

Business rules FATCA V. 15/07/2016

	Element	Attribute	Size	InputType	Requirement	BUSINESS RULES	TYPE ERROR ACK	Xpath
I.Message Header	FATCA_OECD	Version		xsd: string	Mandatory	Mandatory = Validation	<i>WrongVersion</i>	ftc:FATCA_OECD/Version
	SendingCompanyIN		Unlimited	xsd: string	Mandatory	Mandatory = Validation and must be 19-digit (Expected structure = XXXXXX.XXXXXX.XX.056)	<i>NoGIIN // GIINNotValid</i>	ftc:FATCA_OECD/ftc:MessageSpec/sfa:SendingCompanyIN
	TransmittingCountry		2 digits	iso:CountryCode_Type	Validation	BE	<i>TransCtryNotBE</i>	ftc:FATCA_OECD/ftc:MessageSpec/sfa:TransmittingCountry
	ReceivingCountry		2 digits	iso:CountryCode_Type	Validation	US	<i>ReceivCtryNotUS</i>	ftc:FATCA_OECD/ftc:MessageSpec/sfa:ReceivingCountry
	MessageType			sfa:MessageType_EnumType	Validation	FATCA	<i>XMLNotValid</i>	ftc:FATCA_OECD/ftc:MessageSpec/sfa:MessageType
	ReportingPeriod			xsd:data	Validation	Calendar Year to which the message relates (YYYY-MM-DD) (this data element must be the same as the reporting year indicated in MyMinFin)	<i>ReportPerNotOk</i>	ftc:FATCA_OECD/ftc:MessageSpec/sfa:ReportingPeriod
	MessageRefID			xsd: string	Validation	<ul style="list-style-type: none"> • Structuring the MessageID in the following format: [BE][XXXXXXXXXX]_[YYYY-MM-DD]_[HH-MM-SS] where: o [XXXXXXXXXX] is the number BCE/KBO (Crossroads Bank for Enterprises) of the paying agent, o YYYY: year, o MM: month, o DD: day sending / file generation FATCA o HH-MM-SS: respectively, hours, minutes, seconds FATCA which the file was sent / generated 	<i>MesRefIDNotVal // MesIDNotUniq</i>	ftc:FATCA_OECD/ftc:MessageSpec/sfa:MessageRefID

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II. PersonPart_y_Type	TIN			sfa:TIN_Type	Optional	Either TIN (different from US TIN) or BirthInfo (with the element BirthDate present) must be indicated when available in the records of the Reporting FI.		AccountHolder (individual) ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:AccountHolder/ftc:Individual/sfa:TIN ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:AccountHolder/ftc:Individual/sfa:BirthInfo/sfa:BirthDate SubstantialOwner (if present) ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:SubstantialOwner/sfa:TIN ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:SubstantialOwner/sfa:BirthInfo/sfa:BirthDate
	TIN			sfa : TIN_Type	Mandatory	TIN US must always be completed and must respect the following format : «XXXXXXXX» with X = numeric digit. If TIN US is not available, this field may not be left blank. If an AccountHolder/SubstantialOwner does not have a TIN, enter all zeros in the TIN data sub-element : «00000000».	NoTINUS	
	BirthInfo				Optional	Either TIN (different from US TIN) or BirthInfo (with the element BirthDate present) must be indicated when available in the records of the Reporting FI.		
II a. TIN Type	TIN	issuedBy	2 digits	iso:Country Code_Type	Optional	Mandatory if TIN is completed and = US (cfr TIN used by the receiving country)	TINNoIssuedBy	
II d. Address_Type	CountryCode		2 digits	iso:Country Code_Type	Mandatory	Mandatory = Validation		Reporting FI ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingFI/sfa:Address/sfa:AddressFix/sfa:City Sponsor (if present) ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:Sponsor/sfa:Address/sfa:AddressFix/sfa:City Intermediary (if Present) ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:Sponsor/sfa:Address/sfa:AddressFix/sfa:City AccountHolder Individual: ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:AccountHolder/ftc:Individual/sfa:Address/sfa:AddressFix/sfa:City Organisation: ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:AccountHolder/ftc:Organisation/sfa:Address/sfa:AddressFix/sfa:City SubstantialOwner (if present) ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:SubstantialOwner/sfa:Address/sfa:AddressFix/sfa:City
	AddressFree			xsd: string	Optional	AddressFree cannot be used alone => AddressFix is a mandatory element	NoAddressFix	
III.a. OrganisationParty_Type	TIN			sfa:TIN_Type	Mandatory	Mandatory = Validation	NoTIN	Reporting FI ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingFI/sfa:TIN
III a. TIN Type	TIN		Min 1 char	Sfa : TIN_Type	Mandatory	Mandatory = Validation - US TIN : The TIN of the Reporting FI is the Global Intermediary Identification number (GIIN) cfr FATCA XML 1.1 User Guide - BE TIN : The BE TIN (BE Company number 0XXX.XXX.XXX) of the Reporting FI must also be provided	TINFInoGIIN // NoMatchFilerTIN	
	TIN	issuedBy	2 digits	iso:Country Code_Type	Mandatory	Mandatory if TIN is completed (cfr. Taxpayer Identification Number issued by that country)	TINNoIssuedBy	

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III.b. OrganisationParty_Type	TIN			sfa:TIN_Type	Mandatory	Mandatory = Validation - BE TIN : Mandatory when the file is send by a Sponsoring entity and the sponsor element is thus present in the ReportingGroup - US TIN : The TIN of a Sponsoring Entity is the GIIN issued to such entity when it is acting in its capacity as Sponsoring Entity.	NoMatchFilerTIN	Sponsor (if present) ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:Sponsor/sfa:TIN
	TIN			sfa : TIN_Type	Mandatory	TIN US must always be completed and must respect the following format : «XXXXXXXXXX» with X = numeric digit for the <u>Intermediary EIN</u> or «XXXXXX.XXXXX.XX.XXX » for the <u>Intermediary GIIN</u> . If TIN US is not available, this field may not be left blank. If an <u>Intermediary</u> does not have a US TIN, enter all zeros in the TIN data sub-element : «000000000».	Intermediary NoTINUS	Intermediary (if Present) ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:Intermediary/sfa:TIN
	TIN			sfa : TIN_Type	Mandatory	TIN US must always be completed and must respect the following format : «XXXXXXXXXX» with X = numeric digit for the <u>AccountHolder (organisation)</u> . If TIN US is not available, this field may not be left blank. If an <u>AccountHolder (organisation)</u> does not have a US TIN, enter all zeros in the TIN data sub-element : «000000000».	NoTINUS	AccountHolder (organisation) ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:AccountHolder/ftc:Organisation/sfa:TIN
III b. TIN Type	TIN	issuedBy	2 digits	iso:Country Code_Type	Optional	Mandatory if TIN is completed (cfr. Taxpayer Identification Number issued by that country)	TINNoIssuedBy	

	Element	Attribute	Size	InputType	Requirement	BUSINESS RULES	TYPE ERROR ACK	Xpath
IV b. AccountReport						This element (section) is mandatory for each record	NoAccountReport	ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport
	DocTypeIndic			ftc:FatcaDocTypeIndic_EnumType	Validation	<p>Must be one of:</p> <ul style="list-style-type: none"> • FATCA1 = New Data • FATCA2 = Corrected Data • FATCA3 = Void Data • FATCA4 = Amended Data • FATCA11 = New Test Data • FATCA12 = Corrected Test Data • FATCA13 = Void Test Data • FATCA14 = Amended Test Data <p>For the transmission year 2015 only FATCA1 (New DATA) is authorized. Only one type of data should be contained within any single message.</p>	<p>DocTypeNotNew //DocTypeNotConsistent</p>	<p>Reporting FI: ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingFI/ftc:DocSpec/ftc:DocTypeIndic</p> <p>if present Sponsor: ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:Sponsor/ftc:DocSpec/ftc:DocTypeIndic</p> <p>if present Intermediary: ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:Intermediary/ftc:DocSpec/ftc:DocTypeIndic</p> <p>AccountReport: ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:DocSpec/ftc:DocTypeIndic</p> <p>PoolReport: ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:PoolReport/ftc:DocSpec/ftc:DocTypeIndic</p>
	DocRefID		Min 1 char	xsd: string	Validation	<p>DocRef : <Reporting FI GIIN>.<GUID> where :</p> <ul style="list-style-type: none"> - <Reporting FI GIIN> : is the GIIN for the reporting FI associated with the reporting group. - (.) : is a Period character - <GUID> : is a globally unique identifier <p>The maximum length of the element DocRef is 200 characters.</p> <p>This data element must be a unique identifier of the specific report it is contained in.</p>	<p>DocRefIDNotVal // DocRefIDNotUniq</p>	<p>Reporting FI: ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingFI/ftc:DocSpec/ftc:DocRefId</p> <p>if present Sponsor: ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:Sponsor/ftc:DocSpec/ftc:DocRefId</p> <p>if present Intermediary: ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:Intermediary/ftc:DocSpec/ftc:DocRefId</p> <p>AccountReport : ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:DocSpec/ftc:DocRefId</p>
	AcctHolderType			ftc:FatcaAcctHolderType_EnumType	Mandatory	<p>If present, must be one of:</p> <ol style="list-style-type: none"> 1. FATCA101 = Owner-Documented FI with specified US owner(s) 2. FATCA102 = Passive Non-Financial Entity with substantial US owner(s) 3. FATCA103 = Non-Participating FFI 4. FATCA104 = Specified US Person 5. FATCA105 = Direct Reporting NFFE 	<p>XMLNotValid</p>	ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:AccountHolder/ftc:AcctHolderType

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	SubstantialOwner			sfa: PersonParty_type	Mandatory*	*This element is mandatory when the entity account holder is an owner documented FI (FATCA101) or passive NFFE with US owner(s) (FATCA102)	NoSubstanOwner	ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:SubstantialOwner
	Type			ftc:FatcaPaymentType_EnumType	Validation	Must be one of: <ul style="list-style-type: none"> • FATCA501 = Dividends • FATCA502 = Interest • FATCA503 = Gross Proceeds/Redemptions • FATCA504 = Other – FATCA. (Example: Foreign reportable amount) 	XMLNotValid	ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:Payment/ftc:Payment_Type/
	PaymentAmnt			Sfa :MonAmnt_Type	Validation	The amount of the payment may never be negative.	NEGPAYAMNT	ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:AccountReport/ftc:Payment/ftc:Payment_Type/ftc:PaymentAmnt

	Element	Attribute	Size	InputType	Requirement	BUSINESS RULES	TYPE ERROR ACK	Xpath
IV c. Pool Report	All element of this section			ftc:CorrectablePoolReport_Type		Pooled reporting option is not authorized (Model 1 IGA)	PoolReport	ftc:FATCA_OECD/ftc:FATCA/ftc:ReportingGroup/ftc:PoolReport
V. All XSD-schema elements	All elements and its content			xsd: file	Mandatory	Following special Characters are prohibited	CharNotAllowed	
						(Double hash)--(and cannot be replaced)		
						(Slash Asterisk) /* (and cannot be replaced)		
						(Ampersand Hash) &# (and cannot be replaced)		
						(Ampersand) & (and can be replaced by &#x26;)		
						(Less Than) < (and can be replaced by <#x26;)		
						Following special Characters are permitted		
						(Apostrophe) ' (or can be replaced by '#x27;)		
						(Quotation Mark) " (or can be replaced by "#x22;)		
						(Greater Than) > (or can be replaced by >#x26;)		
VI. Entire XML-file	Max. Size			xsd: file		100MB	XMLNotValid	
VII. Entire XML-file	Encoding			xsd: file		Encoding = "UTF-8"	NoUTF8	