

SOFiE FATCA EDITOR

User Guide dedicated to “Zero reporting”

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3 Introduction

The SOFiE client version 6.01 and above includes two FATCA report editors, one for version 2 and another for version 3 of the report format. The generated report does not comply with the original data format defined by the IRS, but the one modified by the ACD. The editor for version 2 is obsolete. He is only supposed to be used to display existing version 2 reports.

More 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).

Email: sofie.ux@six-payment-services.com

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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.

More specifically, it aims at creating a "Zero reporting" file. This is the simplest version of a FATCA report as it basically states that a financial institution has nothing to report to the IRS in the USA.

For a more details on the FATCA editor, please read the documents "[FATCA 3 GUI Manual](#)" available on [Sofie's website](#), in the "[Support / Documentation](#)" section.

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.

More information can be found on ACD's website here:

http://www.impotsdirects.public.lu/echanges_electroniques/FATCA/index.html

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.



IMPORTANT NOTICE:

The procedure described in this document applies to version 6.02 (2021-07-05) of the Sofie client software or later.

You may check the version on 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.

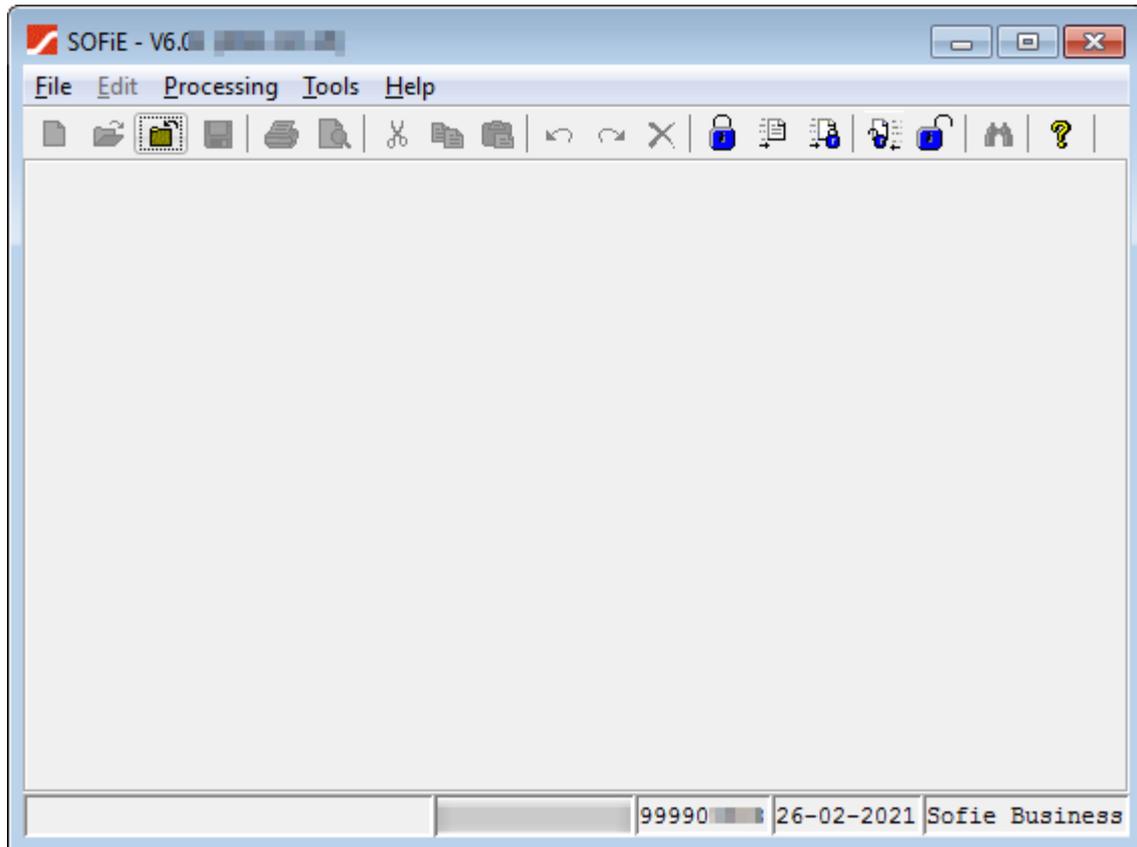
You also know the GIIN you have to report for. This id is assigned by the IRS to any registered entity. You may look for an entity's GIIN with the tool provided by the IRS on this page:

<http://www.irs.gov/Businesses/Corporations/FATCA-Foreign-Financial-Institution-List-Search-and-Download-Tool>

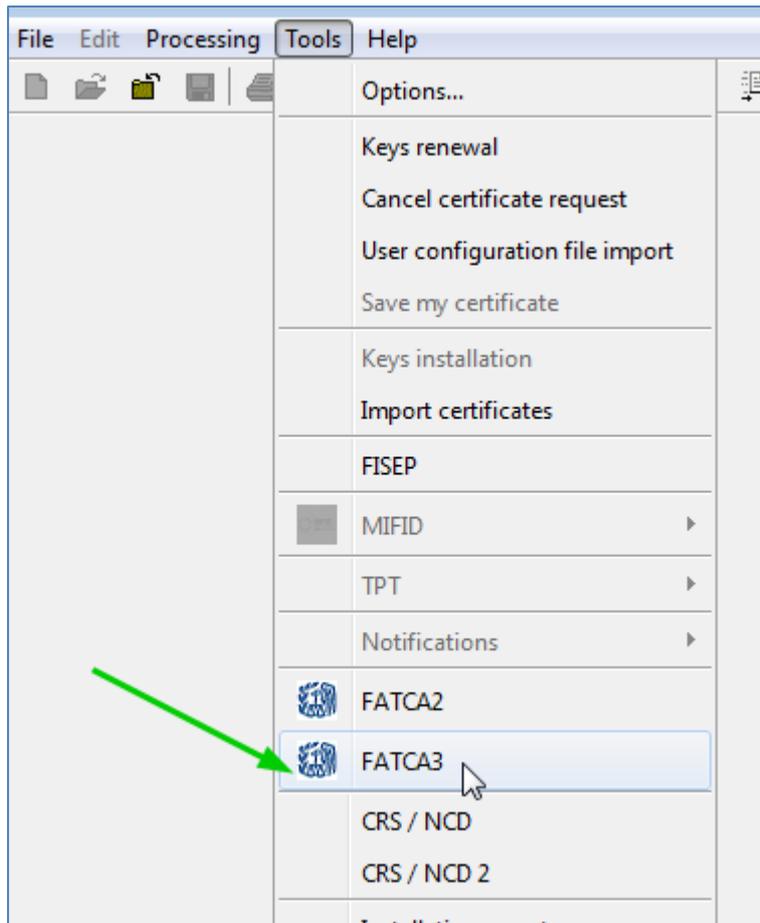
4 Creating a CRS “Zero report”

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 », « FATCA3».



If none the “FATCA2” nor “FATCA3 “ items are 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 FATCA3 since the ACD only accepts the new format for this report.

The previous FATCA editor version is available under the name “FATCA2” to let you display a FATCA report generated with the previous version.

IMPORTANT: It is not possible to load a version 2 report and transform it into a version 3 one.

Nevertheless, you may open a version 2 editor to display an older report and copy / paste the data to the version 3 editor field by field.

The main window of the FATCA3 editor looks like this:

The screenshot displays the FATCA3 editor interface. The window title is "FATCA 3". The menu bar includes "File" and "Templates". The toolbar contains icons for "New", "Open", "Save", "SaveAs", "Validate", "Show XML", and "Export as PDF", along with "Production" and "Test" buttons. On the left, a tree view shows the project structure: "AEOI_LUX" (selected), "AEOI_Depositor", "AEOI_ReportingFI", and "Report Content". The main area is a form with the following sections:

- version**: Input field with value "3.0".
- Fatca reporting**:
 - RFI Identifier: Input field.
 - Reference identifier: Input field with a "Refresh all ref ids." button.
- Navigation tabs: "AEOI_Depositor" (selected), "AEOI_ReportingFI", "Report Content".
- NameDepositor**:
 - NameDepositor: Input field.
 - PersonalIdentificationNu...: Input field.
- AddressDepositor**:
 - StreetPhysical: Input field.
 - NumberPhysical: Input field.
 - PostalCodePhysical: Input field.
 - CityPhysical: Input field.
 - CountryPhysical: Dropdown menu.
 - POBox: Input field.
 - PostalCodePostal: Input field.
 - CityPostal: Input field.
 - CountryPostal: Dropdown menu.
- PersonDepositor**:
 - Name: Input field.
 - FirstName: Input field.
 - EmailPersonal: Input field.
 - EmailOrganisation: Input field.
 - TelephoneDirect: Input field.

At the bottom, there are buttons for "Errors", "Help", and "Feedbacks (ACD)".

4.2 Entering the data

The first step is to enter the depositor's information in the tab with the same name. Usually the depositor has subscribed to Sofie. Please enter your data as requested. The fields with a yellow background are mandatory. The other ones are optional.

AEOI_Depositor	AEOI_ReportingFI	Report Content
NameDepositor	Name of the depositor	
PersonalIdentificationNumberDepositor	19960331121	
AddressDepositor		
StreetPhysical	Depositor street	
NumberPhysical	1	
PostalCodePhysical	L-1234	
CityPhysical	Munsbach	
CountryPhysical	LU	
POBox		
PostalCodePostal		
CityPostal		
CountryPostal		
PersonDepositor		
Name	Depositor person contact lastname	
FirstName	Depositor person contact firstname	
EmailPersonal	paul.dement@co.etat.lu	
EmailOrganisation	paul.dement@co.etat.lu	
TelephoneDirect	+352 123 456 789	

In this example, the company "Name of the depositor", with id "19960331121" has subscribed to packages FATB and FATS for that specific id. This id will be used when naming the report and Sofie will check that the Sofie id connected has the right to send that file.

Please make sure to use the right ID number.

The field "CountryPhysical" is not free format. Please select the country using the drop-down list:

PostalCodePhysical	L-1234
CityPhysical	Munsbach
CountryPhysical	
POBox	LY
PostalCodePostal	LI
CityPostal	LT
CountryPostal	LU
	MO
	MK
	MG
PersonDepositor	MW
Name	

Next step is to fill out the “AEOI_ReportingFI” section.

Note: Should the field “IdentificationNumberExtension” be empty, please fill in this value “M00000000”. (Letter M in uppercase followed by 8 times zero.)

AEOI_Depositor	AEOI_ReportingFI	Report Content
NameReportingFI	Invest Lux S.a.r.l.	
IdentificationNumber	19620830662	
IdentificationNumberExtension	M00000000	
AddressReportingFI		
StreetPhysical	rue du RFI	
NumberPhysical	2	
PostalCodePhysical	L-4433	
CityPhysical	Schuttrange	
CountryPhysical	LU	
POBox		
PostalCodePostal		
CityPostal		
CountryPostal		
PointOfContactReportingFI		
Name	Gruber	
FirstName	Hans	
EmailPersonal	hans.gruber@test.lu	
EmailOrganisation	fatca.reporting@test.lu	
TelephoneDirect	+352 444 333 222	

In the “Report Content” tab, please select “Zero Reporting” in the “Type of report” drop down list.

AEOI_Depositor	AEOI_ReportingFI	Report Content
ReportingPeriod	2020-12-31	
Type of report	FATCA LUX	
Version	FATCA LUX	
	Zero Reporting	
Message Specification	FATCA-report	

Please confirm this is meant to be a “Zero Reporting” by clicking the “Yes” button as below.

AEOI_Depositor	AEOI_ReportingFI	Report Content
ReportingPeriod		2020-12-31
Type of report		Zero Reporting
Zero Reporting		<input checked="" type="radio"/> Yes <input type="radio"/> No

Now you have to decide whether this report is intended to be sent to the Test or to the Production environment. The report’s file name will be generated accordingly.

Test file:

FATCA 3 - C:\cetre\sofie... \FATCA_20210615082138_F0_2020_C_19960331121_DGIIXW.00...

File Templates

New Open Save SaveAs Validate Show XML Export as PDF Production **Test**

AEOI_LUX

- AEOI_Depositor
- AEOI_ReportingFI
- Report Content

version 3.0

Fatca reporting

RFI Identifier DGIIXW.00035.ME.442

Reference identifier DGIIXW.00035.ME.442.2020_HL_0001 Refresh all ref ids.

AEOI_Depositor AEOI_ReportingFI Report Content

ReportingPeriod 2020-12-31

Type of report Zero Reporting

Zero Reporting Yes No

Production file:

FATCA 3 - C:\cetre\sofie... \FATCA_20210615082138_F0_2020_C_19960331121_DGIIXW.00...

File Templates

New Open Save SaveAs Validate Show XML Export as PDF **Production** Test

AEOI_LUX

- AEOI_Depositor
- AEOI_ReportingFI
- Report Content

version 3.0

Fatca reporting

RFI Identifier DGIIXW.00035.ME.442

Reference identifier DGIIXW.00035.ME.442.2020_HL_0001 Refresh all ref ids.

AEOI_Depositor AEOI_ReportingFI Report Content

ReportingPeriod 2020-12-31

Type of report Zero Reporting

Zero Reporting Yes No

Please click the “SaveAS” in order for the file’s name to be generated and the data saved.

In our example, the file is named:

“FATCA_20210615082138_F0_2020_C_19960331121_DGIIXW.00035.ME.442_T.xml” , since this is a FATCA report, created on this date and time. Every time you click “SaveAs”, this date is updated again.

The report type is “F0”, as “Zero Reporting”.

The reporting year is 2020.

The transmission channel is “C”. This value is constant.

The depositor’s Id is “19960331121”.

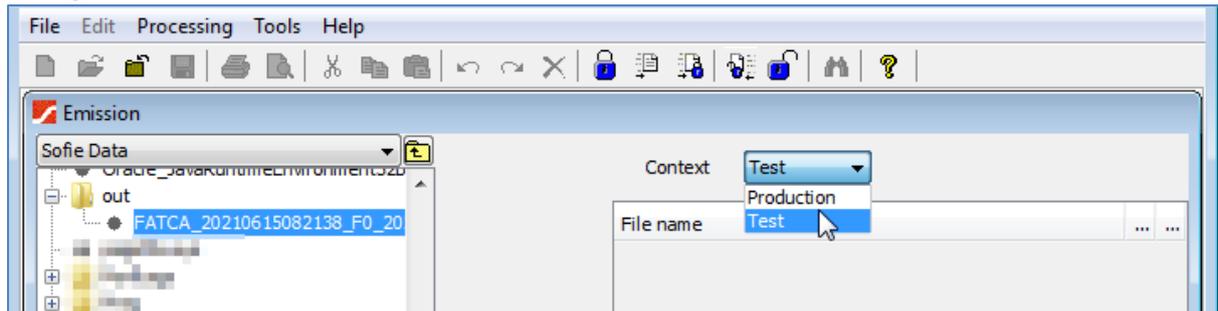
The RFI’s identifier is “DGIIXW.00035.ME.442”.

This file should be processed on ACD’s test platform. The filename ends with “_T”.

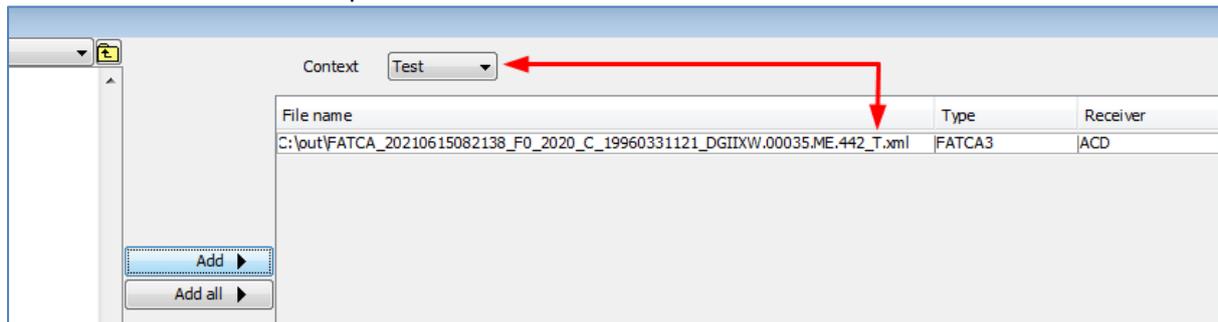
And finally, this file contains data formatted as xml.

Hint: Please always contact the ACD before sending any **test file** to them as they do not automatically process all **test files** received. This does of course not apply to production files.

Last but not least, send the file using Sofie as you would send any file and please remember to check the right value in the context box:



If the context’s value does not match the last part of the filename, the selected file will be rejected. The file below has been accepted.



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>

7 CONTACTS

7.1 SOFiE Business

- Contract sales or technical questions :
 - Tel : (+352) 355 66 - 600
 - Email : sofie.lux@worldline.com

7.2 Administration des contributions directes (ACD)

- Reporting rules and report content
 - Tel: +352 247-52459
 - Email: aeoi@co.etat.lu