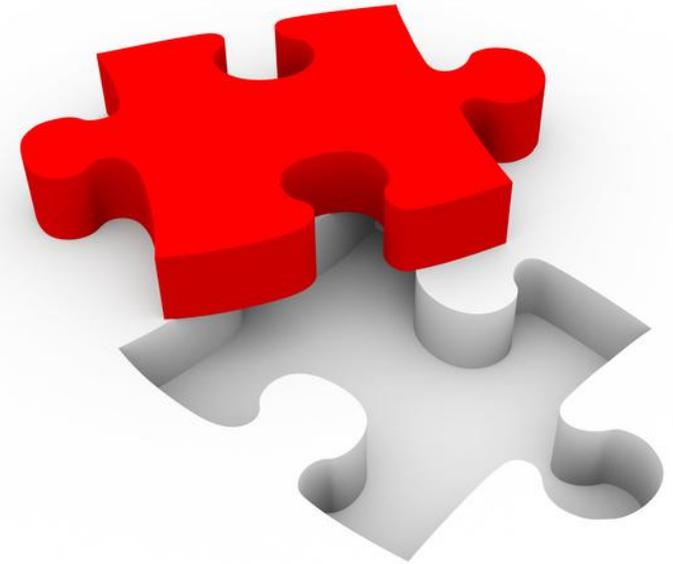


# Automatic Exchange Of Information (AEOI) Reporting Portal

On Behalf of Inland Revenue Department

# Agenda

- [Introduction](#)
- [Features & Functionality](#)
- [Screenshots](#)
- [Demo](#)



# Newgen – Introduction



Global provider of Business Process Management (BPM), Enterprise Content Management (ECM), Customer Communication Management (CCM) solutions



Large & mission-critical solutions deployed at Banks, Governments, BPO's & IT Companies, Insurance firms and Healthcare Organizations.



Platform for 17 different verticals



The company has been recognized by distinguished analyst firms including Gartner and Forrester

- **Strong Presence in Caribbean**
- **30+ FATCA CRS Implementation across Tax Authorities and FIs**

**450+**  
Active Customers

**60+**  
Countries

**37+**  
Patents

**2300+**  
Employees

# AEOI Portal

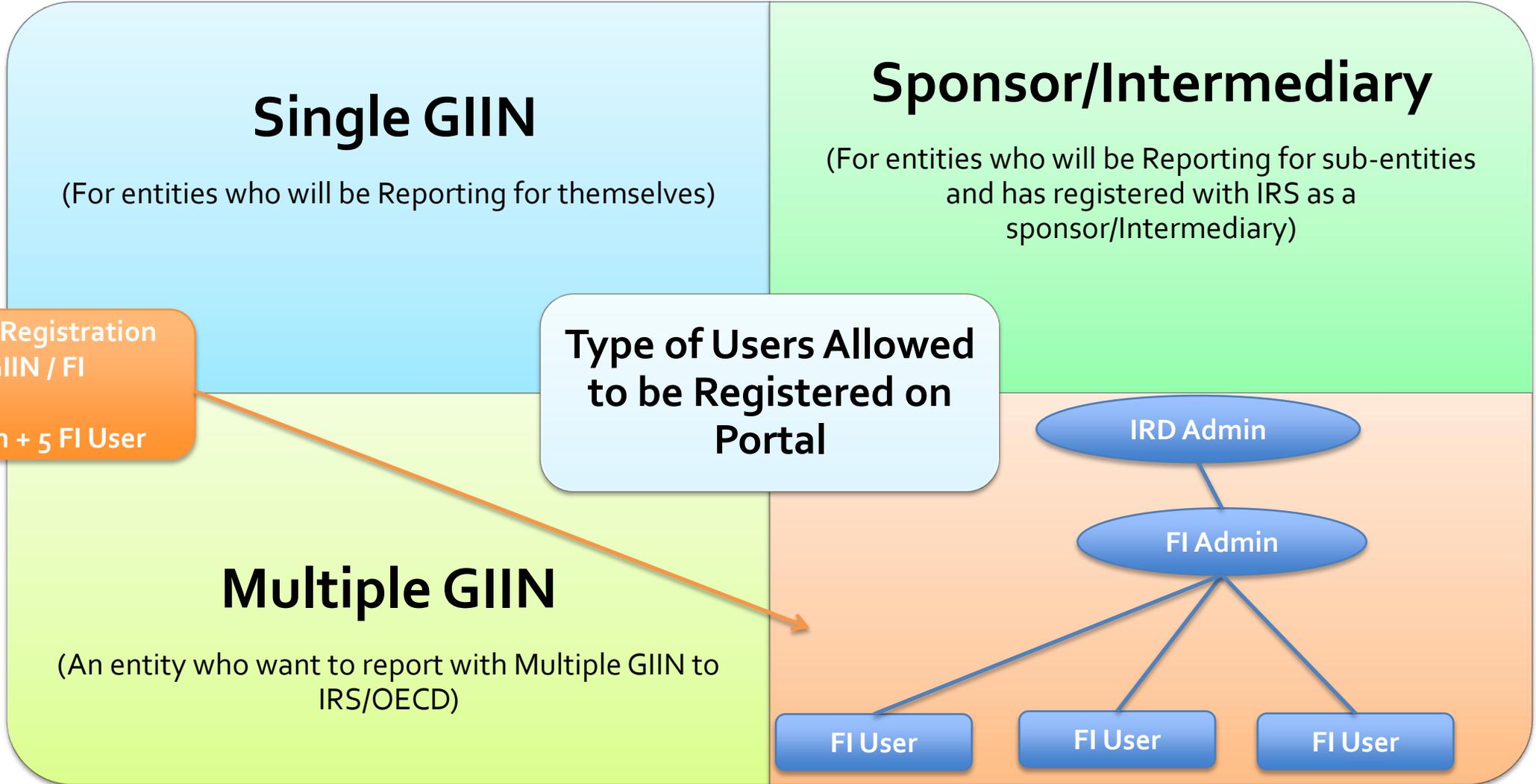
## Features and Functionality

# AEOI Portal – Features



- Reports for FI Admin
- Audit Logs
- FI Admins can also do submission
- Added Validations to ensure you are filling right data
- User Friendly look

# AEOI Portal – Registration



# AEOI Portal – Registration

## Register as Single GIIN

- Allowed only to file reporting of one FI
- Allowed for both FATCA and CRS

## Register as Multiple GIIN

- Allowed to file reporting for multiple FIs but not as sponsor/Intermediary
- Allowed for both FATCA and CRS

## Registration for Sponsor Entities

- Use one email to get registered in **FATCA only as Sponsor**
- Use another email to get registered in **CRS only as Multiple GIIN**

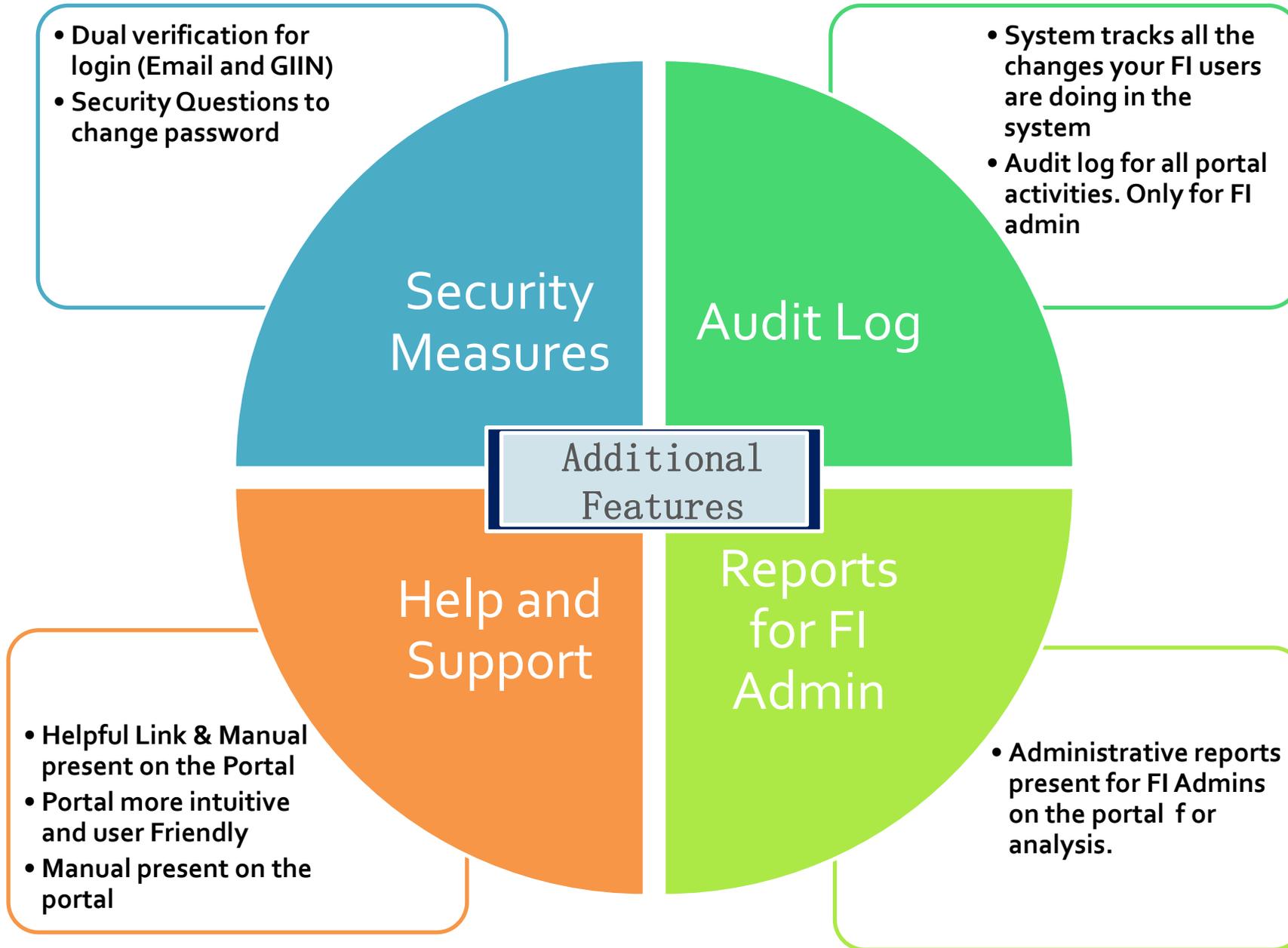
The screenshot shows the 'NEW USER' registration form. It includes fields for 'Email \*' with a 'Send OTP' link, 'OTP \*' (0/6), and 'Captcha \*' (0/6) with a refresh icon. At the bottom, there are checkboxes for 'FATCA' and 'CRS', both of which are checked, and a 'SUBMIT' button.

The screenshot shows the registration form for a Sponsor Entity. It features checkboxes for 'FATCA' (checked) and 'CRS' (unchecked), and a 'SUBMIT' button.

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

# AEOI Portal Additional Features



# FATCA/ CRS SUBMISSION SCREENSHOTS



# Registration and Login

# Login Page



**Inland Revenue Department  
Government of St. Vincent and the Grenadines**

Last date for report submission for FATCA is 2018-12-31      Last date for report submission for CRS is 2018-12-31

[HOME](#)    [NEED HELP](#)

## Welcome to the IRD 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.

**EXISTING USER**    **NEW USER**

Email \*      [Send OTP](#)

OTP \*      0 / 6

[Forgot Password?](#)

**LOGIN**

One Time Password  
Valid for 15 mins

Login Page : Login Page is designed to register as a new user or existing user can login on selecting of appropriate option.

# New User



## Inland Revenue Department Government of St. Vincent and the Grenadines



Last date for report submission for FATCA is 2018-12-31      Last date for report submission for CRS is 2018-12-31

[HOME](#)    [NEED HELP](#)

### Welcome to the IRD 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.

**EXISTING USER**    **NEW USER**

Email \*  
vishals@newgen.co.in      OTP SENT

OTP \*  
765963      ← One Time Password  
OTP Valid for : 14:34      6 / 6

Captcha \*  
1m8g8j      Valid for 15 mins  
6 / 6

FATCA     CRS    **SUBMIT**

Login Page : Login Page is designed to register as a new user or existing user can login on selecting of appropriate option.

# Registration Page

Inland Revenue Department  
Government of St. Vincent and the Grenadines

Last date for report submission for CRS is 2018-12-31

HOME REGISTRATION NEED HELP

1 FI Details 2 User Details 3 Doc Upload 4 Security Details

Register as FI Admin? FI Type\* Single GIIN

GIIN\* Email\* Name\*

IN Address\* Nationality\*

Filer Category\*

7 / 100

First user from the FI will mandatorily be allowed as the FI admin

FI admin will also be allowed to submit the report and do the submission

Two type of document (only PDF) need to be uploaded

1 FI Details 2 User Details 3 Doc Upload 4 Security Details

**Identity Proof**

Drag & Drop Document(.pdf format) to upload

(Maximum size of pdf should be less than 5MB)

**Authorization Letter**

Drag & Drop Document(.pdf format) to upload

(Maximum size of pdf should be less than 5MB)

# My Info Page

FI  
Details

**Inland Revenue Department**  
Government of St. Vincent and the Grenadines

Last date for report submission for FATCA is 2018-12-31 | Last date for report submission for CRS is 2018-12-31

HOME MY INFO ADMIN APPROVAL ADMIN REPORT BAM REPORT AUDIT LOG NEED HELP | Welcome, Vaibhav

### Organization Details

GIIN *	Email *	Name *
000000.00000.TA.670	svg.fatca@ird.gov.vc	Inland Revenue Department
IN	Address * Kingstown	Nationality * VC-SAINT VINCENT AND THE GRENADINES
Filer Category * PFFI	9 / 100	

You can now edit your details.

Post changes made account will go to Admins for verification & approval again. Till the time account gets approved, account will remain locked.

### Personal Details

Email *	Name *	Gender *
fiadmin@test.com	FI Admin	Male
Address *	Nationality *	Date of Birth *
Bahrain	BH-BAHRAIN	4/30/2000
7 / 150	Designation *	TIN
34567	FI Admin	

Personal  
Details

### Security Details

Password		
Security Question 1 *	Answer *	Hint
What is your favourite movie ?	newgen	newgen
6 / 30	6 / 20	
Security Question 2 *	Answer *	Hint
Childhood nickname ?	newgen	newgen
6 / 30	6 / 30	

Security  
Details



**Approval from IRD/FI Admin**



# Admin Approval Process



First User  
Registration will  
always be registered  
as FI admin

C  
A  
S  
E  
1

System will automatically initiate the first registration of a FI as Admin. This admin user would be approved by IRD admin after verification

---

First FI User  
Registration



Other Users can get  
registered as  
FI Admin / FI User

C  
A  
S  
E  
2

Any other registration will be provisioned to register either as FI admin (restricted to 2 users) or FI User

---

FI User  
Registration with  
Same GIIN



Locked / Inactive FI  
User can be  
unlocked/activated  
either by FI Admin or  
IRD Admin

C  
A  
S  
E  
3

In case FI Admin gets locked then unlocking or activation can be done by other FI admin of the FI (if present) or IRD admin

Locked  
User/Inactive  
user



# Admin Approval Page

To verify the data filled by user at the time of registration

Click on any row in this GRID

Last date for report submission for CRS is 2018-12-31

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

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

Choose entries per page: 5

GIIN	Name	Email	Type	Active/Inactive	Lock/Unlock	New FIs
000000.00000.DS.001	vaibhav singh	vaibhav.singh@newgen.co.in	FI Admin	Active	Unlocked	No AFIs

**Inland Revenue Department**  
Government of St. Vincent and the Grenadines

Last date for report submission for CRS is 2018-12-31

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

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

Active  Locked

Previous Comments approved

Comments

0 / 1000

**Active / Inactive User** **Lock / Unlock User**

DELETE USER SUBMIT



# Admin Reports

## Choose a Report Type

ALL REGISTERED USER

REPORT SUBMISSION OF GIIN

MULTIPLE GIIN USERS

SPONSORED USERS

Select below option to generate a report for All Registered Users

VIEW REPORT

Admin Reports :  
 These reports are only accessible to FI admin for the FI admin.  
 These will not be visible to any FI user

Sample Report
✕

All Registered Users



Single GIIN, 1



User GIIN	Registration Date	Country	User Email	User Type	Status
000000.00000.DS.001	2018-07-09 14:33:42	AD	vaibhav.singh@newgen.co.in	FI Admin	Active

CANCEL
EMAIL
DOWNLOAD

# Audit Log and Feedback Page

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

## Audit Log

\*Logs for last one month is available here

Choose entries per page: 5

S.No.	User Email	IP Address	User Type	GIIN	Activity	TimeStamp
1	vaibhav.singh@newgen.co.in	127.0.0.1	FI Admin	000000.00000.DS.001	Visited Admin Approval Page	26/07/2018 21:49:52
2	vaibhav.singh@newgen.co.in	127.0.0.1	FI Admin	000000.00000.DS.001	Visited Admin Approval Page	26/07/2018 21:49:40
3	vaibhav.singh@newgen.co.in	127.0.0.1	FI Admin	000000.00000.DS.001	User Login Successfully	26/07/2018 21:49:26
4	vishal@newgen.co.in	127.0.0.1	FI Admin	000000.00000.DS.001	New User Registered	25/07/2018 14:09:11
5	email@fs.co.bb	127.0.0.1	FI User	000000.00000.DS.001	New User Registered	25/07/2018 11:44:11

It tracks all the activities of a user

Feedback and suggestions to improve the portal functionality

HOME NEED HELP

## User Feedback

★★★★★

Awesome

Feedback \*

Kindly provide Name, FI Name and comments in this section.

0 / 500

CANCEL SUBMIT



# Report Submission from FI

XML Submission

Manual Data Entry

# XML upload

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

Select Details for Submission.

Reporting For \*  
CRS

Reporting Year \*  
2017

Report Submission Mode \*  
XML

XML Upload

XML upload should be as per the OECD guidelines for XML 1.0 schema.

[CRS SAMPLE XML 1.0](#)

Manual Form

Enter the details of all the accounts manually.

**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.

- User needs to select compliance type as FATCA or CRS.
- Reporting year for submission of report
- Submission mode which is selected for XML upload or Manual data entry

You can download the sample CRS and FATCA XML from here

Submission Type : Actual for actual reporting and Test for validating the XML format

Data Type : For selecting the type of report whether it is a new data or corrected data

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

**UPLOAD A FILE** [OECD GUIDELINES](#) [CRS SAMPLE XML 1.0](#)

Submission Type \*  
Actual

Data Type \*  
New Data

**FATCA XML2.0/CRS XML1.0**

Drag and drop the FATCA XML2.0/CRS XML1.0 file here or click to upload

(Maximum size of XML should be less than 10MB)

Drop your XML Here

SUBMIT REPORT



# Manual Submission Page

## Select Details for Submission.

Reporting For \*  
CRS

Reporting Year \*  
2017

Report Submission Mode \*  
Manual



### XML Upload

XML upload should be as per the OECD guidelines for XML 1.0 schema.

[CRS SAMPLE XML 1.0](#)

### Manual Form

Enter the details of all the accounts manually.

#### 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.

Details to be selected from the dropdown for manual submission

GIIN Validation.

Fill the right GIIN to proceed further

### Filer Details

GIIN/IN  
 000000.00000.DS.001

Name of the Filer  
 The Bank

Address of the Filer  
 Kingtown

Nationality  
 US-UNITED STATES

Submit NIL Report

NIL Reporting Button

Associated Accounts

[ADD MORE ACCOUNTS](#)

# Manual Submission Page

Already added accounts will be visible in this Section

## Associated Accounts

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

Account Information to be filled manually by FI

## 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 \*  8 / 250

Country \*

Account Number \*  11 / 50

Account Balance \*  0  Currency Code \*

Tax Residence Country \*

Interest \*

Dividend \*

Gross Proceed/Redemption \*

Others \*

After filling all the details click on add button

ADD

In Case of Entity

Details to be filled for controlling person for CRS and Substantial owner detail incase of FATCA

After filling all the accounts click on SAVE

Its good practice to keep saving your data after every few minutes by clicking on SAVE

SAVE

# JOINT Account case

## Single person with multiple reportable Tax residency Case

Account Information

Account Type  Individual  Entity Financial Type \* Custodial Account

Account Closed?  Account Dormant?  Account Undocument?

First Name John 4 / 100 Last Name \* Smith 5 / 100 Date of Birth \* 5/1/2000

TIN Address \* Bahrain Country \* PM-SAINT PIERRE AND MIQUELON

Account Number \* 12345 5 / 50 Account Balance \* 0.00 Currency Code \* AED-UAE Dirham 7 / 250 Tax Residence Country \* PM-SAINT PIERRE AND MIQUELON

Interest \* Dividend \* Gross Proceed/Redemption \* Others \*

**ADD**

### STEP 1

- Enter all the mandatory Account details in the manual form with first Tax Residence Country code
- Click on "ADD" button to add the account details in "ASSOCIATED ACCOUNTSTAB"

Associated Accounts

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

### STEP 2

- Select the same account from the "ASSOCIATED ACCOUNTSTAB" to add another Tax Residence Country Code/detail of second holder
- Now don't edit any information rather than selecting the second Tax Residence Country Code

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		

### STEP 3

- Now click on "ADD" Button to add the second TAX Residence Country Code /Joint account holder
- 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"



## 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 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).

### 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.

# Report Status Page

## 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

File Status



Submission History of each XML

### 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

### XML VALIDATION REPORT

ErrorReporting Page

#### Error report :-

File Name :- CRS\_Test.xml  
Type of File :- Original\_data  
File Upload Date and Time :- 2018-07-10T08:26:59:423Z

XML Error Description :- SendingComapnyIN is not matching with USERGIIN

CANCEL EMAIL **DOWNLOAD**

# Report Status Page

## 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

File Status



Submission History of each XML

### 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

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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

### Success Report

Your file has been uploaded on portal successfully and is in progress under portal validation. To see your uploaded xml click on below button

DOWNLOAD ↓

The downloaded XML will be password protected.

The password to open the file is a combination of the first 4 characters of the username and the date of birth in the format yyyyymmdd.

For example: In case your username is example@fatca.com and the date of birth is Jan 30,2002 or 01/30/2002 or 2002-01-30 then the password will be exam20020130

In case still you are not able to open the document then please write to BRA Administrator.



# Other sections

Last date for report submission for FATCA is 2018-12-31 Last d:

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

^ 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.

v Login Queries

v Submitting Queries

v Reporting Queries

**CONTACT US** **HELPFUL LINKS**

FATCA SCHEMA

CRS SCHEMA

CRS USER GUIDE

FI USER MANUAL

FATCA IGA DOCUMENT

REPORTABLE JURISDICTION 2017

FAQs

Download the user manual here

**CONTACT US** **HELPFUL LINKS**

**Inland Revenue Department**

Halifax Street, Kingstown

Working Hours:  
Mon-Fri: 8:30 am to 04:15 pm

fatcairdsvg@gmail.com

**Forgot Password** ×

Email \* Send OTP

OTP \* 0 / 6

# FAQ Points

- Only 2 ways to report for FATCA and CRS (XML Submission or Manual Data Entry)
- Once initiated with XML submission user cannot do Manual submission for same reporting year for that specific compliance type. So if user has submitted the XML for FATCA, then he cannot do manual submission for FATCA in that year. But he can do the manual entry for CRS.
- User can with to test XML as many times they want. Test XML has a different XML which has been defined by IRS and OECD.
- XML submission will be different for FATCA and CRS in same reporting year
- Maximum 7 users per GIIN/ per 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 IRS
- All the FI user will be allowed to register with same registration type as FI admin has registered.
- FI admin is also allowed to do the reporting in addition with other features from FI user
- FI admin can track the audit log for all the associated FI user whereas FI user is allowed to track only his/her activity.
- GIIN is mandatory to report either for FATCA or Both(FATCA, CRS) together.
- In Manual submission user can modify/delete/add account details any number of times till the Portal cutoff date to submit the report .
- 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
- User can register only for :
  - FATCA – Single GIIN / Multiple GIIN / Sponsor
  - CRS – Single GIIN / Multiple GIIN
  - Both – Single GIIN / Multiple GIIN

# FATCA/ CRS SUBMISSION DEMO



[Agenda](#)

[End](#)

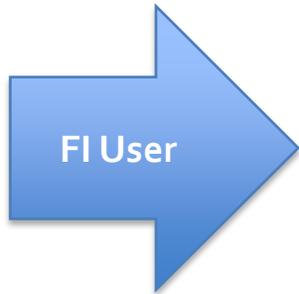




# DEMO SCRIPT

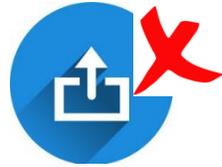


New FI User  
Registration



IRD Admin User  
Approval

C  
A  
S  
E  
1



Upload Incorrect  
XML File

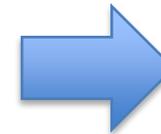


Automatically  
checked by Portal  
for XML format or  
other errors

C  
A  
S  
E  
2



Upload Correct  
XML File



Reports

C  
A  
S  
E  
3



Manual Data Entry

Thank You !!