

FATCA group requests: Important update rules for SEI XML and FATCA XML

See also the following sections of the document «FATCA Information Delivery - Technical Specification and User Guide for Financial Institutions according to FATCA IGA 2» of the FTA (SEI User Guide) at

<https://www.estv.admin.ch/estv/en/home/international-fiscal-law/administrative-mutual-assistance/administrative-assistance-fatca.html>:

- 4.2.1 Basic File Name Convention
- 4.3.2 Delivery File
- 4.4.2 Update Information Package
- 4.5.1 SEI-XML file
- 4.5.2 Documentation PDF file
- 4.5.3 FATCA-XML file
- 5. SEI-XML Specification (SEI XML element SEIDossierUpdate)

General rules if the delivery has not yet been transmitted to the IRS:

1. The element DocRefID within the element DocSpec of the element AccountReport in the FATCA XML must be new (unique). This new (unique) DocRefID must also be indicated in the SEI-XML element DocRefID.
2. Hence, the elements FATCAxmlUpdate and SEIxmlUpdate of the SEI XML must contain the following value: «Yes».
3. In the element DocTypeIndic within the element DocSpec of the FATCA XML the following value must be used: «FATCA1» (not «FATCA2», «FATCA3» or «FATCA4», because the FATCA XML has not yet been submitted to the IRS).
4. The following elements of the FATCA XML should not be used: CorrMessageRefId and CorrDocRefId.

Update deliveries must be limited to the cases, for which such update is needed (no redelivery of all cases as update information package).

→ According to the SEI User Guide, the naming convention of the first update delivery should look like this (example):

First update

631.3-2020-US-2019-1234-0001-01.zip – Update of dossier 000001 and 000002:

631.3-2020-US-2019-1234-000001-01.zip
631.3-2020-US-2019-1234-000001-01.pdf
631.3-2020-US-2019-1234-000001-01.xml
631.3-2020-US-2019-1234-000001-FATCA-01.xml

631.3-2020-US-2019-1234-000002-01.zip
631.3-2020-US-2019-1234-000002-01.pdf
631.3-2020-US-2019-1234-000002-01.xml
631.3-2020-US-2019-1234-000002-FATCA-01.xml

Please note: Do **not** send any **update delivery** if you need to change the SEI-XML element “AccountPoolReportType” for a delivered case. In such a case, a **new initial delivery** needs to be delivered to the FTA (new SEIDossierNumber). Please contact the FTA prior to sending a new initial delivery for the same case. For the general rules see above, with the exception of the second rule.