SOFiE FATCA EDITOR

User Guide

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1   Document Version Control

Date	Description of Change	Change done by	Version
23/04/2015	First draft version published	OL	0.1
15/07/2015	First official release	OL	1.00
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29/06/2017	Update FATCA 2	OL	2.00

Summary of changes

This document reflects changes made since the last publication.

Chapter	Description of Change
all	FATCA version 2

2   Contents

3   Introduction

The SOFiE client version 5.15 and above includes a FATCA report version 2 editor. The generated report does not comply with the original data format defined by the IRS, but the one modified by the ACD.

Information can be found on ACD's website here:
http://www.impotsdirects.public.lu/echanges_electroniques/FATCA/index.html

Amongst others, you will find

1. the document describing the information (Only available in French)
2. the document describing the file format (Only available in French)
3. a link to the "FATCA XML User Guide" on the IRS's website
4. newsletters from ACD

General information about SOFiE can be found on Six Payment Services' website at www.sofie.lu .

Feel free to contact our helpdesk should you need additional information (opened on business days during office hours).

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3.1   Scope of this document

This documents aims to explain the usage of the FATA report editor embedded in the SOFiE client software version 5.15 and higher.

3.2   Out of scope

This document does not explain what FATCA and the corresponding report is, nor does it explain what information has to be filled in in such a report.

3.3   Prerequisite

You have a functional SOFiE client installation with a valid user ID and password. This user ID is linked at least to a FATS (FATCA Saisie) package. You know how to launch the GUI and how to send and receive files. You know where to find the received files once they have been decrypted.

Hint: The SOFiE home folder is displayed in the lower part of the login window.
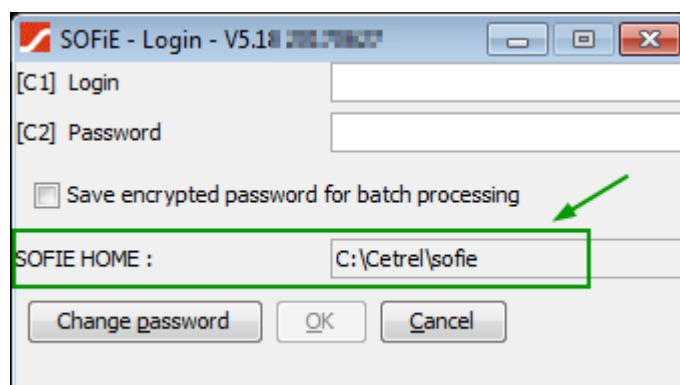
In order to send a FATCA report, this user ID has to be linked to a FATB (FATCA Basic) package for the declarant ID assigned by the CCSS or the ACD.

You also know the GIIN you have to report for. This id is assigned by the IRS to any registered entity. You may look for an entity's GIIN with the tool provided by the IRS on this page: http://www.irs.gov/Businesses/Corporations/FATCA-Foreign-Financial-Institution-List-Search-and-Download-Tool
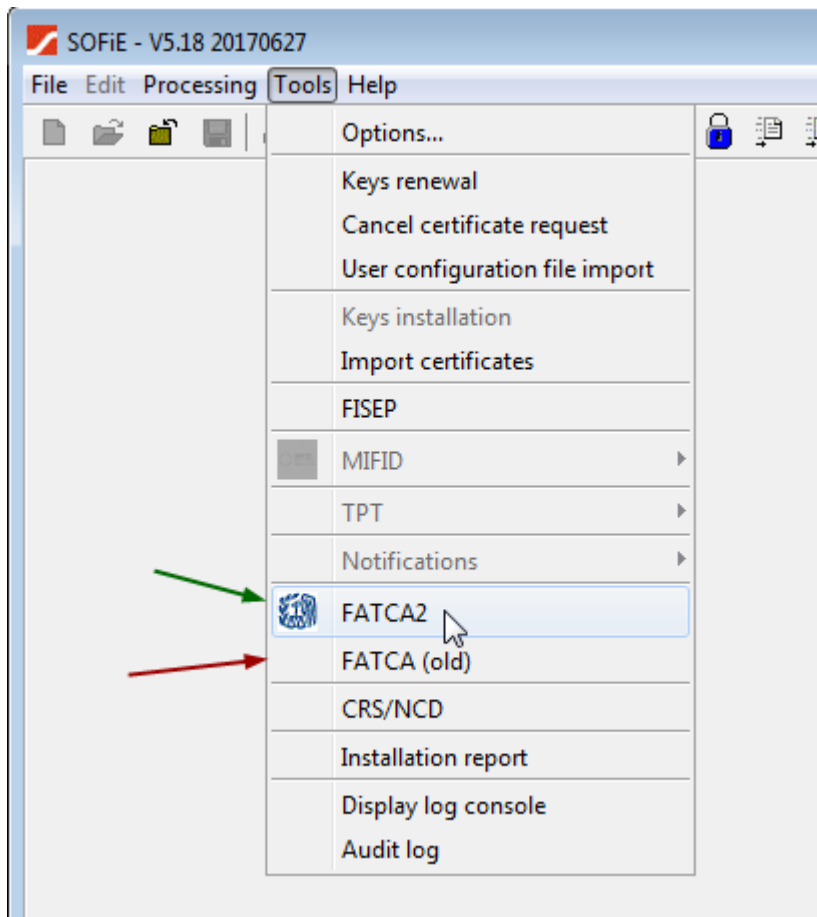
4 Introduction to SOFiE's FATCA report editor

Please note that some screenshots in this document might slightly differ from those in the final version of the SOFiE client.

4.1 Access the FATCA report editor via SOFiE's main screen

Every SOFiE user will recognize the main screen, hereunder.
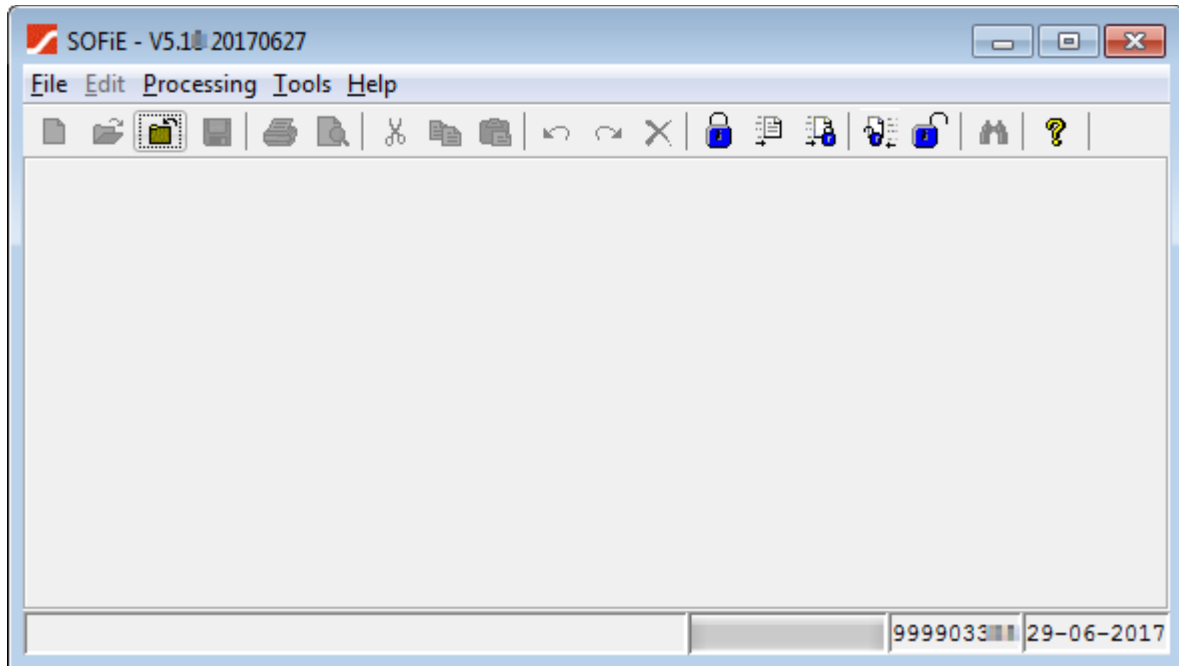
To access the FATCA editor click on the menu items « Tools », « FATCA » and « FATCA ».

If the « FATCA2 » item is not displayed, this means either this SOFiE ID has not access to this editor or the SOFiE client software was unable to contact Six Payment Services' server in order to get the user rights list. In any case, please contact our helpdesk.

You should only use FATCA2 since the ACD only accepts the new format for this report.

The previous FATCA editor version is available under the name "FATCA (old)" to let you display a FATCA report generated with the previous version.

The main window of the FATCA2 editor looks like this:
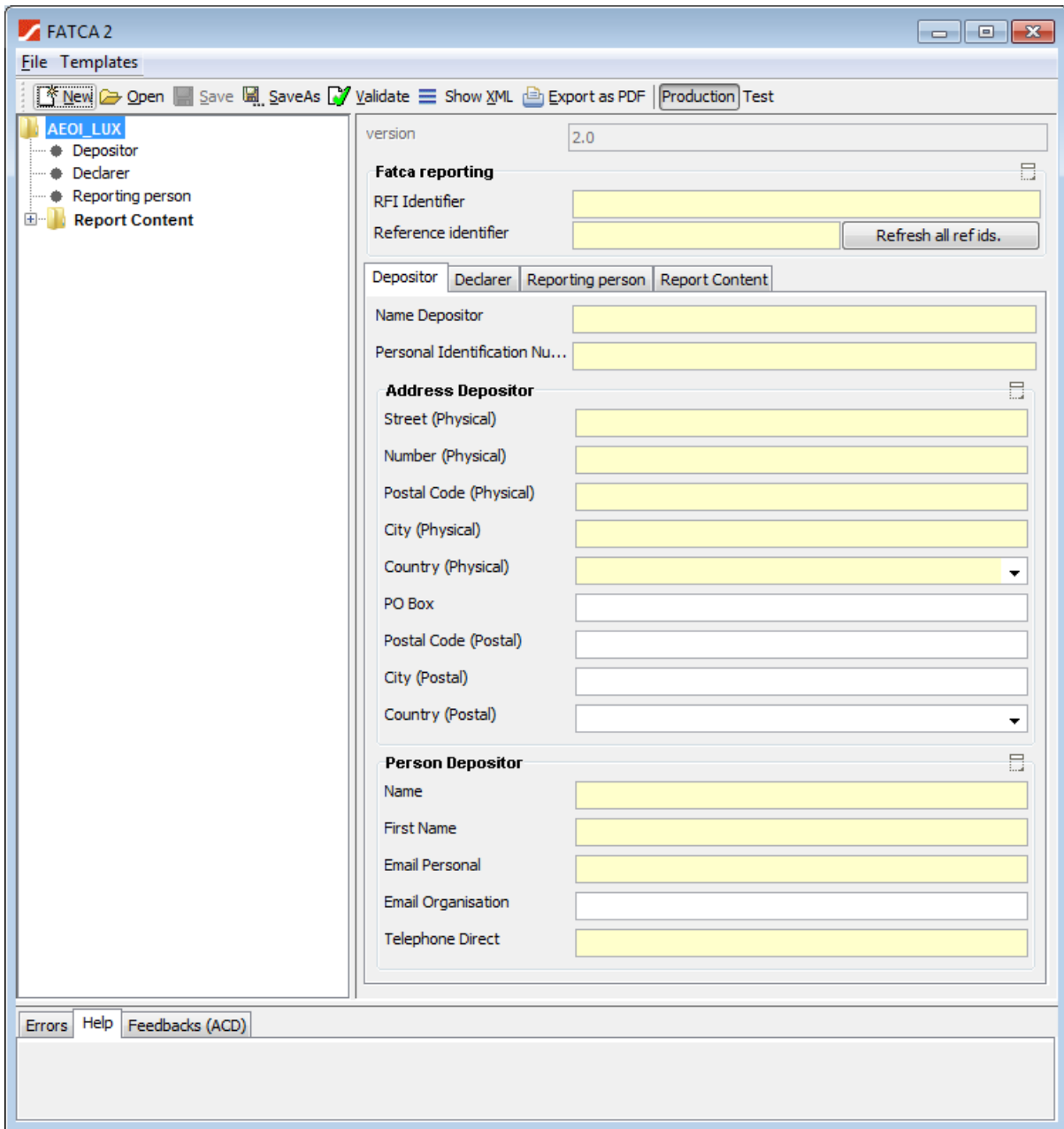
4.2 Overview of the FATCA report editor window

In the upper left corner you will see the "File" and "Templates" menu items.

The items in this menu are self-explanatory, but here is a reminder:
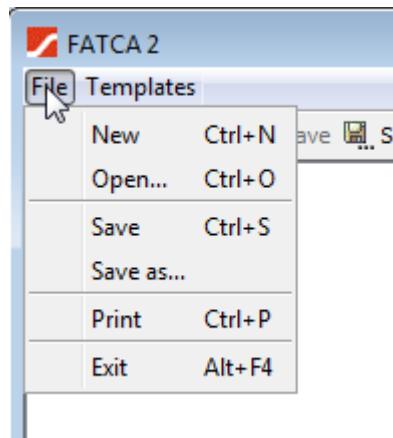
- New: creates a new FATCA report. If a report is already being edited, a new window will be opened.
- Open: opens an existing FATCA report
- Save: Saves the report being edited
- Save as: computes the filename for this report as defined by the ACD and asks the user where to save this report
- Print: opens the print dialog in order to print the report after having transformed this report into a PDF document.
- Exit: exists the FATCA editor but without closing SOFiE's main window.
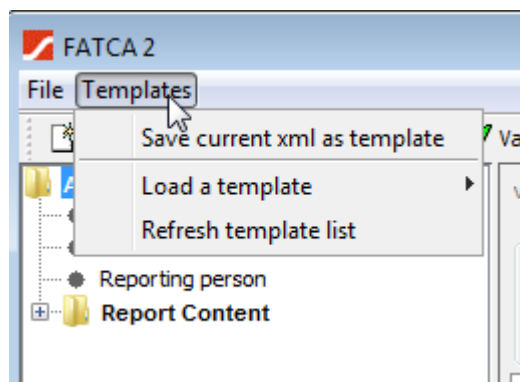
- Save current xml as template : Saves the current report as a template in the folder "SOFiE_HOME\data\USER_ID\fatca\templates », where
  - SOFiE_HOME is the folder where the SOFiE profile data is stored (see your login window).
  - USER_ID: is the ID logged in to the SOFiE client.
- Load a template: open a list with available template files from the folder "SOFiE_HOME\data\USER_ID\fatca\templates ».
- Refresh template list: refreshes the list of available template files. This is useful after having manually copied files to the template folder.

Under the main menu bar, there is the toolbar showed below:
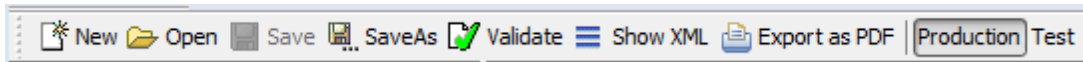
The four first items have the same function as described earlier in this chapter.

The other items are:

- Validate: checks the current report against the XSD, that is the file describing the data format for this report
- Show XML: shows the raw data for this report
- Export as PDF: generates a "human readable" version for this report. The report is stored as a PDF file in the folder "SOFiE_HOME\tmp". Please note that this PDF file is not intended to be sent to the ACD.
- Production/Test: Allows you to specify to which environment the report is intended for:
  - Production: this report contains real data to be processed by the ACD in their production environment
  - Test: this report contains test data to be processes by the ACD in their test environment.

The rest of this window can be divided in three main parts.

Part 1 shows a tree structure of the FATCA report being edited. This tree will be populated depending on the information added. The three placeholders "Depositor", "Declarer", "Rperting person" and "Report Content" are always shown as they must exist even for a "zero report".

Part 2 shows the available field for editing for the part of the report selected in part 1.

Part 3 shows three tabs:

- Errors: displays the error messages concerning the report being edited
- Help: a help message concerning the edited field might be displayed.

- Feedbacks: The editor automatically looks for feedback files in the "SOFiE_HOME/data/SOFiE_ID/decrypted" folder and its subfolders, based on the name of the report being edited.

4.3 Important note concerning entering numbers with decimals

Maybe you want to use the comma sign as the decimal separator. Please be very careful. Depending on some features like the operating system language you are using, the comma may be deleted automatically but the digits after the comma remain. This means the amount is multiplies by one hundred (x 100). Please use exclusively the dot as the decimal separator.

4.4 Some basic features of this editor

4.4.1 Saving your own report templates

It is possible to save template reports, so it is not necessary to enter again the basic data like declarer's or depositor's information every time a new report has to be created. The available functions are available via the "Templates" menu.
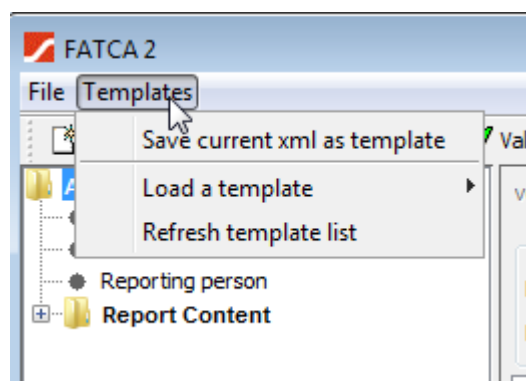
- Save current xml as template : Saves the current report as a template in the folder "SOFiE_HOME\data\USER_ID\fatca\templates », where
  - SOFiE_HOME is the folder where the SOFiE profile data is stored (see your login window).
  - USER_ID: is the ID logged in to the SOFiE client.
- Load a template: open a list with available template files from the folder "SOFiE_HOME\data\USER_ID\fatca\templates ».
- Refresh template list: refreshes the list of available template files. This is useful after having manually copied files to the template folder.

You may change the filename, even if the editor suggests one.

4.4.2 Showing required fields

Required fields are shown on a yellow background, e.g.: "RFI Identifier", "Reference identifier", "Name Depositor", and so on.

Remark: although the editor lets the end user enter nearly any value in the fields "Reference identifier", please be aware that the ACD is expecting you to follow the rules defined in chapter 3.2 "CONVENTION DE NOMMAGE DES REFIDS" in their document describing the FATCA data format for Luxemburg. (http://www.impotsdirects.public.lu/content/dam/acd/fr/legislation/legi17/echa3-sans-tc-2017-01-19.pdf)

### 4.4.3   Editing multiple FATCA reports at a same time

It is possible to edit more than one report at a time. You may use the menu from the main window to open a new FATCA editor window or use the "open" menu from an already opened FATCA editor window. A new window will then appear.

4.4.4   Copying and pasting data between different reports

It is possible to copy data from one window to another, not only for a single field but often also whole data structures. Click on an item in the tree view window and click on the right mouse button. A contextual menu appears.

Please note you have to select the item before clicking the right mouse button. (It has to appear on a blue background.)

This contextual menu looks like one of these examples:
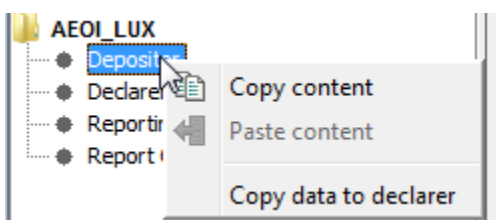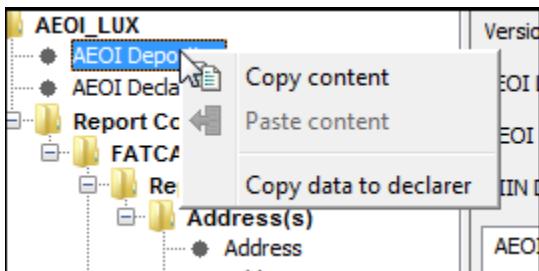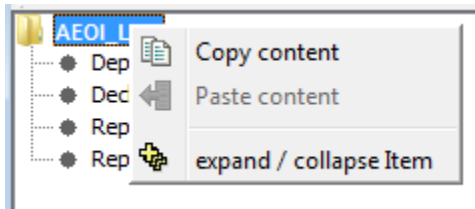
4.4.5   Collapsing and expanding particular parts in the editor

Whenever you see the icon shown in the green box hereunder, you may click on it to collapse a whole part of the fields displayed.

Let's assume you are editing the "AEOI Depositor" information and you see the screen below.

If you click on the middle "collapse" icon, the screen will look like this:

4.4.6 Copying all Depositor's data into the Declarant's form

If the depositor's data is identical to the declarant's, you don't have to enter all the data twice. Fill in one of the two forms and copy the data to the other form using the "Copy data to declarer" function, available from the contextual menu when selecting "Depositor" in the left tree view


It is of course possible to copy the data the other way round, from the declarer's to the depositor's form. Use the "Copy data to depositor" function, available from the contextual menu when selecting "Declarer" in the left tree view.
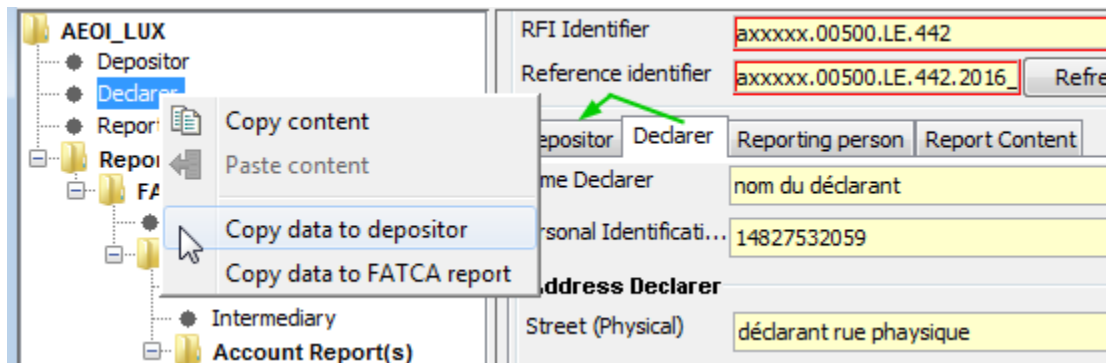
4.4.7 Showing fields containing errors

Should a field contain invalid data or the data be missing in a mandatory field, an error message is displayed in the "Error" view, at the bottom of the editor's window. The concerned field is surrounded with a red box and, if you click on the error message, this field is displayed, even if you were not in the form it is in.
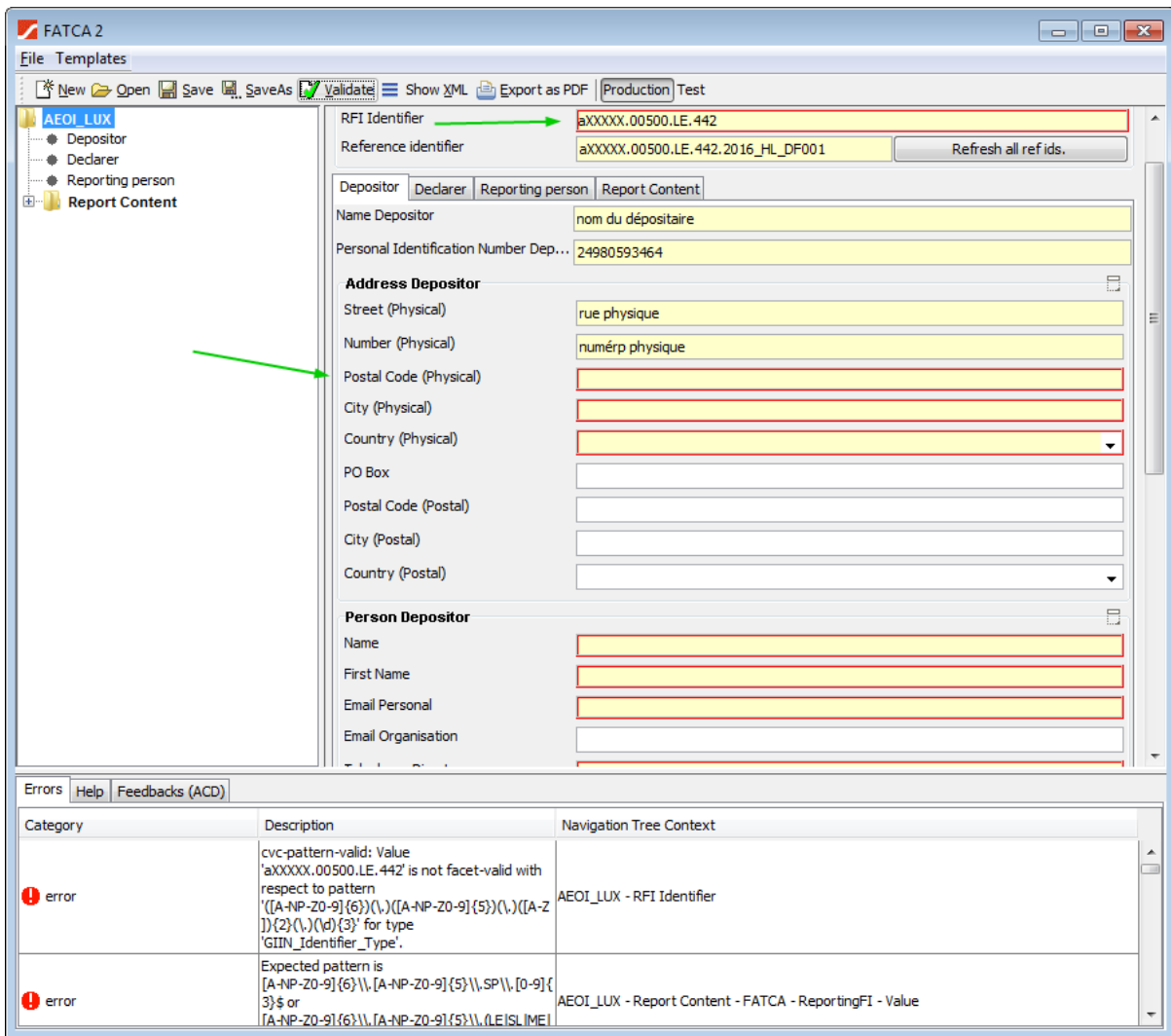
Important note concerning fields "RFI Identifier" and "Reference identifier": When using letters, please only use capital ones.

4.5 Basic FATCA report

The first information you want to enter when creating a new report are depositor's and declarer's identification number, the declarer's "RFI identifier" and the reporting period. (See screenshot below).
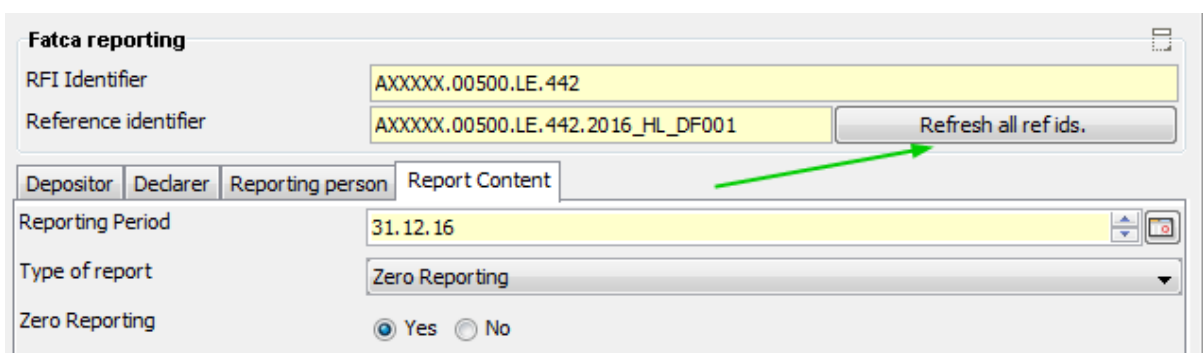
If you use the "Refresh all ref ids." button, some of the RefId's will be updated, e.g. "Reference Identifier", "Document Reference identifier".

The simplest FATCA report is the "Zero reporting" type one. Here is one example.

Each FATCA report contains at least data about the depositor and the declarer.

This personal identification number of 11 or 13 characters is provided by the Luxembourg Social Security Centre, or you must if necessary contact the " Bureau de la retenue d'impôt sur les intérêts " of the ACD to receive one.

It begins with the year of constitution of your legal entity (year expressed as 4 digits), followed by your codified legal basis expressed by 2 digits (20 to 99) followed by 5 other numbers and eventually finishing with 99.

If the data about the declarer is the same as the depositor's, it is not necessary to enter that data again. Use the "Copy data to declarer" or "Copy data to depositor", depending on which one is the

source, from the contextual menu. To open it, click onto "Depositor" or "Declarer" in the tree view. Please see chapter "Copying all Depositor's data into the Declarant's form" earlier in this document.

The minimal content of a "Zero reporting" is the confirmation this is such a report.

For the "Type of report", please choose "Zero Reporting" in the corresponding list and confirm by checking "Yes" just below that list.

The reporting period should be set to December 31st of the year the data reports to.

4.6 A more complete report

A more complete FATCA report can be created. Instead of "Zero Reporting", please choose "FATCA_LUX" as the "Type of report" in the "Report Content" form.
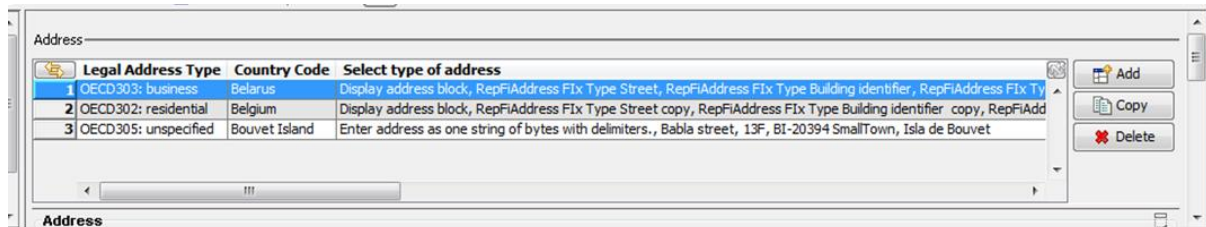

On the left view, the tree view, all the possible complex sub-elements appear.

You may navigate through them, expand and collapse them as needed.

4.7 Editing complex data lists

To edit complex data lists, such as e.g. the addresses for a ReportFI or ReportingGroup's Sponsor, the following form has been created.

There are three buttons on the right side:

- Add: to add a new item
- Copy: to copy an existing item to this same list
- Delete: to delete the selected item form the list

There is a useful function accessible via the icon surrounded in green in the screenshot hereunder.
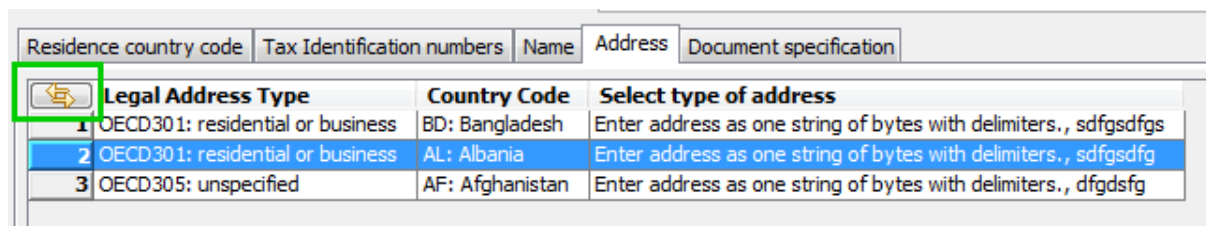
It changes the width of the columns in order for them to show their full content.

Please note that since the columns may contain long data sets, the width of a standard window may not be enough to display all data. A horizontal scrollbar appears automatically, the same way a vertical one appears each time it is necessary.

The details of a list's item is displayed in a form underneath it
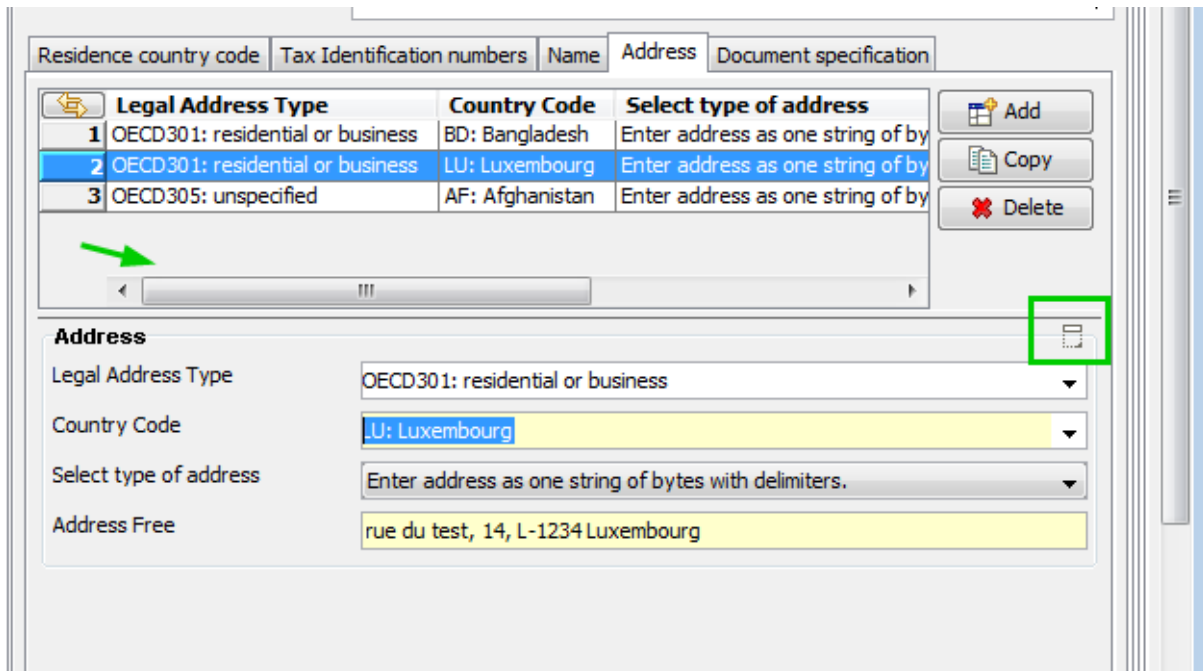
You may notice the "expand/collapse" icons the green arrows are pointing too. As described earlier in this document, they allow expanding or collapsing a subset of data in this form.

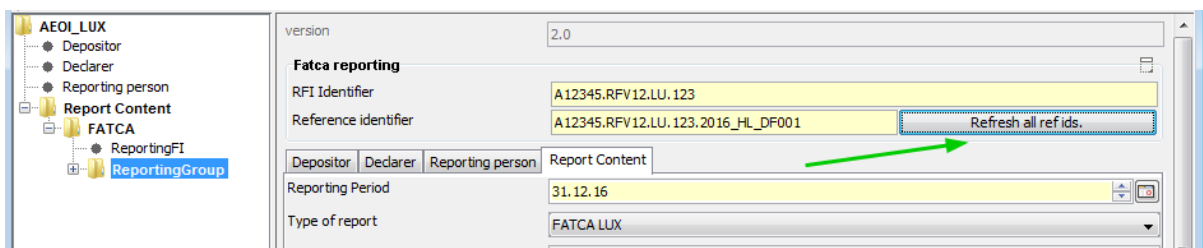## 4.8 Check needed before saving the FATCA report

When using the "Refresh all ref ids" function, several ids are computed that might be useless and generate data elements in the final report that may cause an error when trying to send them.

Before definitely saving your report, please review the "Sponsor" and "Intermediary" data. If one of these in not necessary, please delete the corresponding id field.

4.9 Displaying feedback reports

The SOFiE client looks for feedback file concerning the report being edited. It looks in the folder "SOFIE_HOME/data/SOFIE_ID/decrypted" and all its subfolders. The search is based on the initial report.

In the example below, the SOFiE client found and "acknowledge" feedback file.

Its content is displayed in the small window on the right side. The raw data is displayed.
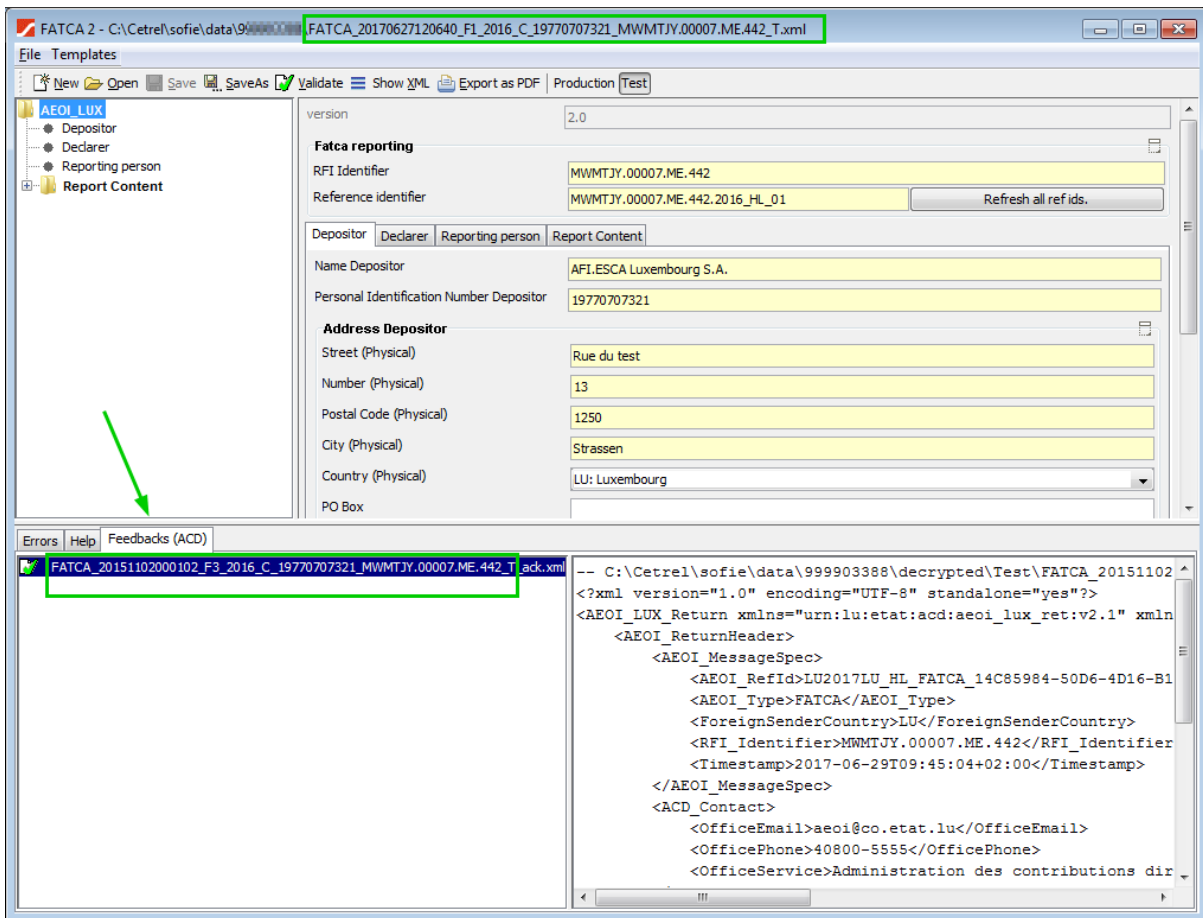
5 Defined Terms

This table defines the used terms in this document.

ACD	Administration de Contributions Directes (Luxemburg's tax administration)
CCSS	Centre Commune de la Sécurité Sociale (
IRS	Internal Revenue Service (USA's tax administration)
FATCA	Foreign Account Tax Compliance Act
AEOI	Automatic Exchange of Information
Matricule national	This personal identification number of 11 or 13 characters is provided by the Luxembourg Social Security Centre, or you must if necessary contact the " Bureau de la retenue d'impôt sur les intérêts " of the ACD to receive one.
GIIN	Global Intermediary Identification Number
PDF	Portable document format, (© Adobe Acrobat)
Reporting Fi	Reporting Financial Institute
RFI	See Reporting Fi

6 References

ACD's FATCA dedicated page:
http://www.impotsdirects.public.lu/echanges_electroniques/FATCA/index.html

FATCA home page on the IRS web portal: http://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA

FATCA Information for Foreign Financial Institutions and Entities:
http://www.irs.gov/Businesses/Corporations/Information-for-Foreign-Financial-Institutions

GIIN search tool provided by the IRS: http://www.irs.gov/Businesses/Corporations/FATCA-Foreign-Financial-Institution-List-Search-and-Download-Tool

IRS "Foreign Financial Institution" FAQ: http://www.irs.gov/Businesses/Corporations/IRS-FFI-List-FAQs

GIIN composition

https://www.irs.gov/businesses/corporations/fatca-online-registration-system-and-ffi-list-giin-composition-information