrative assistance procedure and on the persons (additionally) entitled to appeal (see the Federal Act on International Administrative Assistance in Tax Matters [TAAA; SR 672.5]).

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.

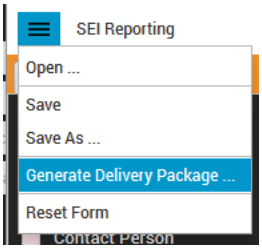


- **PersonID**: The FI must assign an FI-specific personal ID to every person entitled to appeal. This is composed of the SEI Dossier FI Number assigned by the SEI and a Person Sequence Number assigned by the FI. This PersonID may be assigned to one person only (it cannot be assigned again to a different 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.

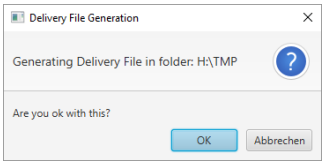
- **Address**: The element refers to the full postal address (domiciliary address) of the stated person.
  - Line 1: This element is the first line of the full postal address and generally contains the name of the addressee.
  - Line 2: This element is the second line of the full postal address.
  - 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.



Generating the Delivery File



Once all data is entered and validated, the delivery file can be generated using the “Generate Delivery Package ...” menu item. After confirming the output-directory to process is started.



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

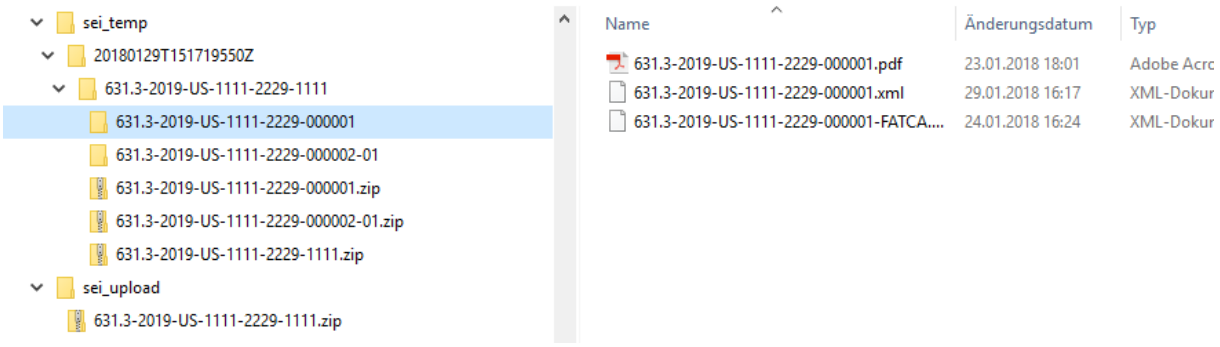
The delivery file is transmitted to the FTA over the Filetransfer Service. A file transferred this way must not exceed approximately 200 MB (FATCA Information Delivery - Technical Specification and User Guide, version 1.3, chapter 4.6.4). If more data has to be delivered, lower the

maximum uncompressed size or the number of information packages per delivery file in the preferences so that TRSuite splits the content over several delivery files.

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



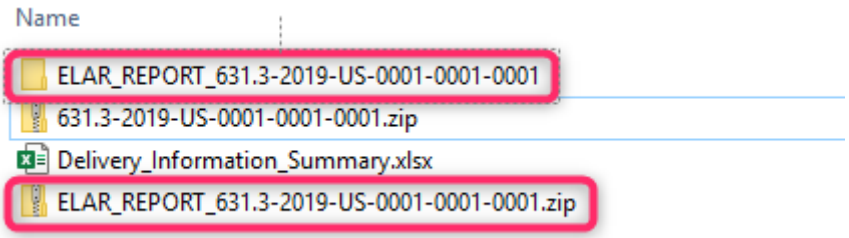
The generated delivery file and credential PDF is moved to the sei_upload folder. The temp folder contains all artifacts generated during the processing. All temporary output is stored in a new folder created within the working directory temp folder. The naming schema for the new folder is simply the 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, as well as an Excel-File storing a summery of the generated information:

Filename	Password	SHA1	File Size	Full Path	Account List
631.3-2019-US-0001-0001-0001.zip	\\l(~}vxN"q8i> @TqB)	ca3a54ac819821a81abc8fd7113e365fd72d03fc	19.3 KB	H:\TMP\sei_upload\20200120T153824761Z\631.3-2019-US-0001-0001-0001.zip	CASE_1
					123455H
					CASE_3

In case your license covers the generation of ELAR-Files, an additional folder and zip file is generated per delivery packages:



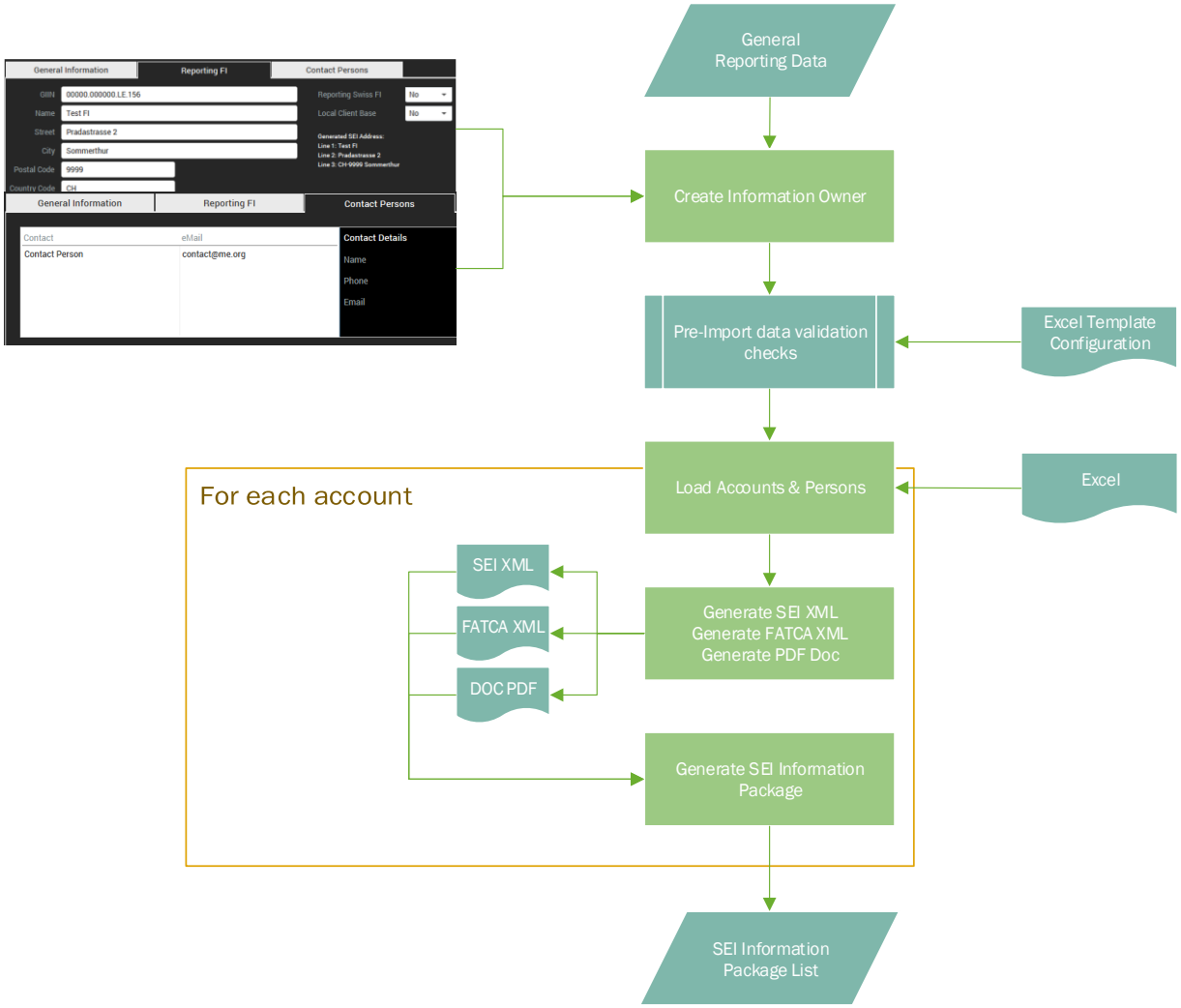
Excel Import

TRSuite supports different methods to import/add date 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)



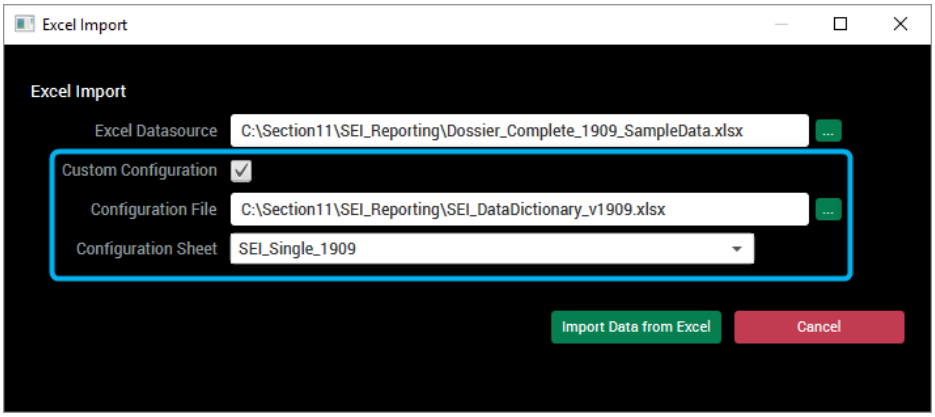
The following workflow gives an overview about the import process:



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.

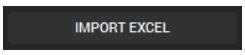
Excel-Template Configuration

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 installation also ships the four example dossiers of the FTA in the folder resources/samples/sei: each dossier consists of a SEI-XML in version V1.2 and a matching FATCA-XML in version 2.0.1. Their Doc Ref IDs carry the GIIN prefix required by the IRS, so the examples pass the schema, business and cross validation of TRSuite unchanged.



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.

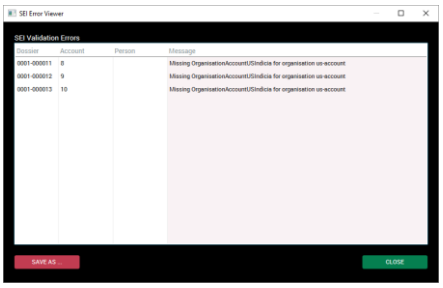
The provided Excel template is available for download at: http://www.section11.ch/downloads.html Extract the zip file to a local directory an extract the content.

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 date 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.

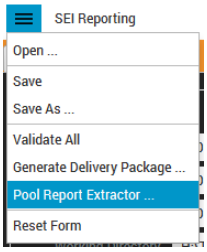


Pool Report Extractor

In case the FTA request further information about pool report data regarding threshold, the FI needs to send a excel file with specific data as described below.

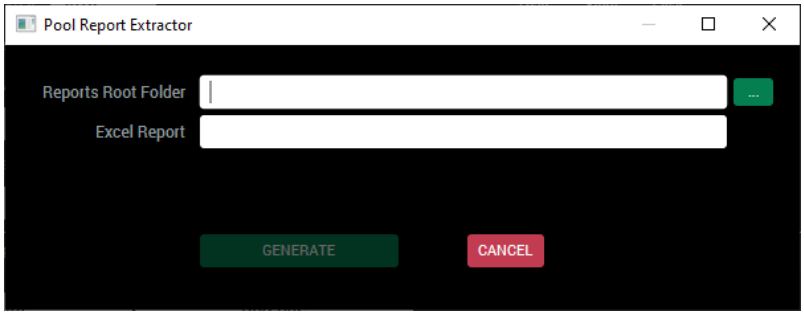
> Für Konten, die unter den in Anhang I Ziffer II.A., III.A., IV.A. und V.A. FATCA-Abkommen festgelegten **Schwellenwerten** liegen, hat das Finanzinstitut ... Name Finanzinstitut der ESTV stattdessen deren **Anzahl** und **Gesamtvermögen** bzw. **Gesamtbetrag der ausländischen meldepflichtigen Beträge**, die an nichtteilnehmende Finanzinstitute ohne Zustimmungserklärung bezahlt wurden, anzugeben. Diese Informationen sind der ESTV **zwingend elektronisch in Form der Excel-Liste** in Beilage 6 zu übermitteln, wozu auf die Ziffer 8 der vorliegenden Editionsverfügung (Mitteilung von Informationen betreffend die erfolgten aggregierten Meldungen) verwiesen wird.

To support financial institutes generating such a report we implemented a little tool (pool extractor) to extract the relevant information from pre-existing pool reports. As not all data is available in the pool report, there is still a major manual task to complete the data. The data is missing, because within the pool report there is no data available regarding above/below threshold data.



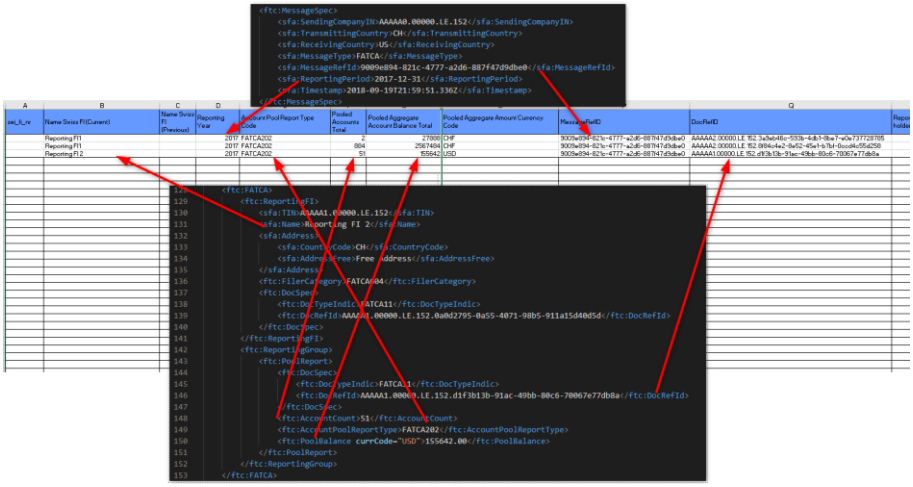
The flow looks like:

Collect all your relevant pool report in one folder (Reports Root Folder)



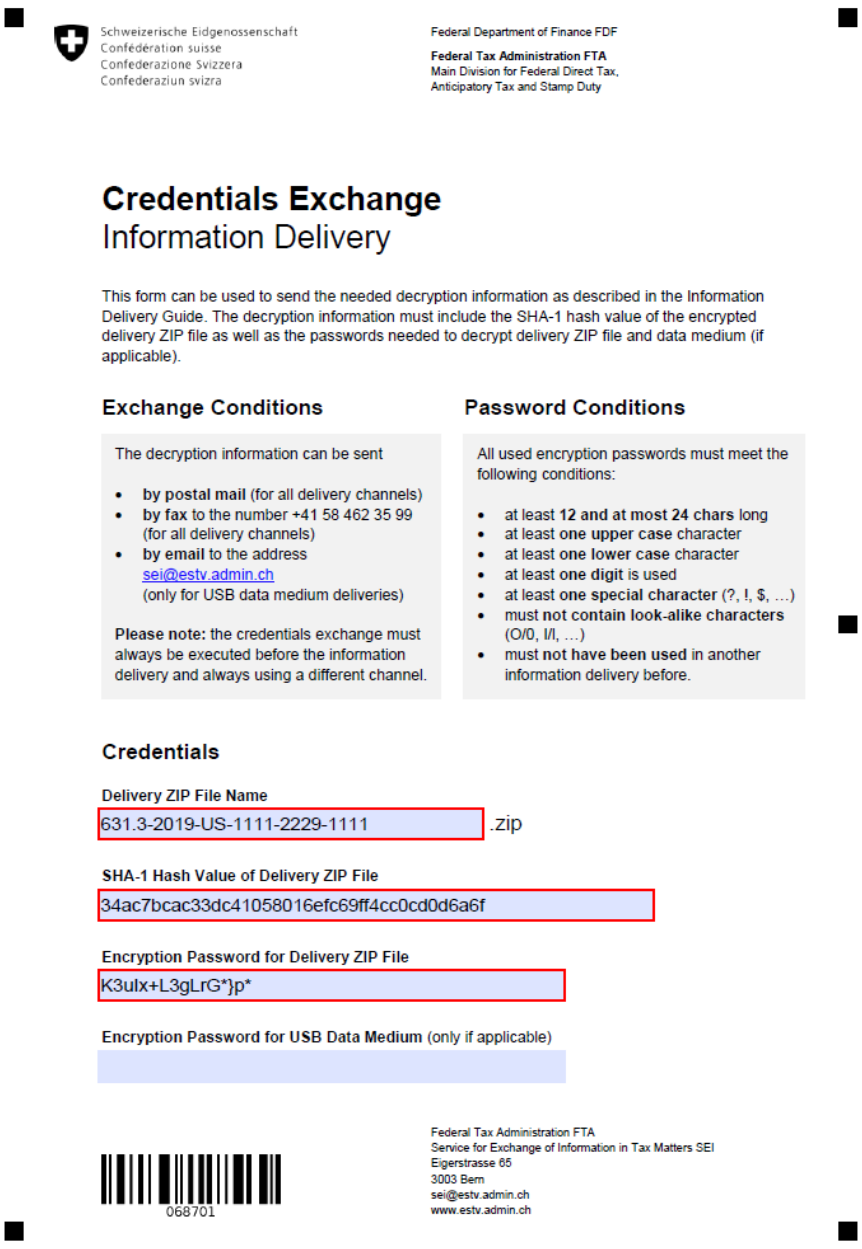
The tool collects all XML files within the defined folder, extracts the data and generates a enclosure.xlsx file (or as named by the user) in the root folder.

Manually complete the data



Appendix

Sample Credential Exchange Information



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Federal Department of Finance FDF
Federal Tax Administration FTA
Main Division for Federal Direct Tax, Anticipatory Tax and Stamp Duty

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 (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/0, I/l, ...)
- 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
K3ulx+L3gLrG*}p*

Encryption Password for USB Data Medium (only if applicable)

068701

Federal Tax Administration FTA
Service for Exchange of Information in Tax Matters SEI
Eigerstrasse 65
3003 Bern
sei@estv.admin.ch
www.estv.admin.ch

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.