

USER MANUAL – PORTAL (AEOI)

FOR

FINANCIAL INSTITUTIONS OF ANTIGUA AND BARBUDA

Prepared by:-

Newgen Software Technologies Ltd

www.newgensoft.com

On behalf of:-

Inland Revenue Department, Antigua and Barbuda



TABLE OF CONTENTS

1. Introduction	4
2. Prerequisites	4
3. For New User (Registration)	4
4. For Registered User (Login)	6
5. Reporting Process	6
6. Important Points to Note.....	7
7. Portal Screens	9
7.1. Landing Page	9
7.2. Create New Account	10
7.2.1. Email Authentication.....	10
7.2.2. Registration	11
7.3. Forgot Password	12
7.4. User Login	13
7.5. User Home Page.....	14
7.6. My info page	15
7.6.1. Change Password	15
7.7. Report Submission	16
7.7.1. Upload XML.....	17
7.7.2. Manually fill Online Form.....	18
7.7.2.1. Individual Account Holder.....	20
7.7.2.2. Organization Account Holder.....	21
7.7.2.3. Substantial Owner - FATCA	23



7.8.	Report Status	24
7.8.1.1.	Submission History.....	24
7.9.	Admin Approval	26
7.10.	Admin Reports	27
7.11.	Audit Log	28
7.12.	Need help.....	28
7.12.1.	FAQ Section.....	29
7.12.2.	Contact us And helpful links.....	29
7.13.	Additional Frequently Asked Questions.....	30



1. INTRODUCTION

Inland Revenue Department (IRD), has implemented Newgen's solution for Automatic Exchange of Information (AEOI). The solution will assist the IRD and its FIs in fulfilling the reporting requirements for Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS). One of the most crucial parts of the solution is a web-based portal, which will act as an interface between the Financial Institutions (FIs) and IRD.

This document is intended to guide the FIs through the portal's features and functionalities.

Portal website address: <https://portal.ird.gov.ag/aeoiportal>

2. PREREQUISITES

The portal works best on Google Chrome (version 59+)

In order to work on the portal, some prerequisites are to be met. They are mentioned below under two categories:-

- Prerequisites for Registration of a new user: Some details along with couple documents
- Approval from IRD for accessing the portal as a registered user

3. FOR NEW USER (REGISTRATION)

To perform any activity on the portal, a user must be registered. The following pre-requisites are required for registering as a new user:-

- Access to the portal website address mentioned in Introduction section
- A valid, working and accessible Email ID
- Global Intermediary Identification Number (GIIN) of the user's FI
- Scanned copy (.pdf) of Authorization Letter from the FI
- Scanned copy (.pdf) of a valid photo ID (like passport, driver's license, etc.)
- Registration for Single GIIN (FATCA & CRS), Multiple GIIN (FATCA & CRS), or Sponsor (FATCA)
- First registration would be FI admin by default and the FI Admin will be approved by IRD admin.
(Only 2 FI Admin is permissible per Financial Institution in addition with 5 FI users)

In order to get access on the portal, FI will have to first visit the portal and get themselves registered as one of the following category:-

- **Single GIIN** - If you are making the submission for yourself
- **Sponsor** - If you are sponsoring a FI (or multiple FIs) and as a sponsor you will be submitting the report on the behalf of your sponsoring FIs. For the same you must get yourself registered as a "Sponsor" with IRS and accordingly get a sponsor GIIN (This option is only available when user is getting registered for FATCA only, as CRS does-not supports Sponsor).



➤ **Multiple GIIN** - Through this category you get provision to submit the report for multiple FIs /GIIN. Although this looks same as Sponsor, the only change here is that if FI have multiple GIIN can report with single user ID. Also at the same time while submitting/creating the package to IRS the name/detail of this multiple GIIN will not be mentioned anywhere. Whereas Sponsor name will be explicitly mentioned in the package. So it will look like FI has submitted the package in its own in case of multiple GIIN although the report was submitted by with individual GIIN.

Register as Single GIIN	<ul style="list-style-type: none">• Allowed only to file reporting of one FI• Allowed for both FATCA and CRS	
Register as Multiple GIIN	<ul style="list-style-type: none">• Allowed to file reporting for multiple FIs but not as sponsor/Intermediary• Allowed for both FATCA and CRS	
Registration for Sponsor Entities	<ul style="list-style-type: none">• Use one email to get registered in FATCA only as Sponsor• Use another email to get registered in CRS only as Multiple GIIN	

For being a Sponsor or Intermediary you must get yourself registered as Sponsor/Intermediary FI first with IRS

***Once you get yourself registered as one type of user then it is not possible to change. So choose wisely both FATCA and CRS

- **If you are going to Report only for your FI**
 - Choose FATCA and CRS Both on this page and on subsequent page select the Single GIIN option and get yourself registered
- **If you are a sponsor Entity**
 - Choose FATCA only on this page
 - On subsequent page select the Sponsor GIIN option
 - Provide your details and your sponsoring entity details
 - Get yourself registered
 - Again come on the portal page. Select the "New user" option.
 - Use another email ID. choose the CRS only option this time and click on submit
 - On subsequent page choose the Multi GIIN option and share the details of all FI again (for whom you will be submitting the data for).
 - Get yourself registered
 - Typically you will have different login for FATCA and CRS. And upon login your will asked which FI you are here to file for.
- **If you are a third party**
 - Choose FATCA and CRS only on this page
 - On subsequent page select the Multi GIIN option
 - Provide your details and details of the FI you are going to file for
 - Get yourself registered
 - And upon login your will asked which FI you are here to file for.



4. FOR REGISTERED USER (LOGIN)

A registered user can access the portal using his/her login credentials. Depending on the activity to be performed on the portal, a registered user may require the following:-

- Internet Access to the portal website address mentioned in Introduction section
- Approved Login credentials (Email ID and Password) created during registration. Approval confirmation will be received on given email ID.
- The registered Email ID should be accessible and working
- Report to be submitted or uploaded (.xml) or manual data entry

Roles of FI Admin and FI User

Roles and Functionality		
Activity	FI User	FI Admin
Registration	Yes	Yes
User Approval	FI Admin / IRD Admin	Other FI Admin / IRD Admin
My Info	Yes	Yes
Change Password	Yes	Yes
Submit Report	Yes	Yes
Report Status	Yes	Yes
Admin Approval	No	Yes
Audit Log	Self	Self and All respective FI Users
Admin Report	No	Yes

5. REPORTING PROCESS

The entire reporting process for the FIs can be broken down into following steps:-

1. Access the portal on your Web-browser using the website address mentioned in Introduction section
2. Register/Create a New Account, if not already registered
 - Choose to register for reporting FATCA / CRS
 - Choose to register as an FI User / FI Admin be able to submit reports
 - Choose to register as an FI Admin, to manage other FI Users of your FI
3. Wait for approval email notification before trying to login, if not already registered
4. Login using the credentials provided during registration
5. Choose the submission mode: XML Upload or Manual Form
6. Select the Reporting Year and Submission Mode (XML/Manual) Type (Actual or Test)
7. Upload the XML or fill the Manual Form
8. Check the report status for confirmation on XML submission. For manual data entry addition of row in the GRID at the above will be confirmation



9. In case of error, check the error report, make corrections and submit again (as New Data only. Do not use FATCA2 or OECD2 here as submission has yet not been done).
10. Logout from the portal.
11. **FATCA 2 / OECD 2 Submission / Request for Update:** In case of update requested from OECD or IRS, FI will receive the notification in the report status (history section). FI user will then have to make a FATCA 2 or OECD2 XML submission by selecting the option FATCA2. If in case they had made a manual submission before then the respective accounts will be visible to them in manual data entry page. User can then edit the requested section (in notification) and click on save again.

6. IMPORTANT POINTS TO NOTE

The following points should be noted while following the reporting process:-

- ✓ A minimum of 1 FI Admin and maximum of 2 has to be registered per FI
- ✓ FI Admin is for user management (like approval/inactive/unlock/delete etc.) but can also submit the report(s).
- ✓ IRD will communicate deadlines for FIs to submit reports which will also be shown on the login page of the portal
- ✓ New reports can't be submitted after the deadline
- ✓ However, updates on previously submitted reports are allowed once you receive the notification. Those choosing to "Fill Manual Form" will not be able to modify any account only before cutoff date.
- ✓ Post submission to IRS / OECD, updates will be further restricted to only those items for which correction has been requested or "Request For Evidence"
- ✓ IRS/OECD may request for resubmission in case the submission is not satisfactory
- ✓ Once initiated with XML submission user cannot do Manual submission for same reporting year.
- ✓ User can choose XML submission for FATCA and Manual Submission for CRS in same reporting year and vice versa.
- ✓ Only 7 users per GIIN/ FI is allowed to access the system (2 FI Admin and 5 FI Users).
- ✓ The first successful "Actual Submission " will be taken as the final reporting XML and will be submitted to IRD
- ✓ All the FI users will be allowed to register with same registration type as FI admin has registered.
- ✓ FI admin can track the audit log for all the FI users of associated FIs whereas FI user is allowed to track only his/her activity.
- ✓ GIIN is mandatory to report either for FATCA or CRS or Both together.
- ✓ In Manual submission user can modify/delete/add account details any number of times till the portal cutoff date.
- ✓ System also a test option to get your XML verified before submitting a one. Please follow the IRS/OECD guideline to get your test XML prepared.
- ✓ Only one submission per year is allowed. In case of CRS also one XML is expected which will include data of all jurisdiction which has to be reported to.



- ✓ Functionality of “Submission Type i.e. XML (ACTUAL/TEST) or Manual Submission

CASE 1 : XML Submission

If a FI submits the XML submission as “TEST submission type” and gets a Failure / Success message, then in this case system will allow the user to do manual submission for the same reporting year.

CASE 2 : XML Submission

If a FI submits the XML submission as “ACTUAL submission type” and gets either of the two status (Failed Submission / Successful Submission) then the system would not allow the user to opt for manual data entry. Therefore FI needs to edit the XML and resubmit the XML again (if failed).

After submitting the actual XML user will be able to see the status in the report status page and in case of failure user will get the detailed analysis in error report. User must submit again the XML (as New report /FATCA1 itself) after correcting it.

CASE 3 : Manual Submission

If a FI starts reporting with “Manual submission” then system will not allow the user to do XML submission for same reporting year.

- ✓ User can register only for :
 - FATCA – Single GIIN / Multiple GIIN / Sponsor
 - CRS – Single GIIN / Multiple GIIN
 - Both – Single GIIN / Multiple GIIN



7. PORTAL SCREENS

7.1. LANDING PAGE

**Inland Revenue Department
Government of Antigua and Barbuda**

[HOME](#) [NEED HELP](#)

Welcome to the Inland Revenue Department AEOI Portal

The new global standard on Automatic Exchange of Information (AEOI) reduces the possibility for tax evasion. It provides for the exchange of non-resident financial account information with the tax authorities in the account holders country of residence. Participating jurisdictions that implement AEOI send and receive pre-agreed information each year, without having to send a specific request.

AEOI will enable the discovery of formerly undetected tax evasion. It will enable governments to recover tax revenue lost to non-compliant taxpayers, and will further strengthen international efforts to increase transparency, cooperation, and accountability among financial institutions and tax administrations.

Supported browser(s): Chrome 59+

EXISTING USER **NEW USER**

Email * [Send OTP](#)

OTP * 0 / 6

[Forgot Password?](#)

LOGIN

This page is seen when the portal website address (mentioned in Introduction section) is accessed from a compatible browser.

Even without entering the portal, a user can see 2 sections – “Need Help” and “Home” by clicking on the respective links.

From this screen, a user can go to any of the following 3 sections:-

- New User – For registering first time
- Existing User – Already registered and approved user
- Forgot Password – Incase of forgot password



7.2. CREATE NEW ACCOUNT

7.2.1. EMAIL AUTHENTICATION

The screenshot shows the 'NEW USER' registration form on the Inland Revenue Department AEOI Portal. The page header includes the coat of arms and the national flag of Antigua and Barbuda. The main heading is 'Inland Revenue Department Government of Antigua and Barbuda'. Below the header, there are navigation links for 'HOME' and 'NEED HELP'. The main content area is titled 'Welcome to the Inland Revenue Department AEOI Portal' and contains introductory text about AEOI. The registration form itself has two tabs: 'EXISTING USER' and 'NEW USER'. The 'NEW USER' tab is active. The form fields include: 'Email *' with a 'Send OTP' button; 'OTP *' with a '0 / 6' character count; 'Captcha *' with a '0 / 6' character count and a refresh icon; and two checkboxes for 'FATCA' and 'CRS'. A 'SUBMIT' button is located at the bottom right of the form. At the bottom of the page, there is a footer with browser support information: 'Supported browser(s): Chrome 59+ Powered by Newgen Software Technologies Limited © 2018'.

This page is seen when a user clicks on “New User” button on the portal landing page.

User is required to provide a valid, working and accessible email ID; enter the captcha and click on “Send OTP” (One time password) button to receive a 6 digit number on the email ID. User then enters the PIN, chooses that s/he will be submitting reports for FATCA / CRS and clicks on “Submit” button.

System verifies the information and depending on the authentication, either shows an error message or takes the user to the next screen for completion of the registration process.

Note: OTP (One time password) validity is time bound (15 minutes and can be sent only twice).

Captcha if unsure, user can freely refresh the image.

- If you are going to Report only for your FI
 - Choose FATCA and CRS Both on this page and on subsequent page select the Single GIIN option and get yourself registered
- If you are a sponsor Entity
 - Choose FATCA only on this page
 - On subsequent page select the Sponsor GIIN option
 - Provide your details and your sponsoring entity details
 - Get yourself registered
 - Again come on the portal page. Select the "New User" option.
 - Use another email ID. choose the CRS only option this time and click on submit
 - On subsequent page choose the Multi GIIN option and share the details of all FI again (for whom you will be submitting the data for).



- Get yourself registered
 - Typically you will have different login for FATCA and CRS. And upon login your will asked which FI you are here to file for.
- If you are a third party
 - Choose FATCA and CRS only on this page
 - On subsequent page select the Multi GIIN option
 - Provide your details and details of the FI you are going to file for
 - Get yourself registered
 - And upon login your will asked which FI you are here to file for.

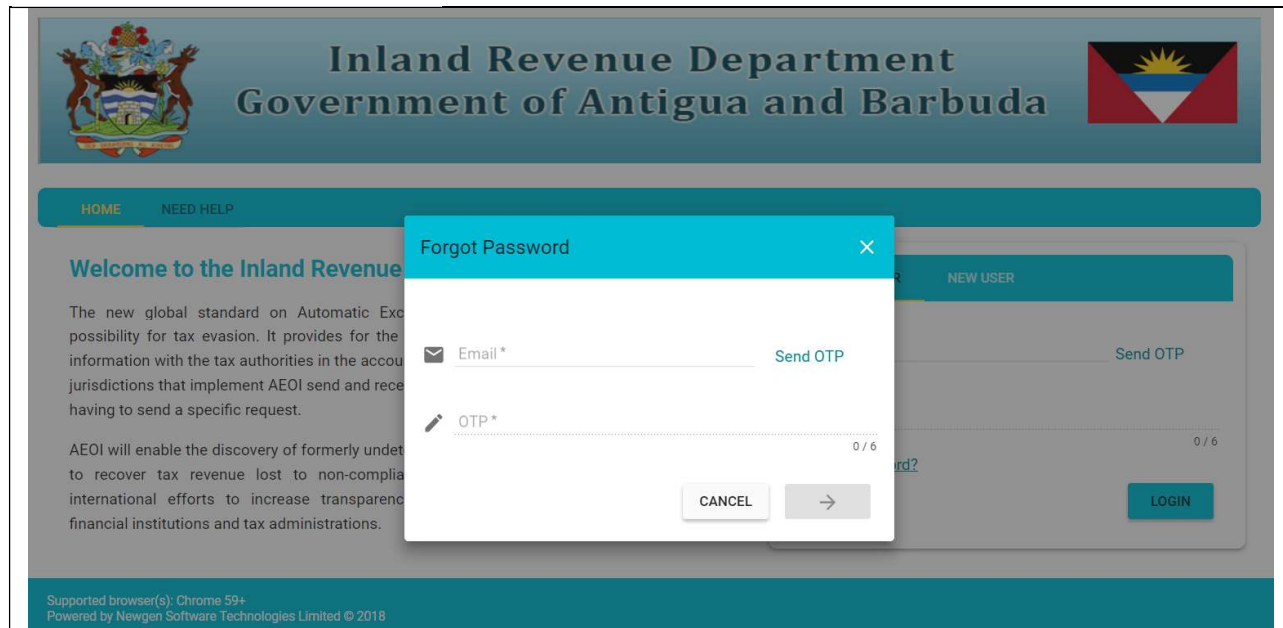
7.2.2. REGISTRATION

This page is seen when a user's email has been authenticated on the previous screen. Here the user provides FI details and personal details to complete the registration process. The user may mark the check-box for FI Admin if s/he wishes to register as one. User uploads two documents (.pdf) and sets a complex password. The registration will be reviewed by an admin and user will be notified by email.

Note: It is mandatory to enter GIIN of the "FI" and after validation of the GIIN, the corresponding FI details would be fetched automatically. This searches for the GIIN in FATCA/CRS system database. In case the GIIN is not present in IRD database, system will alert a message and user must contact the IRD admin immediately for next steps.



7.3. FORGOT PASSWORD




This page is seen when a user clicks on “*Forgot Password*” button on the portal landing page.

User provides a registered email ID (for which password need to be changed) and click on “*Send OTP*” button to receive a 6 digit number on the email ID. User then enters the PIN and clicks on “*Next*” button.


System verifies the information and depending on the authentication, either shows an error message or takes the user to the next screen for setting new password. After new password is set, user can login with the new credentials.



7.4. USER LOGIN



Inland Revenue Department Government of Antigua and Barbuda



[HOME](#) [NEED HELP](#)

Welcome to the Inland Revenue Department AEOI Portal

The new global standard on Automatic Exchange of Information (AEOI) reduces the possibility for tax evasion. It provides for the exchange of non-resident financial account information with the tax authorities in the account holders country of residence. Participating jurisdictions that implement AEOI send and receive pre-agreed information each year, without having to send a specific request.

AEOI will enable the discovery of formerly undetected tax evasion. It will enable governments to recover tax revenue lost to non-compliant taxpayers, and will further strengthen international efforts to increase transparency, cooperation, and accountability among financial institutions and tax administrations.

Supported browser(s): Chrome 59+

EXISTING USER **NEW USER**

Email * [Send OTP](#)

OTP * 0 / 6

[Forgot Password?](#)

LOGIN

To login, a registered user enters his/her credentials, click on “*Send OTP*” button to receive a 6 digit number on the email ID. User then enters the PIN and clicks on “*Login*” button.

System verifies the information and depending on the authentication, either shows an error message or takes the user to his/her home page.

Note: OTP validity is time bound. Ensure that it is entered in 15 minutes time frame.

Note: A user can only enter wrong credentials for a set number of times (generally 5). The system would prompt for the number of attempts left before account would get locked. In case an FI User’s account get’s locked, immediately inform the FI Admin or IRD Admin to get your account unlocked



7.5. USER HOME PAGE



Inland Revenue Department Government of Antigua and Barbuda



HOME MY INFO SUBMIT REPORT REPORT STATUS ADMIN APPROVAL ADMIN REPORT AUDIT LOG NEED HELP Welcome Mohit

Welcome to the Inland Revenue Department AEOI Portal

The new global standard on Automatic Exchange of Information (AEOI) reduces the possibility for tax evasion. It provides for the exchange of non-resident financial account information with the tax authorities in the account holders country of residence. Participating jurisdictions that implement AEOI send and receive pre-agreed information each year, without having to send a specific request.

AEOI will enable the discovery of formerly undetected tax evasion. It will enable governments to recover tax revenue lost to non-compliant taxpayers, and will further strengthen international efforts to increase transparency, cooperation, and accountability among financial institutions and tax administrations.

Supported browser(s): Chrome 59+
Powered by Newgen Software Technologies Limited © 2018

This is the home page for a logged-in user. It has following sections that the user can access:-

- Helpful Links, FAQ and Contact us in Need Help Section – click to open corresponding webpage(s)
- My Info – to view the registration information and change password
(any change in personal information will prompt for password and user would be unlocked until approved by FI admin / IRD admin)
- Submit Report – to submit FATCA /CRS reports (XML / Manual Data Entry)
- Report Status – to check the status of submitted reports
- Admin Approval (**Only For FI Admin**) – For user approval
- Admin Report (**Only For FI Admin**) – For real time users report
- Audit Log – Tracks the activity user is performing on the portal
- Logout – to logout from the portal



7.6. MY INFO PAGE

The screenshot shows the 'MY INFO' page with a navigation bar at the top containing: HOME, MY INFO (active), SUBMIT REPORT, REPORT STATUS, ADMIN APPROVAL, ADMIN REPORT, AUDIT LOG, NEED HELP, and a user profile 'Welcome, vaishav'. The main content area is titled 'FI Details' and contains the following fields:

- GIIN*: 000000.00000.DS.001
- Email*: filer@newgen.com
- Name*: The Bank of Barbados
- IN (with edit icon)
- Address*: Manama Barbados
- Nationality*: US-UNITED STATES (dropdown)
- Filer Category*: PFFI (with search icon)

Below the FI Details section are two sections: 'Personal Details' and 'Security Details', each with an edit icon. At the bottom, a blue footer bar states: 'Supported browser(s): Chrome 59+ Powered by Newgen Software Technologies Limited © 2018'.

This is the personal information page for a registered user. It has following sections that the user can access:-

- User can view the FI details
- User can view and edit the personal information by clicking the edit icon
- User can change the password and security questions set by him/her at the time of registration

7.6.1. CHANGE PASSWORD

The screenshot shows the 'Security Details' page with an edit icon in the top right corner. The page contains the following fields:

- New Password* (with lock icon)
- Retype New Password* (with lock icon)
- Security Question 1*: What is your favourite movie? (dropdown)
- Answer*: newgen (with lock icon)
- Hint: newgen
- Security Question 2*: What was your childhood nickname? (dropdown)
- Answer*: newgen (with lock icon)
- Hint: newgen

At the bottom right, there are two buttons: 'CANCEL' and 'CONFIRM CHANGES'.

This page is seen when a user clicks on "My Info – Edit icon" on the MyInfo after login.

While all the information is available only as read-only, user can still *change your password seamlessly without getting locked*. Any other change on the page will prompt approval from IRD/FI admin and hence account will get locked.



7.7. REPORT SUBMISSION

This page is seen when a user clicks over “*Submit Report*” button on the home page after login.

Step 1 : Select the Reporting for

- CRS
- FATCA

Step 2 : Select the Reporting Year

- Year available for reporting (2017 onwards)

Step 3 : Select Report Submission Mode

- Upload XML
- Fill Manually Online

Note: User clicks on any of the 2 modes to initiate the report submission.

Step 4 : Click on Next Button 

Note: For a particular year, only one mode of submission (either manual or XML) is allowed. This means if a submission has been initiated via one mode, the other can't be chosen.

Also only one submission per year is allowed. So in case of CRS also one XML is expected which will include data of all jurisdiction which has to be reported to.

3 Cases for Submission

CASE 1 : XML Submission

If a FI submits the XML submission as “TEST submission type” and gets a Failure / Success message, then in this case system will allow the user to do manual submission for the same reporting year.



CASE 2 : XML Submission

If a FI submits the XML submission as “ACTUAL submission type” and gets either of two statuses (Failed Submission / Successful Submission) then the system would not allow the user to opt for manual data entry. Therefore FI needs to edit the XML and resubmit the XML again (if failed).

CASE 3 : Manual Submission

If a FI starts reporting with “Manual submission” then system will not allow the user to do XML submission for same reporting year.

7.7.1. UPLOAD XML

This page is seen when a user selects “*Upload a File*” mode, as described in Report Submission section. User performs the following steps:-

Step 1 : Select the Submission Type

- Actual – For original file which needs to be submitted
- Test – For testing purpose such as XML format is correct or not

Note : Based on the above two selections, system will indicate if this report is a new submission or an update to a previous submission

Step 2 : Select Data Type (Based on Actual / Test)

Actual Type (For FATCA)

- **New Data:** Indicates that no data has been yet sent to IRD so system is open to accept new data.
Corrected Data: Indicates corrected records re-transmitted after the sender received a record level error notification.
- **Void Data:** Indicates previously filed records that should be voided. All fields in avoided record must match or have the same values as the original record. Use FATCA3 to void the original transmission.
- **Amended Data:** Indicates previously filed records contained errors that should be replaced or amended. Use FATCA4 if you determine a record that you previously filed



needs to be updated. Do not use in response to an error notification.

Test Type (For FATCA)

- **New Test Data:** Indicates Test data
- **Corrected Test Data:** Indicates Test data
- **Void Test Data:** Indicates Test data
- **Amended Test Data :** Indicates Test data

Actual Type (For CRS)

- **New Data:** Indicates New data
- **Corrected Data:** Indicates Corrected data
- **Deletion of Data:** Indicates deletion data

Test Type (For CRS)

- **New Test Data:** Indicates Test data
- **Corrected Test Data:** Indicates Test data
- **Deletion of Test Data:** Indicates Test data

Step 3: Upload a XML 2.0 file(FATCA) and XML 1.0 file (CRS)

- Click on the “Drag and drop” or “Choose File” option to select the XML from his/her computer and clicks on Upload
- System uploads the XML and starts validating it. User may be shown an error immediately or asked to check “Report Status” if validation is still in progress

Note: After deadline, user will not be able to submit "New". Also, system matches the chosen year and New/Update with the actual XML and rejects in case of mismatch.

7.7.2. MANUALLY FILL ONLINE FORM

The screenshot shows a web application interface with a blue navigation bar at the top containing links: HOME, MY INFO, **SUBMIT REPORT**, REPORT STATUS, ADMIN APPROVAL, ADMIN REPORT, AUDIT LOG, NEED HELP, and a user profile 'Welcome, vaibhav' with a power icon. The main content area is titled 'Select Details for Submission.' and contains three dropdown menus: 'Reporting For *' with 'CRS' selected, 'Reporting Year *' with '2017' selected, and 'Report Submission Mode *' with 'Manual' selected. Each dropdown has a blue question mark icon. A blue arrow button is positioned below the dropdowns. To the right, there is a white box with a grey border containing the following text: **XML Upload**, 'XML upload should be as per the OECD guidelines for XML 1.0 schema.', a blue link 'CRS SAMPLE XML 1.0', **Manual Form**, 'Enter the details of all the accounts manually.', and a **NOTE:** 'If you have submitted XML file for a particular year (i.e. 2016) then you cannot fill manual form for the same year and vice-versa.'



HOME MY INFO **SUBMIT REPORT** REPORT STATUS ADMIN APPROVAL ADMIN REPORT AUDIT LOG NEED HELP Welcome, vaibhav |

Filer Details

GIIN/IN 000000.00000.DS.001	Name of the Filer The Bank of Barbados
Address of the Filer Manama Barbados	Nationality US-UNITED STATES

Submit NIL Report

Associated Accounts [ADD MORE ACCOUNTS](#)

This page is seen when a user selects “Fill Manually Online” mode, as described in Report Submission section. User performs the following steps:-

- selects the year which the report corresponds to (example 2017)
- based on the year, system will indicate if this report is a new submission or an update to a previous submission
- On the subsequent page all FI related data will get fetched up (As shown in above picture)
- If in case no account has to be reported just click on the "Submit Nil Report" button and make it **Blue**. System will prompt an alert stating no account will be reported in case of selecting "Nil Reporting". Click ok to proceed.

Note: After deadline, user will not be able to submit New. Also, there is no “Test” option in this mode.



7.7.2.1. INDIVIDUAL ACCOUNT HOLDER

Associated Accounts

#	Customer Name	Filer GIIN	Account No	Country	DocRefID	
1	Sri	000000.00000.DS.001	14343133123	AG		

Account Information

Account Type Individual Entity Financial Type *

Account Closed? Account Dormant? Account Undocument?

First Name 6 / 100 Last Name * 3 / 100 Date of Birth * Accepted Date format : YYYY-MM-DD

TIN Address * Country * 8 / 250

Account Number * 11 / 50 Account Balance * 0 Currency Code * Tax Residence Country *

Interest * Dividend * Gross Proceed/Redemption * Others *

Step 1 : Select the Individual Type

Step 2 : Enter all the required data of an account

Step 3: Click “ADD” button at the bottom of the screen to save the entries in the grid/table; not on the form. So any data that has been filled on form but not present in grid/table (because user did not click on “Add” followed with “Save”) will be lost.

Step4: Already added accounts will be visible in this Section at the top "Associated accounts"

Step 5: After filling all the accounts click on SAVE. Its good practice to keep saving your data after few moments by clicking on SAVE

User can select any previous entry in the grid/table to see it populated in the fields above. Once a row is selected, user can modify the values and click on “Modify” or “Save” button to reflect in grid/table.

Note: This image corresponds to an account holder of type – Individual/Entity.



7.7.2.2. ORGANIZATION ACCOUNT HOLDER

Associated Accounts

#	Customer Name	Filer GIIN	Account No	Country	DocRefID	
1	fdg	000000.00000.DS.001	4654	AG		
2	The makers Inc.	000000.00000.DS.001	1234567	BE		

Account Information

Account Type Individual Entity Financial Type*

Account Closed? Account Dormant? Account Undocument?

Name* VIEW CONTROLLING PERSONS

TIN/EIN Address* Country*

Account Number* Account Balance* Currency Code* Tax Residence Country*

Interest* Dividend* Gross Proceed/Redemption* Others*

Account Information

Please Fill Controlling Person Details

Controlling Person* First Name Last Name*

CP of a legal person - ownership 6 / 100 10 / 100

Date of Birth* TIN/EIN Nationality*

Accepted Date format: YYYY-MM-DD 8 / 250

Address* Tax Residence Country*

#	Name	TIN/EIN	Address	Nationality	
1	Srivastava	TIN123456	Barbados	BB	

Pre requisite: Enter account number to add account under entity.

This page is seen when a user has selected a year and clicked on “Ok” in the previous screen. Here the user provides the reportable account details. The form is broken-down into 4 parts:-

- Account Information
- Add More account



- Substantial Owner Info (FATCA) / Controlling Person Info (CRS)

Note: Controlling Person details not mandatory for Active NFFE's but it is required for Passive NFFE's.

- a. User has to fill all the details which are mandatory & mark as "*" .
- b. User may choose to submit a NIL report in which case only "Filer Details" part will be available.
- c. At the bottom of the screen, a grid/table shows how many entries have been made. Each account forms one row. After filling the form for an account, user clicks on "Add" button to see a new entry in the grid/table. Multiple such "Add" operations may have to be performed depending upon the number of items to be reported
- d. Since an Organization can have multiple owners, the "Substantial Owner (in case of FATCA) / Controlling Person (in case of CRS)" part has its own mini grid/table

Tax Res Country Code Functionality – To add more tax res country code using same account details:

- Select the same account from the "ASSOCIATED ACCOUNTS TAB" to add another Tax Residence Country Code
- Now don't edit any information rather than selecting the second Tax Residence Country Code
- Now click on "ADD" Button to add the second TAX Residence Country Code
- Now after adding you will be able to see the same account with two different Tax Residence Country Code and save the information by pressing "Submit"

Associated Accounts

#	Customer Name	Filer GIIN	Account No	Country	DocRefID	
1	Smith	000000.00000.DS.001	12345	PM		
2	Smith	000000.00000.DS.001	12345	VC		



7.7.2.3. SUBSTANTIAL OWNER - FATCA

The screenshot displays the 'Account Information' section of a system interface. At the top, there are radio buttons for 'Account Type' with 'Individual' and 'Entity' options, and a dropdown for 'Financial Type*'. A 'Please fill Substantial Owner Details' modal form is overlaid on the page. This modal contains the following fields: 'Designation', 'First Name' (with a 0/100 character count), 'Last Name*' (with a 0/100 character count), 'Date of Birth' (with a note 'Accepted Date format : YYYY-MM-DD'), 'TIN*' (with a note 'Accepted TIN formats : 123456789,12-3456789,123-45-6789,AAAAAAAA'), and 'Nationality*'. An 'Address*' field is also present with a 0/250 character count. At the bottom of the modal are 'MODIFY' and 'ADD' buttons, and 'GO BACK!' and 'CONTINUE' buttons. The background form shows 'Entity' selected for 'Account Type' and 'ADD' buttons for 'TIN', 'Address', and 'Interest'.

This image shows the form for and account holder of “Organization” type. There is no “Substantial Owner” part shown for Individual.

Other instructions to fill the form remain similar to Entity Account Holder section.

Note: Account Holder type – Individual or Entity (organization) can’t be changed for an account.



7.8. REPORT STATUS

FI Reporting Lifecycle

This section shows your FI's overall position/stage in the current Reporting Cycle. To understand more about the different stages, please click on the bubble or stage indicator. Every Reporting Cycle, you should strive to reach "Report Successful" stage at the earliest.

SELECT BELOW TO SEE REPORT STATUS

Reporting Status For: CRS

Reporting Year: 2017

Portal Validation
File have been successfully validated

Submit Report | Portal Validation | Tax Authority Verification | Submitted to OECD | RFE by OECD | Report Successful

This page is seen when a user clicks over "Report Status" button on the home page after login. User then selects FATCA / CRS and selects a Reporting Year to view the corresponding report status.

STATUS BAR (XML Submission Only) :

1. Upload File : When USER is successfully able to submit the report
2. Portal Validation : Whether XML have all mandatory TAGs or not
3. Authority Verification : Verification of data from TAX Authority
4. Submitted to IRS / OECD : Status that package has been created and sent to IRS / OECD
5. RFE by IRS / OECD : Request for Evidence (in case of notification received from IRS / OECD for updated submission request for some accounts or all)
6. Report Successful : Successful submission for current reporting year

7.8.1.1. SUBMISSION HISTORY

LATEST SUBMISSION

This section shows the historic status changes on each of your submissions. The status of your latest submission is also depicted here.
Note: This section shows the status of your individual submissions and not the stage where your FI lies in the current Reporting Cycle.

Report Name: CRS_2016_001.xml **Stage:** IRD VERIFICATION
Submission Date: May 21 2018 4:44PM **Status:** InProgress

S.No.	Report Name	Submitted By	Type	Stage	Status	Time Stamp
1	CRS_2016_001.xml	vishal@newgen.co.in	CRS	IRD VERIFICATION	InProgress	May 21 2018 4:44PM
2	CRS_2016_001.xml	vishal@newgen.co.in	CRS	Portal Validation	Successful	May 21 2018 4:44PM
3	testCRS2016Test.xml	vishal@newgen.co.in	CRS	Portal Validation	Failed, errors found	May 21 2018 4:32PM



This page is seen when a user selects “*FATCA/CRS*” and chooses a Reporting Year, as described in Report Status section. User selects the year for which s/he wishes to see the status and clicks on search button to retrieve. The page itself is divided into two parts:-

- FI Reporting Life Cycle – shows the various stages that the submission from FI has to go through. This provides a high level view of the journey i.e. where is the FI in terms of reporting obligation.
- Submission History – shows the status of latest submission as well as a transaction history of all submissions made by the FI users for the corresponding FI. In here, user can see if any submission had failed and download the error report. Based on the issue(s) mentioned in the error report, the user is expected to make a corrected submission before deadline.
The user can view, download and email the failure/success report

Note: A user can attempt any number of submissions but for each year, at least one has to successfully pass “Portal Validation” stage to say submission was made. Only submission that passes successfully through “Portal Validation” will be eligible for sending to IRS / OECD.

In case of failure FI will have submit the same "FATCA1" (New data type XML) XML by just correcting the required data.



7.9. ADMIN APPROVAL

HOME MY INFO **ADMIN APPROVAL** ADMIN REPORT BAM REPORT AUDIT LOG NEED HELP Welcome, Khushdill

1 Users List 2 Financial Institution Details 3 User Details 4 Documents Uploaded 5 Admin Action

Filter Choose entries per page: 5

GIIN	Name	Email	Type	Active/Inactive	Lock/Unlock	New FIs
000000.00000.TA.028	Craig Layne	craig.layne@ab.gov.ag	Admin	Active	Unlocked	No AFIs
000000.00000.DS.001	User Name	fiuser@test.com	FI Admin	Active	Unlocked	No AFIs
000000.00000.DS.005	MOF USER Name	fiuser2@test.com	FI Admin	Active	Unlocked	All Approved
000000.00000.DS.002	Mohit	mohit-sharma@newgen.co.in	FI Admin	Active	Unlocked	No AFIs

HOME MY INFO **ADMIN APPROVAL** ADMIN REPORT BAM REPORT AUDIT LOG NEED HELP Welcome, Khushdill

✓ Users List ✓ Financial Institution Details ✓ User Details ✓ Documents Uploaded 5 Admin Action

Active Locked

Previous Comments
ok

Comments
0 / 1000

← DELETE USER SUBMIT

Admin Approval page is only available for FI Admin

1. Views the list of registered users
2. Can validate the details filled by a user at the time of registration
3. Can download the documents submitted by user at the time of registration

Actions to be performed by Admin:

- Active / Inactive User : Activate / Inactive a user account for authorizing a user for reporting
- Lock / Unlock User : Admin can lock / unlock a user for certain period of time
- Delete User : Admin used can delete a user
- Comment : Comment a user for future reference
- Submit : To update the changes/ action taken



7.10. ADMIN REPORTS

Supported browser(s): Chrome 59+
Powered by Newgen Software Technologies Limited © 2018

Supported browser(s): Chrome 59+
Powered by Newgen Software Technologies Limited © 2018

User GIIN	Registration Date	Country	User Email	User Type	Status
000000.00000.DS.001	2018-08-08 10:59:39.593	AG	fuser@test.com	FI Admin	Active
000000.00000.DS.005	2018-08-08 11:12:55.123	AG	fuser2@test.com	FI Admin	Active
000000.00000.DS.002	2018-08-08 09:06:36.64	AG	mohit-sharma@newgen.co.in	FI Admin	Active

(Accessible only for FI Admin – and can view details of corresponding FI users only)

Admin Reports have different reports which shows real time data.

Different Reports are as follows:

1. All registered User
2. Multiple GIIN
3. Sponsored User

Note : Admin User can View / Email / Download (.pdf format) / Cancel (to go back)



7.11. AUDIT LOG

**Inland Revenue Department
Government of Antigua and Barbuda**

HOME MY INFO ADMIN APPROVAL ADMIN REPORT BAM REPORT **AUDIT LOG** NEED HELP

Welcome, Khushdi

Audit Log

*Logs for last one month is available here

Filter Choose entries per page: 5

S.No.	User Email	IP Address	User Type	GIIN	Activity	TimeStamp
1	khush.dil@newgen.co.in	209.59.100.237	Admin	000000.00000.DS.014	Visited Admin Approval Page	2018/08/09 09:12:22
2	khush.dil@newgen.co.in	209.59.100.237	Admin	000000.00000.DS.014	User Login Successfully	2018/08/09 09:12:17
3	mohit-sharma@newgen.co.in	209.59.100.237	FI Admin	000000.00000.DS.002	Visited Admin Approval Page	2018/08/09 09:11:41
4	mohit-sharma@newgen.co.in	209.59.100.237	FI Admin	000000.00000.DS.002	Submission Mode Validated	2018/08/09 09:10:51
5	mohit-sharma@newgen.co.in	209.59.100.237	FI Admin	000000.00000.DS.002	User Login Successfully	2018/08/09 09:09:06

Supported browser(s): Chrome 59+
Powered by Newgen Software Technologies Limited © 2018

Audit log tracks all the activity a user is performing on the portal

1. FI User : can view only his/her own audit logs
2. FI Admin: can view or monitor activity of all associated FI users.

Filter: Type and search though a keyword.

7.12. NEED HELP

**Inland Revenue Department
Government of Antigua and Barbuda**

HOME MY INFO ADMIN APPROVAL ADMIN REPORT BAM REPORT **AUDIT LOG** **NEED HELP**

Welcome, Khushdi

General Queries

Ques 1. How can a Financial Institution get a GIIN?
Ans. A Financial Institution gets a GIIN on registering with IRS (Internal Revenue Service, US) for FATCA.

Ques 2. Is encryption required for preparing the report?
Ans. No, encryption is not required for preparing and uploading the report by a Financial Institution to CBB AEOI Portal. The report will be an XML as per the IRS FATCA XML Schema ver2.0.

Login Queries

Submitting Queries

Reporting Queries

CONTACT US **HELPFUL LINKS**

- FATCA SCHEMA
- CRS SCHEMA
- CRS USER GUIDE
- FI USER MANUAL
- FATCA IGA DOCUMENT
- REPORTABLE JURISDICTION 2017

Supported browser(s): Chrome 59+
Powered by Newgen Software Technologies Limited © 2018

Page Contains :

1. FAQ – Frequently asked questions



2. Contact Us : Link to view the contact details of IRD
3. Helpful Links: Contains all necessary documents and links. This section also has the user Manual.

7.12.1.FAQ SECTION

User will click on FAQ Tab and this window will pop up on the screen

^ General Queries

Ques 1. How can a Financial Institution get a GIIN?

Ans. A Financial Institution gets a GIIN on registering with IRS (Internal Revenue Service, US) for FATCA

Ques 2. Is encryption required for preparing the report?

Ans. No, encryption is not required for preparing and uploading the report by a Financial Institution to Inland Revenue Department. The report will be an XML as per the IRS FATCA XML Schema ver2.0.

v Login Queries

v Submitting Queries

v Reporting Queries

7.12.2.CONTACT US AND HELPFUL LINKS

User will click on Need help Tab and this window will pop up on the Screen

The screenshot displays a 'Need help' window with two main sections: 'CONTACT US' and 'HELPFUL LINKS'. The 'CONTACT US' section provides the following information:

- Inland Revenue Department** (with a pencil icon)
- Ministry of Finance, Woods Center, St Johns, Antigua and Barbuda
- Working Hours:** Mon - Fri : 8:00 AM to 5:00 PM
- For any queries contact Business Team, Technical Team

The 'HELPFUL LINKS' section contains a vertical list of buttons for the following documents:

- FATCA SCHEMA
- CRS SCHEMA
- CRS USER GUIDE
- FI USER MANUAL
- FATCA IGA DOCUMENT
- REPORTABLE JURISDICTION 2017



7.13. ADDITIONAL FREQUENTLY ASKED QUESTIONS

In this section, some additional frequently asked questions have been described:-

1. Is there a user manual that FIs can go through, describing how to use the portal?

Yes, it would be available for download from the portal directly. Currently however, it may be shared over email by IRD to FIs.

2. For XML upload, there is an option to choose ACTUAL/TEST but not for Manual. Is that a bug?

No, it is intentionally setup that way. XML preparation is a technically challenging task and hence the facility to test some dummy reports before submitting an actual one. Manual option is just about providing the information accurately while the structuring is managed by us. Hence there is no testing facility in manual.

3. When filling manually, there is an option to SAVE but no SUBMIT. How will the report be submitted?

To accommodate the flexibility provided by Manual option, whereby FIs can modify/update their report any number of times, the portal only allows to "SAVE" until FI submission deadline (Portal cutoff date). Once the deadline has passed, saved data gets auto-submitted. After that, updates are allowed but each time FI will have to submit it. In other words, if SAVE is the only option available, please use save and if SUBMIT option is available, please use submit.