
Section 2

IDES Enrolment

IDES Overview

IDES is a secure managed file transfer service that is available to FIs and HCTAs to facilitate FATCA reporting. It is accessible to enrolled users over the Internet and will allow for the transmission of FATCA reporting in the approved FATCA XML Schema.

Obtaining Digital Certificate

- Purchasing a digital certificate from a third-party provider, as well as safekeeping the certificate for encryption at the uploading stage.

Enrolling on the IDES Portal

- This involves the account creation on the IDES portal, including submitting the GIIN and the digital certificate and receiving notification from the IRS that the account was approved following validation of the GIIN and Certificate.

Data Review

- Reconciliation of the accounts on the core banking system to validate that all reportable accounts are properly tagged.
- Ensuring that all the information needed for the report is ready in the required format.
- Verifying that the XML report generated by the system adheres to the schema.

Report Submission

- Binding the reports with the key provided by the IRS and compressing them.
- Encrypting the file and submitting it to the IRS and receive notification from the IRS that the file was accepted.

IDES Process – Obtaining a Digital Certificate



IDES Process – List of IRS-approved CAs

A certificate authority (CA) issues a certificate after an identity proofing process to verify the certificate owner

<i>Digicert</i>	• SSL Plus
<i>Entrust</i>	• Standard SSL
<i>GlobaSign</i>	• Organization SSL
<i>IdenTrust</i>	• TrustID Server (SSL) • Organization non SL
<i>StartCom</i>	• Start SSL EV
<i>Symantec/Verisign</i>	• Secure Site SSL
<i>Thawte</i>	• SSL Web Server

Section 2.3 – Home Tabs Overview

IDES Process – Home Tabs Overview



INTERNATIONAL DATA EXCHANGE SERVICE

Google™ Custom Search

Home | Enrollment | Knowledge Base | Support | IRS Public Key | IDES Enrollment User Log In

International Data Exchange Service (IDES)

Enter the search criteria based on your institution type (FI or HCTA):

Reminder: The first username that is enrolled on the IDES system will be the Administrator.

- Single
- Lead of an Expanded Affiliated Group
- Member (not Lead) of an Expanded Affiliated Group
- Sponsoring Entity

Institution Type

☒ FI ☐ HCTA [What's this?](#)

★ REQUIRED FIELDS

GIIN ★

[Don't know your GIIN?](#)

[Next](#)

IDES Gateway

[Log In ...](#)

Related Items

- [FATCA Information](#)
- [International Data Exchange Information](#)
- [Regulation and Other Guidance](#)

Home | Enrollment | Knowledge Base | Support | IRS Public Key | IDES Enrollment User Log In

International Data Exchange Service (IDES) - Knowledge Base

FIs and HCTAs can learn how to Enroll using this online documentation.

★ [Download Adobe Reader](#) to view PDF files on this page

Interactive Knowledge Base

[International Data Exchange Service Interactive Knowledge Base Site](#)

User Guides

[International Data Exchange Service User Guide \(PDF\)](#)

[FATCA User Guide](#)

Frequently Asked Questions:

[IDES Frequently Asked Questions](#)

Additional FAQs are available for FATCA - [FAQs General](#), [FATCA FFI List](#), and [FATCA IDES Technical FAQs](#).

Additional Support

FATCA Compliance Help

- If you have further questions about foreign financial institutions' compliance with the U.S. FATCA legislation, please **submit your question**.

FATCA Registration System Technical Support:

- If you need system support for the online FATCA Registration, including help with login problems, error messages, and other technical issues, please **submit your technical system problem**.

The system technical support team cannot respond to tax law questions regarding the FATCA regulations.

IDES Process – Home Tabs Overview

[Home](#) [Enrollment](#) [Knowledge Base](#) [Support](#) [IRS Public Key](#) [IDES Enrollment User Log In](#)

International Data Exchange Service (IDES) – Log In

Log in to your account here.

Once logged in, you can do the following:

- Download the Metadata File
- Update Your Personal User Alert Preferences
- Update Your Password

*** REQUIRED FIELDS**

Username * [Forgot Username?](#)

Password * [Forgot Password?](#)

☐ Remember me?

[Log in](#)

IDES Gateway

[Log In ...](#)

IDES Enrollment

[Learn More ...](#)

Related Items

- [FATCA Information](#)
- [International Data Exchange Information](#)
- [Regulation and Other Guidance](#)

Certificate

General Details Certification Path

Certificate Information

This certificate is intended for the following purpose(s):

- Ensures the identity of a remote computer
- Proves your identity to a remote computer
- 2.16.840.1.114028.10.1.5
- 2.23.140.1.2.2

* Refer to the certification authority's statement for details.

Issued to: encryption-service.services.irs.gov

Issued by: Entrust Certification Authority - L1K

Valid from 10/ 16/ 2014 **to** 12/ 17/ 2018

[Install Certificate...](#) [Issuer Statement](#)

Learn more about [certificates](#)

[OK](#)

IDES Process – Enrolment



International Data Exchange Service (IDES) - GIIN Found

Your GIIN has been found. You may continue the Enrollment process.

GIIN	FI or HCTA	Country
TESTER.00034.AA.840	Tester Account 34	United States of America

[Not your FI or HCTA?](#)

[Back](#) [Next](#)

IDES Gateway
[Log In ...](#)

Related Items

- FATCA Information
- International Data Exchange Information
- Regulation and Other Guidance

International Data Exchange Service (IDES) - Challenge Questions

Please provide the challenge questions and answers for the User.

Challenge Question #1

Question 1: In what city did you live at age 18?

Answer 1:

Challenge Question #2

Question 2: What year was your mother born?

Answer 2:

[Back](#) [Next](#)

IDES Gateway
[Log In ...](#)

Related Items

- FATCA Information
- International Data Exchange Information
- Regulation and Other Guidance

IDES Process – Enrolment



Submit User Profile Info

Select Alert Preferences



Upload Digital Certificate

Validate Certificate

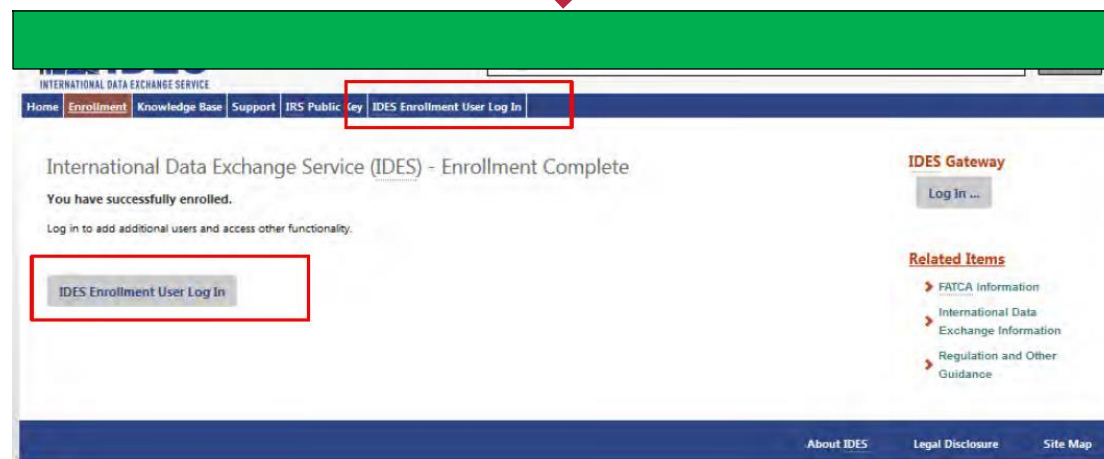


The screenshot displays the IDES web application interface. The top navigation bar includes links for Home, Enrollment, Knowledge Base, Support, IRS Public Key, IDES Enrollment User Log In, and a search bar. The main content area is divided into two sections: "International Data Exchange Service (IDES) - User Info" and "International Data Exchange Service (IDES) - Certificate".

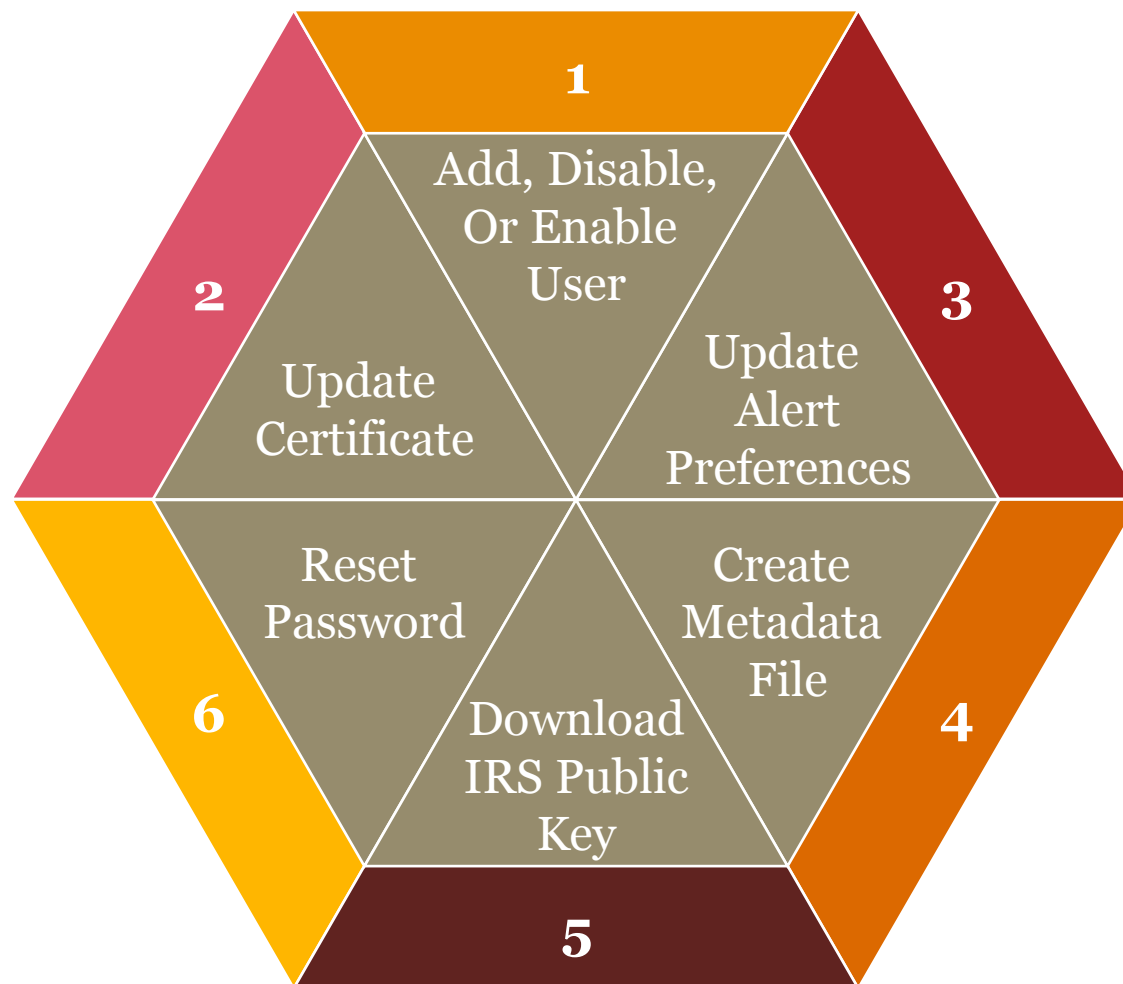
The "User Info" section, titled "Please provide the user profile information.", contains a "REQUIRED FIELDS" section with input fields for Username, First Name, Last Name, Email Address, Verify Email, Password, and Verify Password. A red box highlights these fields. To the right, there is a sidebar with "IDES Gateway" (Log In) and "Related Items" (FATCA Information, International Data Exchange Information, Regulation and Other Guidance).

The "Certificate" section, titled "Please upload the new certificate.", contains a "REQUIRED FIELDS" section with a "Security Certificate:" label and a file upload area. A red box highlights the "Browse..." button and the "No file selected." text. Below the upload area are buttons for "Back to Manage IDES" and "Validate".

IDES Process – Enrolment



IDES Process – Administrative Functions



Section 3

Data Preparation

Data Elements

01

When to file

8966 is required to be filed for the 2014 calendar year on or before March 31, 2015

02

Extension of time to file

An automatic 90-day extension of time to file Form 8966 will be provided to all filers without the need to file any form or take any action



8966 Reporting Criteria

03

Electronic filing requirements

A financial institution is required to file Form 8966 electronically, irrespective of the number of Forms filed

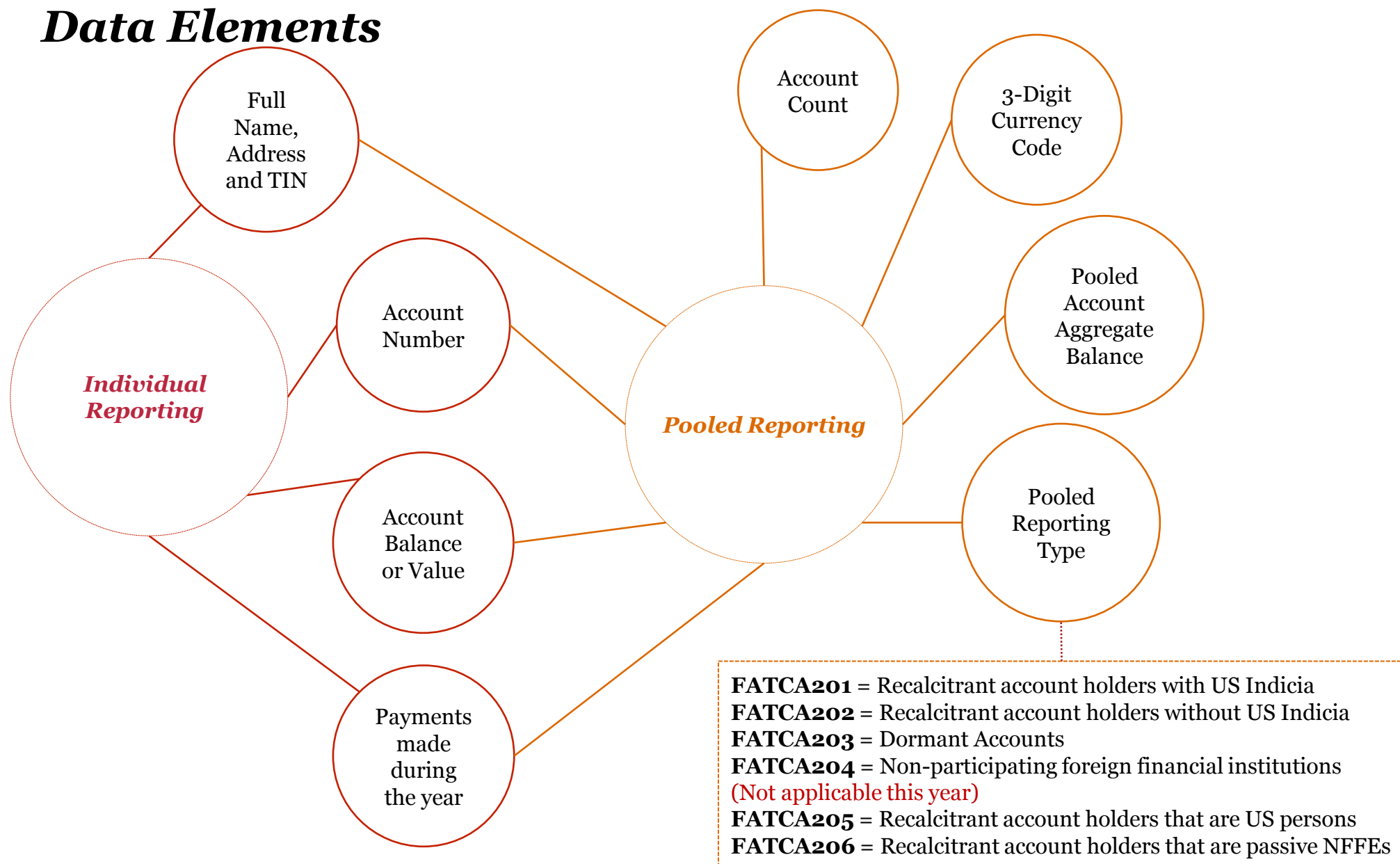


04

2014 calendar year

The PFFI must report any identified U.S. account or an account held by an ODFFI or nonparticipating FFI as of December 31, 2014 if such account was outstanding on July 1, 2014

Data Elements



Form 8966

Form 8966 Department of the Treasury Internal Revenue Service	FATCA Report ► Information about Form 8966 and its separate instructions is at www.irs.gov/form8966 .	OMB No. 1545-2246 2016
--	---	---

Check if report is being corrected, amended, voided, or there are no accounts to report

Corrected report ☐ Amended report ☐ Voided report ☐ Check if no accounts to report (see instructions) ☐

Part I Identification of Filer

1a Name of filer	1b Enter the filer category (see instructions) ► ☐ ☐	
2 Number, street, and room or suite no. (if P.O. box, see instructions)		
3a City or town	3b State, province, or region	3c Country, including postal code
4 Global intermediary identification number (GIIN)		5 TIN
6 Name of sponsored entity or intermediary, if applicable		
7 Number, street, and room or suite no. (if P.O. box, see instructions)		
8a City or town	8b State, province, or region	8c Country, including postal code
9 GIIN		10 TIN

Part II Account Holder or Payee Information

1a Name of account holder or payee	1b Indicate whether account holder or payee is an individual or entity ☐ Individual ☐ Entity	
2 Number, street, and room or suite no. (if P.O. box, see instructions)		
3a City or town	3b State, province, or region	3c Country, including postal code
4 TIN		
5 If account holder or payee is an entity, check applicable box to specify the entity type: ☐ Owner-Documented FFI with specified U.S. owner(s) ☐ Passive NFFE with substantial U.S. owner(s) ☐ Non-Participating FFI ☐ Specified U.S. Person		

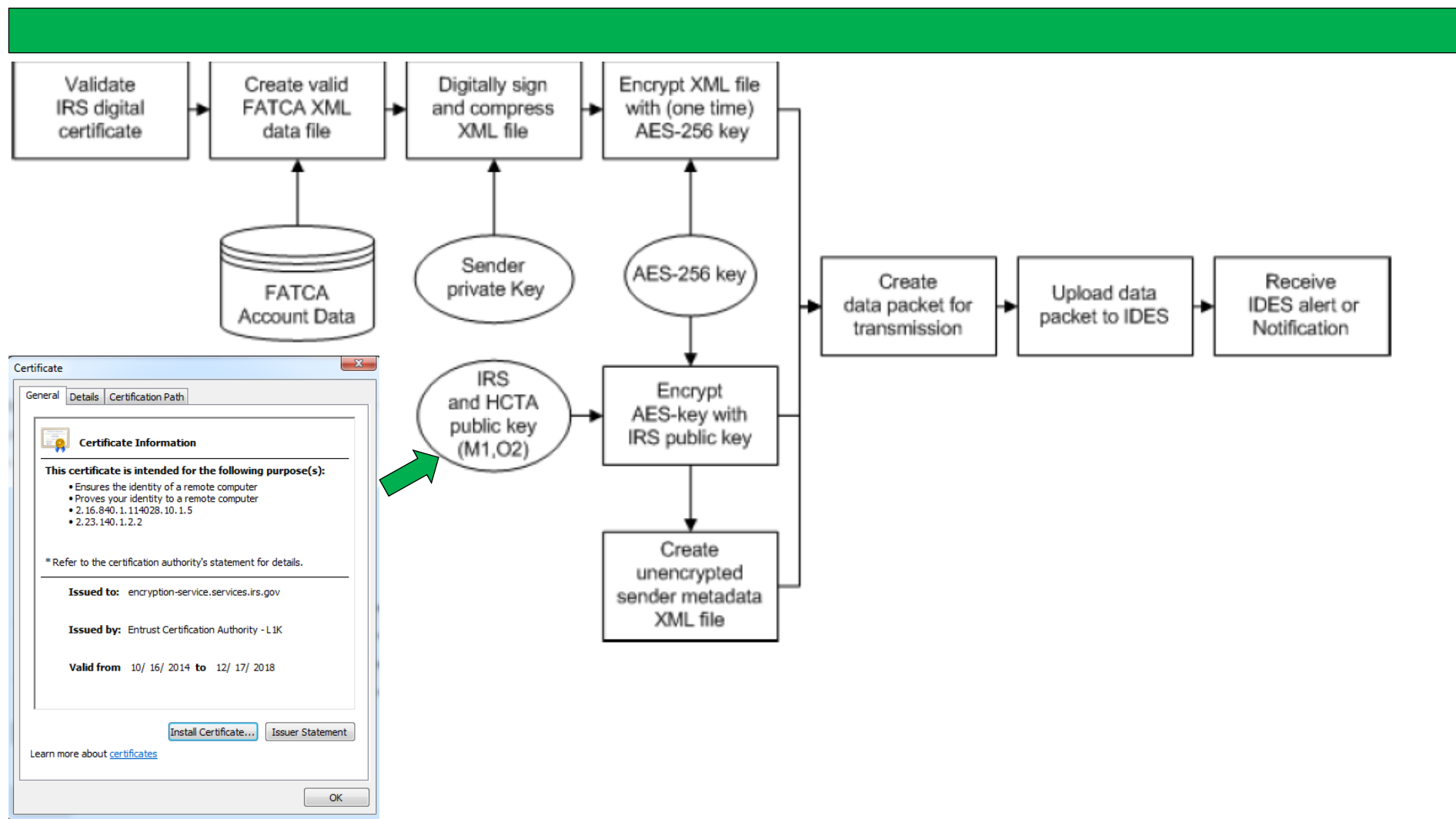
Form 8966

Part III Owner Information (File a separate report for each U.S. Owner that is a specified U.S. Person)			
1 Name of owner			
2 Number, street, and room or suite no. (If P.O. box, see instructions)			
3a City or town	3b State, province, or region	3c Country, including postal code	
4 TIN of owner			
Part IV Financial Information			
1 Account number		2 Currency code (see instructions)	
3a Account balance		3b Check if account closed during the year (see instructions) ☐	
4a Interest		4c Gross proceeds/Redemptions	
4b Dividends		4d Other	
For Paperwork Reduction Act Notice, see separate instructions. Cat. No. 55748F Form 8966 (2016)			
Part V Pooled Reporting Type			
1 Check applicable pooled reporting type (check only one):			
☐ Recalcitrant account holders with U.S. indicia		☐ Recalcitrant account holders without U.S. indicia	
☐ Dormant accounts		☐ Non-participating FFI	
☐ Recalcitrant account holders that are U.S. persons		☐ Recalcitrant account holders that are passive NFFEs	
2 Number of accounts		3 Aggregate payment amount	
4 Aggregate account balance		5 Currency code	
Form 8966 (2016)			

Section 4

Data Encryption

FATCA XML Report Preparation



Encryption Software – 8966 Pro

1099^{PRO}

The Leader in FATCA Form 8966 Software and FATCA Filing Services.

Home Software Services Forms Compliance Support SSAE 16 Security Site Map

Live Support
ONLINE

Renew | Pay Invoice | Cart | Account
(888) PRO-1099

search go

FATCA Software

FATCA Form 8966 Software

FREE DEMO
Click to download



1099 Pro Professional
1099 Pro Enterprise
1099 Pro Corporate
W-2 Pro
1042-S Pro
8966 Professional
Software
IDES Packager
Bump Codes

1099^{PRO} 8966 PRO

Free Demo!

Streamlined and Cost Efficient FATCA Reporting

Versions		
Single User	\$799.00	Buy Now
2 to 5 Users	\$1199.00	Buy Now
Unlimited Users	\$1599.00	Buy Now

Key Features

- Unlimited filing entities
- IRS FATCA Form 8966
- 5,000+ records
- Single, multi (2-5), or unlimited users
- XML file generation
- IDES encrypter & decrypter

Overview Support Additional Services Comparison Chart Requirements FAQ's Purchasing

FATCA 8966 Reporting Software

1099 Pro provides secure and intuitive FATCA Form 8966 software capable of tax form management and IRS XML reporting.

The IRS is quickly finalizing the FATCA reporting requirements and will require Foreign Financial Institutions (FFIs) from Model 2 countries to report FATCA Form 8966, the FATCA report, directly to the IRS. FFIs from Model 1 countries, that must report to their host country who in turn transmits to the IRS, still must manage their FATCA Reports in one centralized location for ease of reporting.

Encryption Software – OPES

[Home](#)[Industries](#)[Solutions](#)[Services](#)[About Opes](#)[Contact us](#)[Shopping Cart](#)

IRS FATCA 8966 Reporting

[Home](#)[IRS FATCA 8966 Reporting](#)

Wealth Management

Enhanced Wealth Management for Canada

Fund Management

Enterprise Resource Planning (ERP)

FATCA 8966 XML Reporting

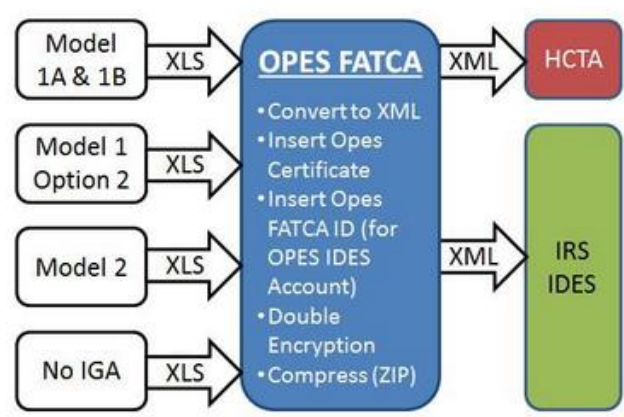
FATCA Solution (Due Diligence)

IRS 1042-S Reporting

Need help with your FATCA 8966 reporting?

Buy Online Now!

Whitepaper



```
graph LR; M1A[Model 1A & 1B] -- XLS --> OPES[OPES FATCA]; M1O[Model 1 Option 2] -- XLS --> OPES; M2[Model 2] -- XLS --> OPES; NIGA[No IGA] -- XLS --> OPES; OPES -- XML --> HCTA; OPES -- XML --> IRSIDES[IRS IDES];
```

OPES FATCA

- Convert to XML
- Insert Opes Certificate
- Insert Opes FATCA ID (for OPES IDES Account)
- Double Encryption
- Compress (ZIP)

HCTA

IRS IDES

OPES FATCA Reporting Template (MS Excel) is used to create your XML file

Encryption Software – FircoSoft



The screenshot shows the FircoSoft website. The header includes the FircoSoft logo (part of Accuity), a search bar, and a language dropdown. The navigation menu contains links for HOME, ABOUT US, SOLUTIONS, SERVICES, NEWS & EVENTS, PARTNERS & ALLIANCES, SUPPORT & DOWNLOAD, and CONTACT US. The main banner features a low-angle shot of a skyscraper with the text "FATCA COMPLIANCE" and "A global KYC challenge". Below the banner is a breadcrumb trail: HOME > SOLUTIONS > FATCA COMPLIANCE > FIRCO FATCA. The "Solutions" section is active, displaying "FATCA Expert Corner" with a right arrow. To the right, the "Firco FATCA" section is titled "Ensure Compliance with the Foreign Account Tax Compliance Act".

FircoSoft
PART OF ACCUITY

Search Language

HOME ABOUT US SOLUTIONS SERVICES NEWS & EVENTS PARTNERS & ALLIANCES SUPPORT & DOWNLOAD CONTACT US

FATCA COMPLIANCE
A global KYC challenge

HOME > SOLUTIONS > FATCA COMPLIANCE > FIRCO FATCA

Solutions

FATCA Expert Corner >

Firco FATCA
Ensure Compliance with the Foreign Account Tax Compliance Act

Encryption Software – FircoSoft

The screenshot displays the FircoSoft web application interface. The top navigation bar includes the FircoSoft logo, Home, Dashboards, Modules, and Help links. A search bar, settings icon, and logout link are on the right. The main content area is titled 'FIRCO-IND-1069.6' and shows a document record. The left sidebar contains a menu with sections: General (Profile & Classification), Addresses (Places & Phones), Accounts (Customer's bank accounts), Documents (Received documents & forms), Comments (See all comments), Others (Regulation's specific data...), and History (Former classifications & workflow). The main content area is divided into three sections: a table of documents, an 'Attachment' section, and a form for document details.

Country	Document numb..	Type
United States	US W-9 FIRCO-IND-1...	W9
United States	US W9W FIRCO-IND-...	W9 Waiver

Attachment

Type: W9

Document number: US W-9 FIRCO-IND-1069.6

Country: United States

Issue Date: 2014/01/01

Expiration Date:

Description: US W-9 FIRCO-IND-1069.6

Imported: 2015/02/13 - 09:08:00

Created By: (System)

Updated: 2015/02/13 - 09:08:00

Updated By: (System)

Name:

Size (bytes):

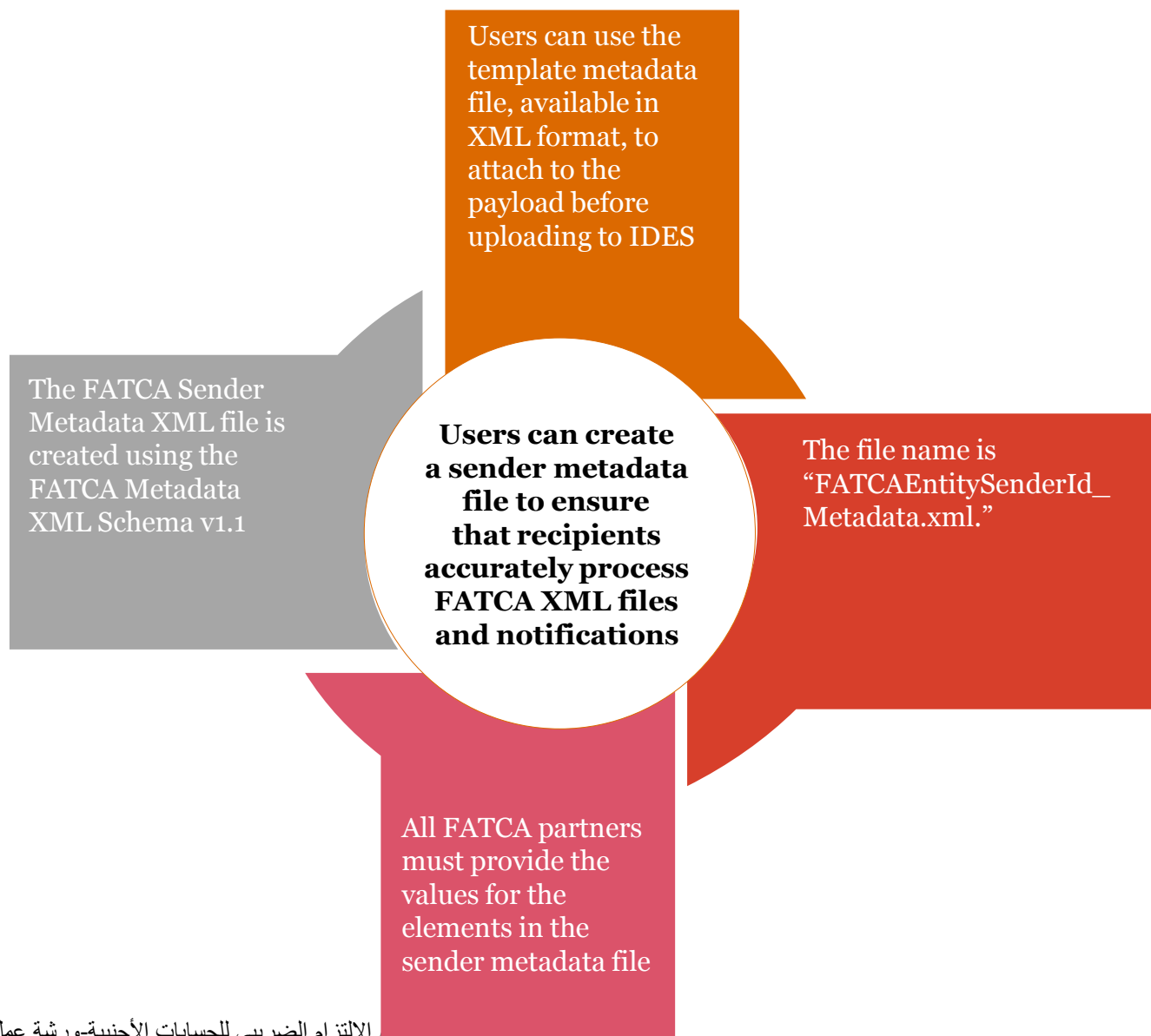
Created:

Created By:

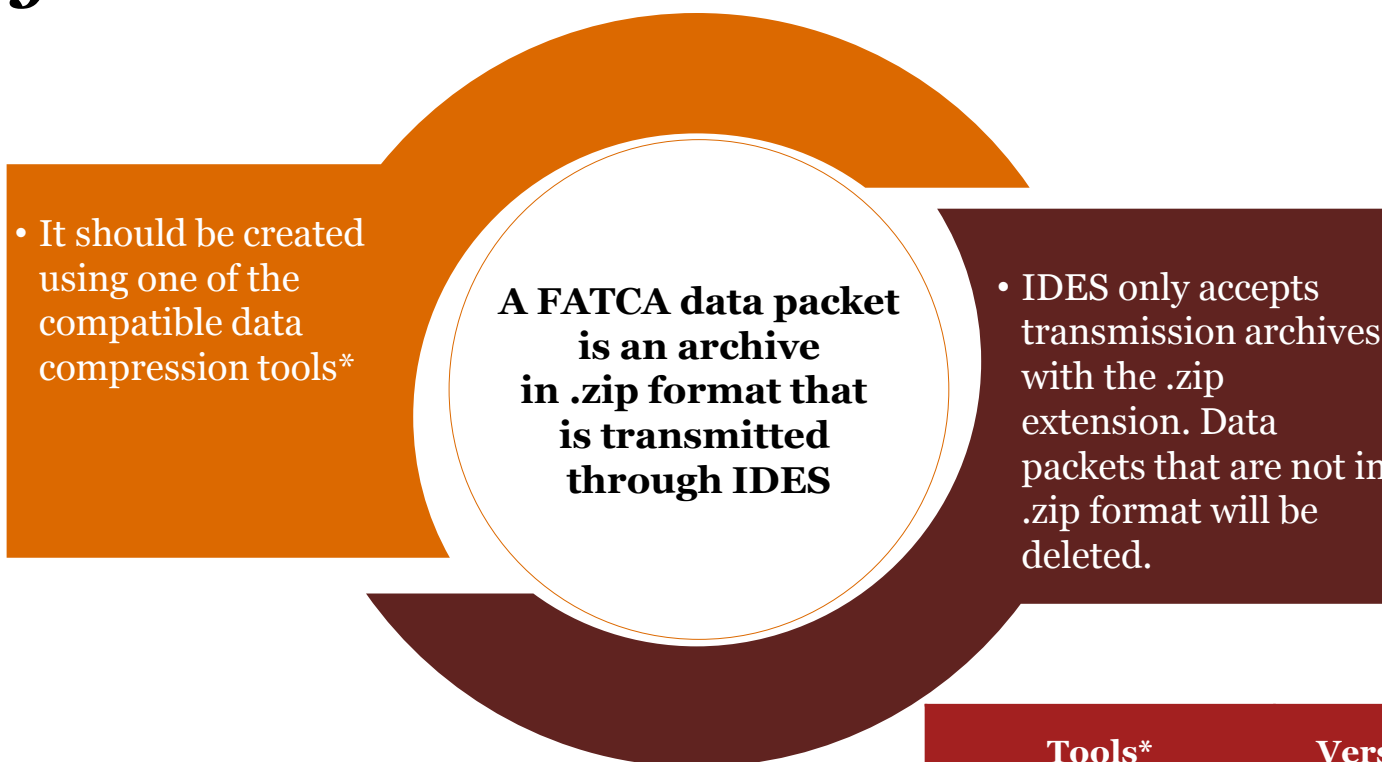
Section 5

Data Transmission & Reception

Creating Sender Metadata File

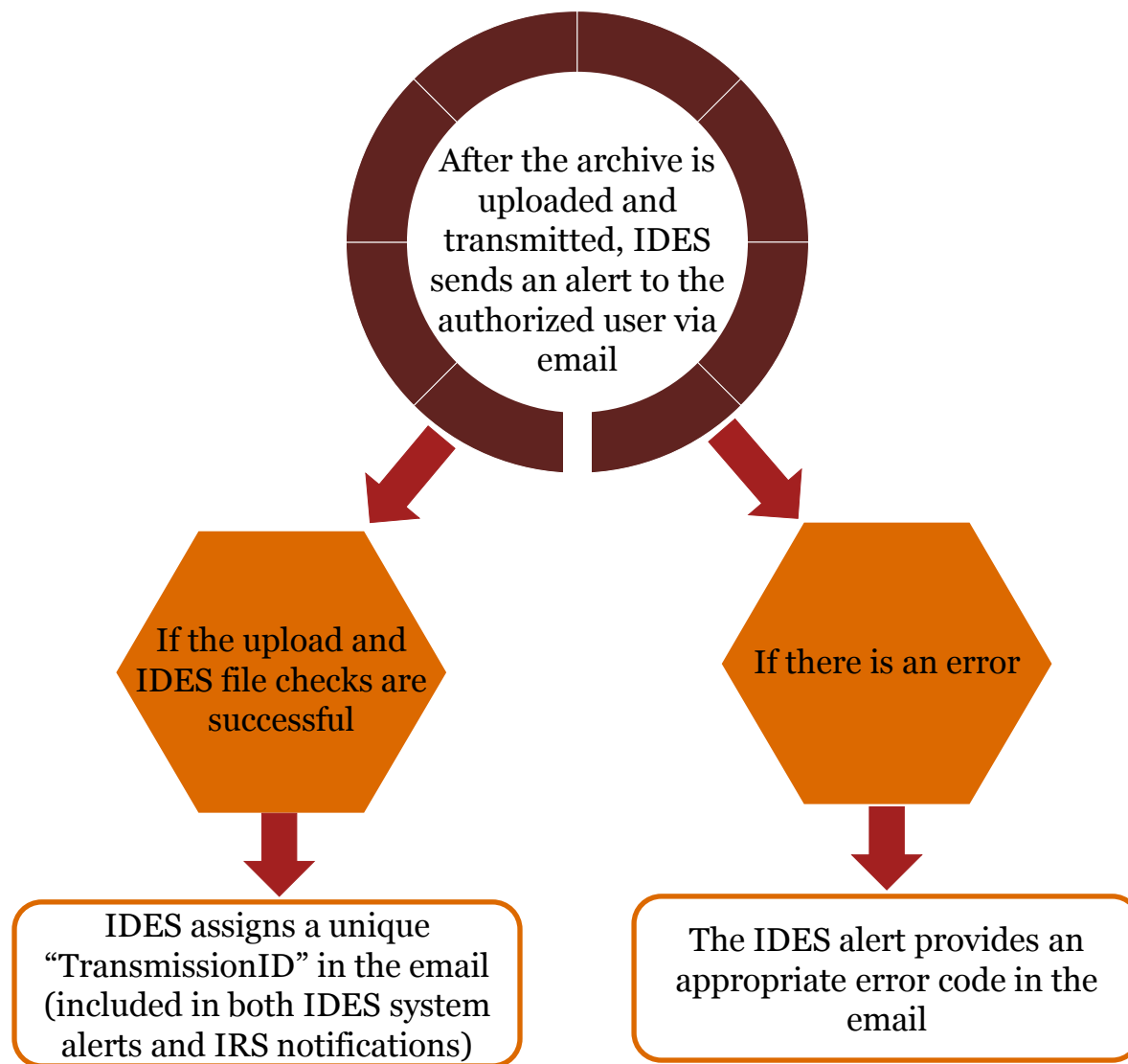


Creating FATCA Data Packet

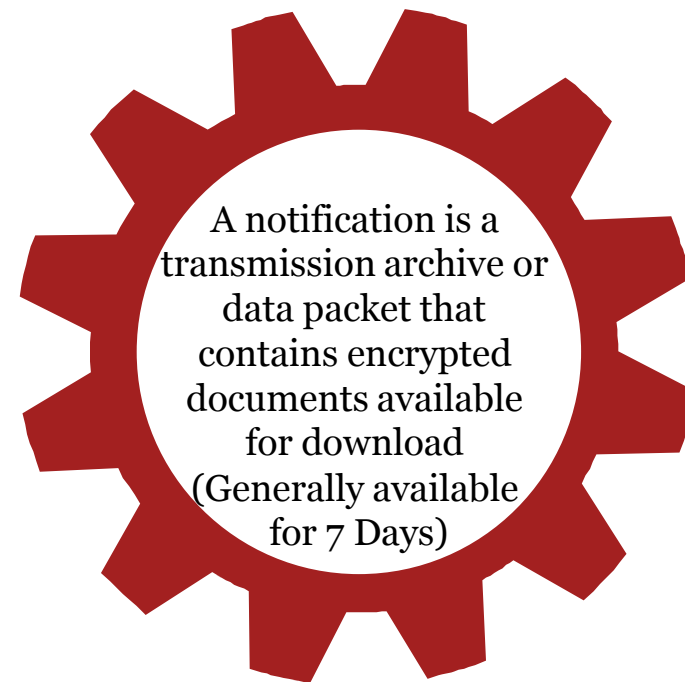
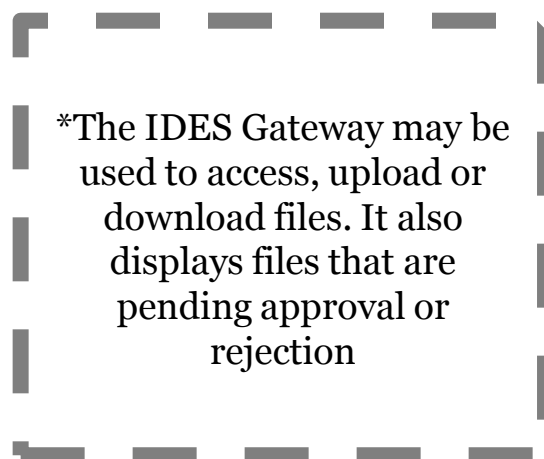
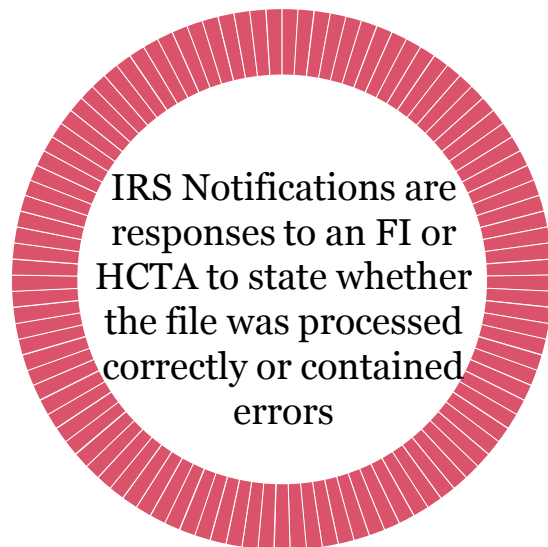


Tools*	Version	Host System
WinZip	17.5	Windows
7-Zip	9.2	Windows/Linux
Windows zip utility	N/A	Windows
Linux/Unix zip utility	N.A	Linux/Unix
Apple archive utility	OSX 10.3	MAC

FATCA Report Transmission



IRS Notifications & Alerts



Appendices

IRS Alert Codes & Technical FAQs

Appendix 1.1

IRS Alert Codes

Code	Reason	To Sender	To Receiver	To Reviewer HCTA	Code	Reason	To Sender	To Receiver	To Reviewer HCTA
RC001	Successful upload (including all IDES validation checks)	X			RC013	Receiver GIIN does not match the key	X		
RC029	Successful upload (including all IDES validation checks), waiting for HCTA approval	X			RC014	Payload missing	X		
					RC015	Key missing	X		
RC023	Successful upload and approved by the HCTA (Model 1 Option 2)	X			RC016	Approving HCTA key missing (Model 1 Option 2)	X		
RC002	Failed virus check in IDES	X			RC018	Package filename error	X		
RC003	Failed encryption check in IDES	X			RC019	Metadata missing	X		
RC004	Failed FATCA Metadata schema check in IDES	X			RC020	Invalid certificate	X		
RC005	Transmission is rejected by its own HCTA (Model 1 Option 2)	X	X	X	RC025	Invalid zip package file	X		
RC006	No actions from its own HCTA, transmission expired after 7 days (Model 1 Option 2)	X	X	X	RC026	Too many files in package	X		
RC007	Transmission ready for receiver to download, but expired after seven (7) days	X	X		RC027	Zip package contains a folder	X		
RC008	Invalid Sender GIIN	X			RC028	Invalid approving HCTA key name (Model 1 Option 2)	X		
RC009	Invalid Receiver GIIN	X			RC999	Unexpected error	X		
RC010	Sender not authorized for the Receiver	X			RC021	Available for receiver to download		X	
RC011	Receiver not authorized for the Sender	X			RC022	Available for HCTA review (Model 1 Option 2)	X		X
RC012	Sender GIIN does not match the payload or metadata	X			RC024	Downloaded by the receiver		X	
					RC030	Downloaded by the HCTA reviewer (Model 1 Option 2)	X		X

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