Oracle Financial Services
FATCA Management
Configuration Guide

Release 1.0
January 2013

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About this Guide

This guide explains the structure behind the Oracle Financial Services Foreign Account Tax Compliance Act (OFS FATCA) Management application and provides comprehensive instructions for configuring modifiable components.

This chapter focuses on the following topics:

- Who Should Use this Guide
- Scope of this Guide
- How this Guide is Organized
- Where to Find More Information
- Conventions Used in this Guide

Who Should Use this Guide

The *Oracle Financial Services Foreign Account Tax Compliance Act Management Configuration Guide* is designed for use by Oracle Financial Services Installer and System Administrators. These users should have functional knowledge of OFS FATCA Management application and UI software components. Their roles and responsibilities, as they operate within the *Oracle Financial Services Foreign Account Tax Compliance Act Management application*, include the following:

- **Oracle Financial Services Installer:** This user installs and configures the Oracle Financial Services Applications and the client-specific solution sets at a deployment site. This user also installs, upgrades, and additional solution sets. It requires access to deployment-specific configuration information (for example, machine names and port numbers).

- **System Administrator:** This user configures, maintains, and adjusts the system and is usually an employee of a specific Oracle Financial Services client. The System Administrator maintains user accounts and roles, archives data, and loads data feeds.

Scope of this Guide

This guide provides detailed instructions for configuring the Oracle Financial Services Foreign Account Tax Compliance Act Management application for all configurable features as defined in. Configuring the application requires an understanding of, and ability to work with, databases. Configurable parameters are maintained in a Database table, which can be configured by executing simple update statements detailed in this guide. The Behavior Detection Platform provides the foundation for Oracle Financial Services solution sets. It provides an open and scalable infrastructure that supports rich, end-to-end functionality across all Oracle Financial Services behavior detection solution sets as well as Oracle Financial Services Foreign Account Tax Compliance Act Management application. This guide contains instructions on how to configure components of the system.

Note: Oracle Financial Services Software, Inc. supports the configurable items that this guide describes. It does not support any customizations made outside these items and cannot be held responsible for the outcome of such changes.

How this Guide is Organized

The *Oracle Financial Services Foreign Account Tax Compliance Act Management Configuration Guide,* includes the following topics:

- Chapter 1, *OFS FATCA Management User Setup,* describes how to create FATCA users and map them to the appropriate user role.

- Chapter 2, *Creating Jurisdiction and Data for IRS Published FFIs in Database,* describes how to create jurisdiction in the database and also how to create data for IRS published FFI in the database.

- Chapter 3, *Configuring FATCA Status Parameters,* describes how to configure the FATCA status parameters.

- Chapter 4, *Batch Execution in FATCA Management,* describes about batch execution in FATCA.

Where to Find More Information

For more information about the Oracle Financial Services Foreign Account Tax Compliance Act Management application, refer to the following documents:

- *Oracle Financial Services Behavior Detection Platform Administration Guide*

- *Oracle Financial Services Behavior Detection Platform Installation Guide - Stage 1*

- *Oracle Financial Services Foreign Account Tax Compliance Act Management Installation Guide - Stage 3*

- *Oracle Financial Services Foreign Account Tax Compliance Act Management User Guide*

To find additional information about how Oracle Financial Services solves real business problems, see our website www.oracle.com/financial services.

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

Convention	Meaning
Italics	- Names of books, chapters, and sections as references - Emphasis
Bold	- Object of an action (menu names, field names, options, button names) in a step-by-step procedure - Commands typed at a prompt - User input
`Monospace`	- Directories and subdirectories - File names and extensions - Process names - Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	Substitute input value

CHAPTER 1

OFS FATCA Management User Setup

There are some predefined user roles for accessing OFS FATCA application. This chapter discusses about the steps to provide access to the users in the application.

This chapter includes the following topics:

- Creating Users
- Managing User Group and User Roles

Creating Users

This section explains how to create users and provide access to OFS FATCA Management application. OFS FATCA application has pre-defined user roles for accessing the application.

To set up a user and provide the user access to OFS FATCA application, follow these steps:

1. For creating users, refer to *Oracle Financial Services Analytical Applications Infrastructure User Manual Release 7.3*.

2. Once the users are created, map the users to the pre-defined user groups, which in turn map to a user role.

Note: For more information about the above sections, refer to *Oracle Financial Services Analytical Applications Infrastructure User Manual Release 7.3*.

The following table describes the pre-defined user groups and their roles:

Table 2. User Group Code and Properties

User Role	User Group Code	User Group Properties
Administrator User	FATCAADMN	Users mapped to the FATCA ADMN group can perform the following actions: ● Execute FATCA Batches. ● Use the Account Status menu to edit attributes associated with a FATCA account class and other common attributes. ● Use the Customer Status menu to set the priority of FATCA statuses for the Individual and Entity customer types.

Table 2. User Group Code and Properties

User Role	User Group Code	User Group Properties
Analyst User	FATCAANYST	Uers mapped to the FATCAANYST group can use the FATCA Accounts menu to search FATCA assessments.

Mapping Users to User Group

This section discusses about mapping the users to the user group.

● If the users need to have FATCA Admin role then user should be mapped to a FATCA Administrator user group.

● If the users need to have FATCA Analyst role then users should be mapped to FATCA Analyst user group.

For more information about User to User Group mapping, refer to *Oracle Financial Services Analytical Applications Infrastructure User Manual Release 7.3*.

CHAPTER 2 *Creating Jurisdiction and Data for IRS Published FFIs in Database*

Internal Revenue Service (IRS) has a list of participating Foreign Financial Institutions (FFI) who are regarded as registered deemed-compliant FFIs having a valid withholding certificate establishing the payee's foreign status. The FFI list will also include the Foreign Financial Institution Employer Identification Number (FFI EIN), which are used to identify an entity. Each FFI member will be assigned a unique Foreign Account Tax Compliance Act Identifier (FATCA ID) to be used in completing the registration process and associating FFI group members with the FFI group.

Records from the Oracle Financial Services client that the Ingestion Manager loads must be identified with a jurisdiction. Users of the system must be associated with one or more jurisdictions. You can use a jurisdiction to divide data in the database. For example, the division of data based on geographical boundaries, such as countries are classified under geographical jurisdiction.

This chapter includes the following topics:

- Creating Jurisdiction in the Database
- Entering FATCA IDs for Customers in Database

Creating Jurisdiction in the Database

This section explains how to create jurisdiction in the Database.

To create a jurisdiction in the database, follow these steps:

1. Add the appropriate record to the KDD_JRSDCN database table under Alert Management Schema. The following table describes the attributes.

Table 3. KDD_JRSDCN Table Attributes

Column Name	Description
JRSDCN_CD	A code (one to four characters) that represents a jurisdiction (for example, N for North, or S for South).
JRSDCN_NM	Name of the jurisdiction (for example, *US*).
JRSDCN_DSPLY_NM	Displays name of the jurisdiction (for example, *DN of United States*).
JRSDCN_DESC_TX	Description of the jurisdiction (for example, *Northern US* or *Southern US*).

2. Add records to the table by using a SQL script.

For example,

```
insert into kdd_jrsdcn (jrsdcn_cd, jrsdcn_nm, jrsdcn_dsply_nm,
jrsdcn_desc_tx) values('US','US','DN of United States','United
States');
commit;
```

Note: This jurisdiction code should match with the SRC_JURISDICTION_CODE value provided under GRC_InstallConfig.xml at the time of installation.

Entering FATCA IDs for Customers in Database

This section explains how to enter data for IRS Published FFIs in Database.

To enter data for IRS published FFIs in the database, follow these steps:

1. Add the appropriate record to the DIM_IRS_FFI_LT FATCA Atomic Schema.

    Refer below table for description.

Table 4. DIM_IRS_FFI_LT Table Attributes

Column Name	Description
CUST_INTRL_ID	Customer ID of account holders who are present in the IRS published list of FFIs. This Should match with Cust_Intrl_Id in Customer table of Business Schema.
FATCA_INTRL_ID	Associated FATCA ID for the customer provided by IRS in the list.

2. Add records to the table by using a SQL script.

    For example,

```
insert into dim_irs_ffi_lt(cust_intrl_id,fatca_intrl_id) values
('FATCUNPFI-097','1001');
commit;
```

CHAPTER 3 *Configuring FATCA Status Parameters*

The FATCA status of customers will be derived from the FATCA status of the account(s) held by them. If the customers are associated to only one account, or if all their accounts have the same FATCA status, then the customers will have the same FATCA status as the account(s).

If the customers are associated to more than one account which do not have the same FATCA status, then amongst all such statuses, the one with the highest priority will be assigned to the customers.

This chapter includes the following topics:

- Configuring Account Opening Cut-off Date
- Configuring Attribute Values for FATCA Account Classes
- Managing FATCA Customer Status

Configuring Account Opening Cut-off Date

The account opening cut-off date is defined by IRS. The Account Opening Cut-off Date attribute is a common parameter based on the value of the country field. This section explains how configure the cut-off date.
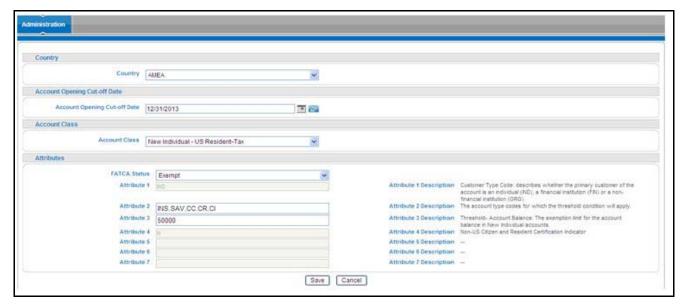

Figure 1. Configuring Common Attributes

To configure the account opening cut-off date, follow these steps:

1. In the Administration menu, select **Account Status**.

2. Select the country name from the **Country** drop-down list.

3. Select the **Account Opening Cut-off Date** using the calendar icon and click **Save**. The following message displays: *This change has been successfully saved.*

4. Click **OK**. The Account Opening Date is updated successfully.

Configuring Attribute Values for FATCA Account Classes

This section describes how to configure the different attributes for FATCA account classes. These attributes are used by FATCA rules for identifying the FATCA status of accounts. Different attributes are associated with each account class. Some attributes are configurable.

To configure account class-specific attributes, follow these steps:

1. In the Administration menu, select **Account Status**.

2. Select the country name from the **Country** drop-down list.

3. Select the FATCA Account Class for the attribute you want to update from the **Account Class** drop-down list. The attributes associated with the selected FATCA Account Class display.

The following table describes the account classes and their configurable parameters.

Table 5. FATCA Account Class and Configurable Attributes

FATCA Account Class	Configurable Attributes
New Individual - Exempt	FATCA Status, Account Type, Account Balance.
New Individual - US Resident-Tax	FATCA Status, Account Type, Account Balance.
New Individual - Non US Resident-Tax	FATCA Status, Account Type, Account Balance.
New Entity - US	FATCA Status
New passive - NFFE - US	FATCA Status
New passive - NFFE - Non US	FATCA Status
New Active NFFE	FATCA Status
New Participating Financial Institution	FATCA Status
New Non-Participating Financial Institution	FATCA Status
New Non-Participating Financial Institution-Exempt	FATCA Status

4. Update the pertinent attribute values and click **Save**. The following message box displays: *The changes have been successfully saved.*

5. Click **OK**. The selected account class attributes are successfully updated.

Managing FATCA Customer Status

There is default priority for each FATCA status. These priorities are used to determine the FATCA status of customer.

You can configure the priority of the FATCA status from the Customer Status Administration screen. There are two set of priorities for customer types, namely Individual and Entity.

To set the priority of the FATCA status, follow these steps:

1. Select the Customer Status from the **Administration** menu.

2. Select the Country Name from the **Country** drop-down list.

3. Select the customer type from the **Customer Type** drop-down list (for example, Individual or Entity).

4. The associated FATCA statuses and their priorities display.

Figure 2. Customer Status Administration Screen

5. Select the check box for the FATCA status and enter the priority numbers.

6. Click **Save** to update the priority numbers. The following message displays: *Update Operation Successful*.

7. Click **OK**. The priority numbers are successfully updated for the FATCA statuses.

CHAPTER 4 — *Batch Execution in FATCA Management*

There are batches to identify the FATCA status of an account, which are predefined in the application that runs the FATCA rules.

The following are the two types of batches, which are predefined in the application:

1. `<INFODOMNAME>_DI`: This batch is to be executed only once during deployment and the purpose of the batch is based on the account opening cut-off date. After the installation of OFS FATCA Management application, run this batch to assess the status of account and the customers based on the account opening cut-off date.

2. `<INFODOMNAME>_CHG_LOG`: If there are any changes in the information of existing assessed accounts and customers then run this batch to update the FATCA status .

Note: While running `<INFODOMNAME>_CHG_LOG` batch, the Information Date must be greater than the last used Information Date for either batches. Otherwise, the batch execution will not be successful. The frequency of this batch execution depends on the frequency of change in account and customer information. For more information on how to run batch execution in OFS FATCA Management application, refer to *Oracle Financial Services Analytical Applications Infrastructure User Manual Release 7.3.*