

# Foreign Account Tax Compliance Act

## FATCA

### Online Registration

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Entities who cancel their FATCA agreement or have their agreement terminated by the IRS must complete a periodic certification within six months.

**NOTE:** Failing to submit a periodic certification, when required, is an event of default that could cause termination of you and your associated entities' FATCA status and result in the removal from the next published FFI list.

### **5.5.1 How to Submit a Periodic Certification**

You will receive a message board message and an email to the RO notifying you that your periodic certification is available to complete and submit. The periodic certification link will be on your home page.

1. **Click on Periodic Certification link**
  - Locate the link in the account options section of your home page. The link will display once the

certification period has opened. If you are in Approved status and have previously submitted a certification for the current cycle, a warning will appear to confirm you'd like to submit another certification. A warning will not display for member FIs whose lead has submitted a certification on their behalf.

2. If you previously accessed the link and exited at the instructions page or further, without submitting the certification, when you return, you will go directly to the instructions page. Any information you saved will be present when you return to the certification, except for selections of member FIs (on Lead FI certifications only) and sponsored entities (on Sponsoring Entity certifications only).

### **Confirm or Modify FATCA**

**Classification** – Choose or confirm

the FATCA classification selected or modify if it is incorrect. Lead FIs with a classification Participating FFI (including a Reporting Financial Institution under a Model 2 IGA), Reporting Financial Institution under a Model 1 IGA, or

U.S. Financial Institution must also determine if they will act as a compliance FI of a consolidated compliance group. Changing the FI's FATCA classification here will change the classification in the registration as well. See Question 4 of your FATCA online registration for more details.

3. **Confirm or Modify suggested certification type and period** - The FATCA online registration system will determine if an FI is required to submit a periodic certification based on the FI's country/jurisdiction of tax residence, FATCA classification and if the FI has

any branches or sponsored entities for which it needs to certify. Follow the appropriate steps below based on the system's determination.

### **System Determines Certification is Required**

If the system determines you are required to complete a certification, it will suggest a certification type based on the FI's FATCA classification and country/jurisdiction of tax residence and a certification period for the FI. The certification period determined by the system is based on the effective date of the FFI agreement or the date a GIIN was issued for entities that do not enter into an FFI agreement (e.g., Direct Reporting NFFEs). This is referred to as the "effective date" for purposes of this user guide.

- Select “yes” to continue with the suggested certification type and certification period.
- Select “no” to select a different certification type or to change the certification period. Then select a different certification type or certification period. The certification period’s start date cannot be earlier than the FI’s effective date.

**NOTE:** If the modified period does not cover the entire certification period, after submitting the certification, you will be asked if you want to submit an additional certification.

### **System Determines Certification is Not Required**

If the system determines the FI is not required to submit a periodic

certification for the certification period, you can still submit a certification.

- Select “yes” to submit a certification. Select a certification type from the options available in the drop-down list. If you want to change the dates, the certification period start date cannot be earlier than the FI's effective date. The certification period end date cannot be later than the certification period's end date.
- Select “no” if you agree that you are not required to submit a periodic certification. The system will direct you to the FI home page. The system will update the periodic certification status to “Not Required”.

**NOTE:** For FIs not required to submit a periodic certification, the process



ends here if you choose not to submit a certification

**Instructions page** - Read the instructions for the periodic certification. This explains the sections you will be completing. Be aware, if you exit the certification after the instructions page or further, when you return, the process will restart at the instructions page and you are unable to change your classification from the certification link.

4. **Identifying Information** – Confirm the responsible officer (RO) information and make updates as needed. Any updates made will be saved to your registration account. You will also need to describe the entity's business/ lines of business and, for PFFI and compliance FI, identify the type of financial institution.
  - a. Trustee of a Trustee Documented Trust – If the trustee had any

trustee documented trusts that were subject to a Model 2 IGA, select “yes” and add the legal name of each trustee-documented trust to be included in the certification as well as the country/jurisdiction (maximum 1000 trusts).

For subsequent certifications, the system will display the list of trustee-documented trusts that were included in the previous certification. If the trustee did not have any of trustee-documented trusts that were subject to a Model 2 IGA, select “No” and the certification status will be updated to submitted.

- b. For a Sponsoring entity of sponsored FFIs and sponsored direct reporting NFFEs, RO must complete both the sponsored FFIs

certification and the sponsored direct reporting NFFEs before being able to submit the periodic certification. The certification status will not be changed to submitted until both parts are completed and the FI “clicks” the submit button on the summary page.

5. **Options for Certification** - This section includes options for the FI to indicate whether it is completing the periodic certification, is unable to complete the periodic certification, or doesn't have to complete periodic certification. If you select the option for completing the periodic certification, you will then be prompted with the certification questions. If you select the option unable to complete or not required to complete the periodic certification, you

will be required to provide a reason or explanation. For FIs unable or not required to complete a periodic certification, after selecting the radio button and providing a reason, the certification status will appear as Submitted and the result is displayed. You will be returned to the home page and a confirmation message will be on your message board.

6. **For Lead FIs and Sponsoring Entities FIs only** - If applicable, select members or sponsored entities. Select the entities to include in the certification. All eligible entities will be displayed. There may be multiple pages of members/sponsored entities. The user may select all eligible entities by checking the box above the table or select all the entities on a single page by checking the top box on the table.

If a periodic certification has been submitted by or for a member, the most recent submission date appears in the last column (Last Periodic Certification). If the Lead FI submits a certification for the member, the member will need to update its FATCA classification by editing its registration at/in question 4.

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Periodic Certification - <Certification Type> - Select Sponsored Entities

[my home page](#) [save](#) [get help](#) [logout](#)

Select the sponsored entities below to be included in this certification: ?

498 items, displaying 1 to 100.

[First/ Prev]1, 2,3,4,5 [Next/Last]

☐ Include all eligible sponsored entities in certification.

Select all on page ■	Sponsored Entity ID	Legal Name	Country/ Jurisdiction	IGA Model Type	Classification	Sponsored Entity Status	Effective Date	Last Periodic Certification
<input type="checkbox"/>	XXXXXX.00001	Sponsored Entity 1	Country 1	Model 2 IGA	<SE classification>	Approved	01/15/2015	
<input type="checkbox"/>	XXXXXX.00002	Sponsored Entity 2	Country 2	Non-IGA	<SE classification>	Approved	01/15/2015	
<input type="checkbox"/>	XXXXXX.00003	Sponsored Entity 3	Country 3	Non-IGA	<SE classification>	Approved	01/15/2015	07/15/2018
<input type="checkbox"/>	XXXXXX.00004	Sponsored Entity 4	Country 4	Non-IGA	<SE classification>	Canceled	01/15/2015	07/15/2018
<input type="checkbox"/>	XXXXXX.00005	Sponsored Entity 5	Country 5	Model 1 IGA	<SE classification>	Terminated	01/15/2015	

Figure 39 - Sponsoring Entity Periodic Certification Table of Sponsored Entities

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## **Lead FI –**

- a. The system will take the lead FI to the select members screen when it is acting as the compliance FI of a consolidated compliance group.
- b. Leads registered with a Deemed-Compliant classification, need to answer, if the certification is being provided collectively for the Registered Deemed-Compliant FFIs expanded affiliated group. If the lead selects “yes”, then the system will then navigate the lead to the select members’ screen.

Only members that have a registration status of approved, agreement terminated, or agreement canceled and whose effective date is not after the

certification period end date are displayed.

If there are no eligible members displayed, the lead will need to edit its certification type if it is acting as the compliance FI of a consolidated compliance group or it will need to change the answer to the Registered Deemed-Compliant collective question to "no".

The system will reset the certification dates of included members who have different periodic certification dates than the lead, when it submits the certification.

## **Sponsoring entity –**

To be eligible to be included in the certification, a sponsored entity must:

- Be in approved, canceled or terminated status. If the sponsored entity's status is canceled, the cancelation date must be on or after the sponsoring entity's certification period start date. Note: The status date can be viewed in the sponsored entity table.
- Have an effective date that is before the sponsoring entity's certification period end date.
- Have a classification type of:
  - Sponsored subsidiary or sponsored fund **(for Sponsoring Entity of Sponsored FFIs certification type only)**

- **Sponsored direct reporting NFFE (for Sponsoring Entity of Sponsored Direct Reporting NFFEs certification type only)**

If you do not select all sponsored entities, you must state the reason why.

If there are no eligible sponsored entities, the sponsoring entity may still complete the certification.

**7. Periodic certification question sets**

- Complete the certification questions. If applicable, you may be required to answer initial questions to direct you to the appropriate question set for Qualified Certification or Certification of Effective Internal Controls. If the answers to the questions do not match the responses to the initial questions, an error message will appear when saving or submitting. Be prepared to provide explanations and descriptions

to support your answers. The number of questions is dependent on the certification type. You can view the sets of questions on the [FATCA Certifications webpage](#).

8. **Submit the certification** – Once you have completed all questions, click ‘Submit’ at the bottom of the page. When prompted for the submit certification warning, acknowledge that you want to submit the certification by clicking “yes.” The periodic certification submitted page confirms you have submitted the certification and provides your certification result (based on the responses provided). Click “OK” to return to the home page. The periodic certification status will be updated to Submitted and a message board message confirms submission and the certification results. If you submitted a certification that does not

cover the entire certification period, you will be asked if you want to submit an additional certification. View your certification history table for a list of all submitted certifications.

**Table 19 -- Periodic Certification Results**

Periodic Certification Result	Description
Not Required	This result will be displayed when a Responsible Officer selects the option indicating that it is “not required to complete a periodic certification for this certification period”. When this option is selected, the user will be required to provide a brief explanation. The IRS may follow up with additional inquiries

based on the explanation provided.

**NOTE:** There is no exemption or waiver from the certification requirement when one is required to be submitted. It is expected that those indicating they are not required to complete a periodic certification for the certification period do so in very specific and limited circumstances.

With respect to the periodic certification for Trustee-Documented Trusts, this will be the result if the Trustee of a Trustee-Documented Trust indicates that it did not have any Trustee- Documented Trusts that are subject to a

	Model 2 IGA during the certification period.
Compliance	This result will be displayed when a Responsible Officer completes the periodic certification and the responses provided as part of the certification do not indicate any material failure that has not been corrected prior to the date of the certification; or a failure by a Registered Deemed-Compliant FFI or Trustee-Documented Trust to comply with any of the requirements with respect to their FATCA classification.
Qualified Certification	This result will be displayed when the RO of a PFFI, Compliance FI, or Sponsoring Entity indicates that there were



	<p>events of default during the certification period and/or there were material failures during the certification period that were not corrected prior to the certification date, but that the FI indicates that it will take corrective actions to remediate the failure.</p> <p>An overall result of “Qualified Certification” indicates that the FI did fail to comply with one (or more) of its requirements but that is working on correcting such failure(s).</p>
Failure to Certify	<p>This result will be displayed when a Responsible Officer selects the option indicating that it is “unable to complete a periodic certification at this time”.</p>

This will also be the result if the responses provided as part of the certification indicate any material failures or events of default for which the FI indicates that it will not take any corrective actions to remediate the failure or event of default; or a failure by a Registered Deemed-Compliant FFI or Trustee-Documented Trust to comply with any of the requirements with respect to their FATCA classification.

An overall result of “Failure to Certify” will result in an event of default that could cause termination of the entity’s FATCA status.

## **Submitting an additional certification**

You cannot edit a periodic certification once you submit it. Instead, you must submit an additional periodic certification to include updated information. Generally, submitting an additional periodic certification will supersede the previously submitted periodic certification. However, all submitted certifications are saved in the registration system. You can view a history of submitted periodic certifications from the certification history link on the home page.

## **5.6 Available Account Options**

An FI can access links to manage its account via the Available Account Options section of the home page. Available account options can include options to edit and resubmit a registration. Available account options are based on the FI type, account status, and pending transfers (if applicable). The table below contains the list of links that may be available under the Available Account Options section:

Table 20 – Links that may available under the available account options section of the home page

Link	Description	Account Status*
EDIT REGISTRATION**		
Registration – Edit – Start from My Information (Part 1)	Edit answers beginning from Part 1/Question 1 of registration	Approved
Registration – Edit – Start from Expanded Affiliated Group Information (Part 2)	Edit answers beginning from Part 2/Question 12 of registration. Lead FI only.	
Registration – Edit/Resubmit – Start from My Information (Part 1).	Edit answers beginning from Part 1/Question 1 and resubmit registration	Registration Submitted
Registration – Edit/Resubmit – Start from Expanded Affiliated Group Information (Part 2)	Edit answers beginning from Part 2/Question 12 and resubmit registration	
Registration – Edit**	Edit and submit registration beginning at Question 1. Sponsoring Entities only.	Approved
Registration - Edit/Complete/Submit	Edit and submit registration beginning from Question 1	Registration Incomplete, Initiated
CANCEL REGISTRATION AGREEMENT		
Agreement – Cancel	Cancel registration agreement after acceptance	Approved
EDIT CHALLENGE QUESTIONS		
Challenge Questions - Edit/Review	View and edit challenge questions. The challenge questions are used when a user forgets and needs to reset its access code	Initiated, Registration Submitted, Registration Incomplete, Approved
CHANGE ACCESS CODE		
Access Code – Change	Change access code. The user must know its current access code in order to create a new one	Initiated, Registration Submitted, Registration Incomplete, Approved
PRINT REGISTRATION		
Print Registration Information (PDF)	Download complete registration form data (excluding all tables except the POC table) in PDF format	Registration Submitted, Approved
DOWNLOAD REGISTRATION TABLES		
Download Registration Tables	Download registration tables	Initiated, Registration Incomplete, Registration Submitted, Approved
CHANGE FI TYPE AND TRANSFERS TO AN EXPANDED AFFILIATED GROUP		
Change FI Type	Initiate a change to a different FI Type	Approved
Initiate a Transfer to Another Expanded Affiliated Group	Initiate a transfer into an (EAG)	
Finalize Transfer	Finalize transfer, once it has been accepted by the lead FI of the (EAG)	
Withdraw Transfer	Withdraw transfer at any point before the FI requesting transfer finalizes the transfer	
RENEWAL FFI AGREEMENT		
Renewal FFI Agreement	Renew FFI agreement during renewal open period	Approved

Link	Description	Account Status*
<b>CERTIFICATIONS</b>		
<a href="#">Certification of Pre-existing Accounts</a>	Input and submit certification of pre-existing accounts. Only available to FIs in Agreement Canceled and Agreement Terminated Status for 6 months after cancelation or termination.	Approved, Agreement Canceled, Agreement Terminated
<a href="#">Periodic Certification</a>	Input and submit periodic certification Only available to FIs in Agreement Canceled and Agreement Terminated Status for 6 months after cancelation or termination.	Approved, Agreement Canceled, Agreement Terminated

\*Availability is based not only on status but on FI type, and other factors such as if the FI has a transfer in progress. Review all of Chapter 5 for more information on when these links are available.

\*\* Sponsoring entities cannot edit by part. They will have the edit/complete/submit link available when in initiated, registration submitted or registration incomplete status.

## 5.6.1 Edit Registration

### *5.6.1.1 Edit a Registration in Approved Status ("Registration – Edit" links)*

FIs in approved status can edit their registration. Links will be available on the home page, depending on the FI type and responses to the registration questions. Your registration will remain in approved status after editing the registration. You do not need to resubmit your registration information after updating since your account is in approved status.

**NOTE:** When the Responsible Officer (RO) or Point of Contact (POC) has changed, you must edit this information in the registration.

*To edit a registration in approved status:*

1. Select one of the following links under Available Account Options on the home page:

- **Registration – Edit – Start from My Information (Part 1)**
  - **Registration – Edit – Start from Expanded Affiliated Group Information (Part 2)**
  - **Registration – Edit**
2. Beginning at the first question, each page will contain your registration information and can be edited.
  3. To save your changes and continue to the next page, click the “next” button.
  4. After the last Edit/Review page, you will reach Submit (Part 4) of the registration.
    - If you need to make any changes in Part 4:

Edit your information and click the “submit” button. Clicking Submit at this time will save



your changes and you will remain in approved status.

- If you do not need to make changes in Part 4:

Click my home page to return to the home page.

### **How editing a registration in approved status affects the GIIN and FFI List.**

- An FI GIIN will only be affected when an FI changes the country/jurisdiction of tax residence in Part 1, Question 3A of the registration. This change affects the last three characters of the GIIN. The system will update the GIIN when the registration is reprocessed (typically within a few days) and can be viewed on the home page. The updated country/jurisdiction and GIIN will not display on the FFI list until the next publication of the list.
- When you change the Legal Name of the Financial Institution in Part 1, Question 2

of the registration, the updated name can be viewed on the home page but will not display on the FFI list until the next publication of the list.

#### *5.6.1.2 Edit a Registration in Registration Submitted Status*

Single, lead, and member FIs in registration submitted status can edit and then resubmit their registration from the beginning of Part 1 or Part 2 of the online registration, without having to page through the entire registration to make an update. Links will be available on the home page, depending on the FI type and responses to registration questions. Each link will take you to the first question of the part selected.

A sponsoring entity in registration submitted status can only edit their registration beginning from Question 1. One link will be available on the home page and will take you to Question 1 in Part 1.

Editing a registration in registration submitted status causes the status to change to initiated. The single, lead, member, or sponsoring entity must go through the registration and resubmit in Part 4 for the registration to be processed. Once the registration has been resubmitted, the status will be changed to registration submitted.

**Table 21 – Registration – edit links for registration submitted status**

<b>Home Page Links (registration submitted status)</b>	<b>FI Type</b>	<b>Begin from Question</b>
Registration – Edit/Resubmit – Start from My Information (Part 1)	All except sponsoring entity	1
Registration – Edit/Resubmit – Start from Expanded Affiliated	Lead FI only	12

Group Information (Part 2)		
Registration - Edit/Complete/Submit**	Sponsoring1 entity only	

\*\* Available to a sponsoring entity in registration submitted status

NOTE: There is no option to start from Part 4. You will reach Part 4 at the end of the registration.

*To edit a registration in registration submitted status:*

1. Select one of the following links under Available Account Options on the home page:
  - **Registration – Edit/Resubmit – Start from My Information (Part 1)**

- **Registration – Edit/Resubmit – Start from Expanded Affiliated Group Information (Part 2)**
- **Registration – Edit/Complete/Submit**

2. Since editing your registration will change your status back to initiated, a warning page will display.

- To go back without editing the registration:

Click the “no” button. Selecting No will not change the registration status and returns you to the home page.

- To continue editing the registration:

Click the “yes” button. Selecting Yes will change the registration status back to initiated. You

must resubmit the registration in Part 4 for processing.

3. Beginning at the first question, each page will contain your registration information and can be edited.
4. Review your registration information for each question and make any changes.
5. To save your changes and continue to the next page, click the “next” button.
6. When you reach the end of the part, an Edit/Review page will contain your responses to each question for that part of the registration.
  - If you need to make changes:  
Click on the **edit/review** link to return to the first question of that part of the registration.

- If you do not need to make changes:

Click the “next” button to continue to the next part of the registration.

7. After your last Edit/Review page, you will reach Submit (Part 4) of the registration.

- If you need to make any changes in Part 4:

Edit your information and click the “submit” button to resubmit your registration for processing. Your registration status will change to registration submitted.

- If you do not need to make changes in Part 4:

Click the “submit” button to resubmit your registration for

processing. Your registration status will change to registration submitted.

#### *5.6.1.3 Edit a Registration in Initiated and Registration Incomplete Status (Registration – "Edit/Complete/Submit" link)*

FIs in initiated and registration incomplete statuses edit from the beginning (Question 1) of the registration. You must complete the registration and submit in Part 4 for the registration to be processed. The account will remain in initiated or registration incomplete status until registration is submitted.

*To edit a registration in initiated and registration incomplete status:*

1. Click on the following link under Available Account Options on the home page:

Registration –  
Edit/Complete/Submit



2. Beginning from Question 1, each page will contain your registration information and can be edited.
3. Review your registration information for each question and make any changes.
4. To save your changes and continue to the next page, click the “next” button.
5. When you reach the end of the part, an Edit/Review page will contain your responses to each question for that part of the registration.
  - If you need to make changes:

Click on the **edit/review** link to return to the first question of that part of the registration.

- If you do not need to make changes:

Click the “next” button to continue to the next part of the registration.

6. After your last Edit/Review page, you will reach Submit (Part 4) of the registration.

- If you need to make any changes in Part 4:

Edit your information and click the “submit” button to submit your registration for processing. Your registration status will change to registration submitted.

- If you do not need to make changes in Part 4:

Click the “submit” button to submit your registration for

processing. Your registration status will change to Registration submitted.

## **5.6.2 Delete Registration**

Previously, a single, lead or sponsoring entity FI was able to delete its registration in certain statuses (initiated, registration submitted or registration incomplete) and a lead FI was able to delete its members in these same statuses. The delete option has been removed from the registration system and FIs can no longer delete registrations. An FI in approved status will continue to have an option to cancel its agreement.

## **5.6.3 Cancel Registration Agreement**

### *5.6.3.1 Cancel Registration Agreement (Single, member, sponsoring entity)*

After a registration is in approved status, an FI may choose to cancel the registration

agreement. The Cancel Agreement action must be done by the FI.

If the FI cancels a registration agreement that is in approved status, the FI, and any applicable branches, will no longer be published on the FFI List, the GIINs will no longer be valid, and the FI will need to register again to obtain new GIINs. If the FI is a sponsoring entity in approved status, all sponsored entities and sponsored subsidiary branches will no longer be published on the FFI List and their GIINs will no longer be valid.

Single FIs, member FIs, and lead FIs, will receive an error message if they attempt to cancel the registration agreement while they are in the process of transferring to an expanded affiliated group (EAG). The transfer request must first be withdrawn via the **withdraw transfer** link on the home page before the registration agreement can be canceled. Lead FIs will receive an error

message if they attempt to cancel the registration agreement if there are pending transfers into the lead's (EAG). The transfer requests must first be declined, see [Chapter 5.6.8.3 Respond to Transfer Request \(Lead FIs only\)](#) for more information.

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<p>will be notified when you need to certify.</p> <hr/> <p><b>Available Account Options:</b></p> <p><a href="#">Registration - Edit - Start from My Information (Part 1)</a></p> <p><a href="#">Agreement - Cancel</a></p> <p><a href="#">Challenge Questions - Edit/Review</a></p> <p><a href="#">Access Code - Change</a></p> <p><a href="#">Print Registration Information (PDF)</a></p> <p><a href="#">Download Registration Tables</a></p> <p><a href="#">Change FI Type</a></p>	<p><a href="#">Branch Information</a></p> <p><a href="#">POC Information</a></p>
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Figure 40 – Cancel registration agreement

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1. Select the **agreement – cancel** link under Available Account Options on the home page.
2. Select one of the following:
  - To keep the registration agreement, click the “back to home page” button.
  - To cancel the registration agreement, click the “cancel agreement” button. The registration agreement has now been canceled. Click the “OK” button to return to the home page. The FI is now in agreement canceled status.
  - Entities that are required to complete a COPA or Periodic certification but that cancel their FATCA agreement must complete and submit the required

certifications within six months of the cancellation.

**NOTE:** When a member FI cancels its registration agreement, a message is posted to the lead FI's message board.

#### *5.6.3.2 Cancel Registration Agreement (Lead FI only)*

A lead FI cannot cancel a member FI's registration agreement but can cancel its own registration agreement. If the lead cancels its registration agreement in approved status, the lead, and any applicable branches, will no longer be published on the FFI List, the GIINs will no longer be valid, and the lead will need to register again in order to obtain a new GIIN.

A lead FI cannot cancel their Agreement if any of their members are in one of the following statuses: Initiated, Registration Submitted, Registration Incomplete, Approved or Limited Conditional. A lead FI can only cancel their

own agreement if all its members are in one of the following statuses: Registration Under Review, Registration Rejected/Denied, Agreement Canceled or Agreement Terminated.

In order for a lead FI to cancel its own registration agreement, it cannot be in the process of transferring to another (EAG) or have active members or pending transfers into its (EAG). If the lead FI attempts to cancel its own registration agreement, with active member FIs, pending transfer requests, or a transfer in progress, an error message will display.

1. Select the **agreement - cancel** link under Available Account Information on the home page.
2. Select one of the following:
  - To keep the registration agreement, click the “back to home page” button.

- To cancel the registration agreement, click the “cancel agreement” button. The registration agreement has now been canceled. Click the “OK” button to return to the home page. The FI is now in agreement canceled status.
- Entities that are required to complete a COPA or Periodic certification that cancel their FATCA agreement must complete and submit the required certifications within six months of the cancellation.

## 5.6.2 Edit Challenge Questions

The challenge questions are used when a user forgets and needs to reset the access code.

An FI is able to view and edit its current challenge questions and answers via the **challenge questions – edit/review** link on the home page when it is in initiated, registration submitted, registration incomplete, or approved status.

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<p><b>Available Account Options:</b></p> <p><a href="#">Registration - Edit - Start from My Information (Part 1)</a></p> <p><a href="#">Certification of Pre-existing Accounts</a></p> <p><a href="#">Agreement - Cancel</a></p> <p><b><a href="#">Challenge Questions - Edit/Review</a></b></p> <p><a href="#">Access Code - Change</a></p> <p><a href="#">Print Registration Information (PDF)</a></p> <p><a href="#">Download Registration Tables</a></p> <p><a href="#">Change FI Type</a></p>	<p><b>Your Information</b></p> <p><a href="#">Branch Information</a></p> <p><a href="#">POC Information</a></p> <p><a href="#">Certification History</a></p>
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Figure 41 – Challenge questions – Edit/review

1. Select the **challenge questions – edit/ review** link under Available Account Options on the home page. The system displays the edit/review challenge questions page.

**Edit/Review Challenge Questions**

\* required fields

Challenge Question #1 \*

Question:\*

In what city was your first job? ▼

Answer:\*

ABC City

Challenge Question #2 \*

Question:\*

What year was your mother born? (e.g., 1900) ▼

Answer:\*

1946

**Figure 42 – Challenge questions – Edit challenge questions**



2. The current challenge questions and answers are displayed. To keep the same challenge questions and answers, click the “cancel” button.
3. To change a challenge question, select a new question from the drop-down menu under Question 1 or Question 2.
4. To change a challenge question answer, enter a new answer under Question 1 or Question 2.
5. To save the new challenge questions and answers and go back to the home page, click the “save” button. The user will not be able to save if no questions are selected or answers are left blank.

**IMPORTANT:** Record the new challenge questions and answers. The previous challenge questions and answers will no longer be valid.

## 5.6.5 Change access code

An FI is able to change its current access code via the **access code – change link** on the home page when the account is in initiated, registration submitted, registration incomplete, or approved status.

Available Account Options:	Your Information
<a href="#">Registration - Edit - Start from My Information (Part 1)</a>	<a href="#">Branch Information</a>
<a href="#">Certification of Pre-existing Accounts</a>	<a href="#">POC Information</a>
<a href="#">Agreement - Cancel</a>	<a href="#">Certification History</a>
<a href="#">Challenge Questions - Edit/Review</a>	
<a href="#">Access Code - Change</a>	
<a href="#">Print Registration Information (PDF)</a>	
<a href="#">Download Registration Tables</a>	
<a href="#">Change FI Type</a>	

Figure 43 – Access code – Change

1. Select the **access code – change** link under Available Account Options on the home page.

### Financial Institution Registration - Change Access Code

Please enter existing Access Code to validate:

Create a New Access Code

Access Code must contain:

- 8-20 characters

At least:

- 1 uppercase letter
- 1 lowercase letter
- 1 number
- 1 of the following special characters  
~ ! @ # % ^ \* ( ) ? , .

Create Access Code:

Confirm Access Code:

**Figure 44 – Registration – Change access code**

2. In the first text box, enter the existing access code for validation purposes.
3. Enter the new access code ensuring that it meets the requirements in Step 2.
4. Re-enter the access code to confirm your code in the text box.
5. To keep the current access code, click the "cancel" button.
6. Click "change access code" to save changes and return to the home page.

**IMPORTANT:** Record the new access code. The previous access code will no longer be valid. Inform all other POCs that have access to this FATCA account of the access code change.

## 5.6.6 Print Registration

An FI is able to download its complete registration form data via the **print registration information (PDF)** link on the home page if the account status is registration submitted, or approved status. The PDF copy excludes all tables except for the POC table.

<b>Available Account Options:</b> <a href="#">Registration - Edit - Start from My Information (Part 1)</a> <a href="#">Agreement - Cancel</a> <a href="#">Challenge Questions - Edit/Review</a> <a href="#">Access Code - Change</a> <a href="#">Print Registration Information (PDF)</a> <a href="#">Download Registration Tables</a> <a href="#">Change FI Type</a>	<div>Delete</div> <div><b>Your Information</b> <a href="#">Branch Information</a> <a href="#">POC Information</a> <a href="#">Certification History</a></div>
--	---

Figure 45 – Print registration information (PDF)

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1. Select the **print registration information (PDF)** link under Available Account Options on the home page.
2. A message may display notifying you it may take some time to generate the PDF. Click "OK" to continue.
3. Follow your Internet browser's prompts for saving files to your computer.

### **5.6.7 Download Registration Tables**

An FI in initiated, registration incomplete, registration submitted, or approved status can download registration tables using the **download registration tables** link on the home page. All tables are available in PDF and CSV formats, except for the sponsored subsidiary branch information table which is available in CSV only. If the user selects a table in which no information has been

entered by the FI, the system will display an error message.

The table below displays which registration tables are available based on the FI type and status.

**Table 22 – Registration tables available by FI type**

Registration Table Name	SingleLeadMember			Sponsoring Entity
Member Information*		X		
Branch Information	X	X	X	
POC Information	X	X	X	X

Sponsored Entity Information				x (for FIs in approved status only)
Sponsored Subsidiary Branch Information*				x (for FIs in approved status only)

\* If you download the sponsored subsidiary branch information table which contains more than 20,000 records, you will receive an error. Contact FATCA technical support to get a table with more than 20,000 records.

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<p><b>Available Account Options:</b></p> <p><a href="#">Registration - Edit - Start from My Information (Part 1)</a></p> <p><a href="#">Registration - Edit - Start from Expanded Affiliated Group Information (Part 2)</a></p> <p><a href="#">Agreement - Cancel</a></p> <p><a href="#">Challenge Questions - Edit/Review</a></p> <p><a href="#">Access Code - Change</a></p> <p><a href="#">Print Registration Information (PDF)</a></p> <p><a href="#">Download Registration Tables</a></p> <p><a href="#">Change FI Type</a></p>	<div><div>Delete</div><div><b>Your Information</b> <a href="#">Member Information</a> <a href="#">Branch Information</a> <a href="#">POC Information</a> <a href="#">Certification History</a></div></div>
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Figure 46 – Download registration tables

1. Select the **download registration tables** link under Available Account Options on the home page.

**Download Registration Tables**

Only tables that contain data will be available to download. 

<b>Member Information</b>	<a href="#">PDF</a>	<a href="#">CSV</a>
<b>Branch Information</b>	<a href="#">PDF</a>	<a href="#">CSV</a>
<b>POC Information</b>	<a href="#">PDF</a>	<a href="#">CSV</a>

Back

Figure 47 – Download registration tables – Select table

2. Next to the table you wish to download, select the PDF or CSV link to download the table in the selected format. If you choose a PDF file format, a message may display notifying you it may take some time to generate the file. Click “OK” to continue.
3. Follow your Internet browser’s prompts for saving files to your computer.

### **5.6.8 Change FI Type and Transfers to an Expanded Affiliated Group**

Certain FIs in approved status may change their FI type. In addition to changing their FI type, member FIs, in approved status, can transfer to another expanded affiliated group (EAG). When changing the FI type or transferring, FIs should note the following:

- The user does not need to cancel its current registration agreement or create a new registration. A new FATCA account will be created with the existing registration information, including branches, and the account status will not change.
- If the FATCA account is already in approved status, a new GIIN will be issued. The old GIIN will remain on the published FFI List for a short time to allow the GIIN holder to distribute its new GIIN. The effective date will not change.
- All approved branches for the registration will also be issued new GIINs based on the new FATCA account. The old branch GIINs will also remain on the published FFI List for a short time.
- Renewal of Agreement information and will not be affected.



- Certification information will not be affected. The certification history table will contain all submitted certifications, including submissions under the previous FATCA ID(s).

#### *5.6.8.1 Change FI Type*

The following FI type changes are available through the **change FI type** link on the home page:

- Member FI to single FI
- Single FI to lead FI
- Single FI to member FI (Transfer to an (EAG))
- Lead FI to member FI (Transfer to an (EAG))

If the FI type change combination the user wishes to make is not listed above, users can follow a two-step approach to achieve the desired outcome. For example, to change

from a member to a lead, the member FI can first change its FI type to single, then to lead.

**NOTE:** Current member FIs who wish to transfer to another expanded affiliated group, [go to Transfer to Another Expanded Affiliated Group \(Member FIs Only\)](#).

#### 5.6.8.1.1 Change FI Type: Member to Single and Single to Lead:

- If you are a member in approved status you may change your FI type to single.
- If you are a single in approved status you may change your FI type to lead.

The figure below illustrates the process for an FI to change its FI type to single or lead:

The figure below illustrates the process for an FI to change its FI type to single or lead:

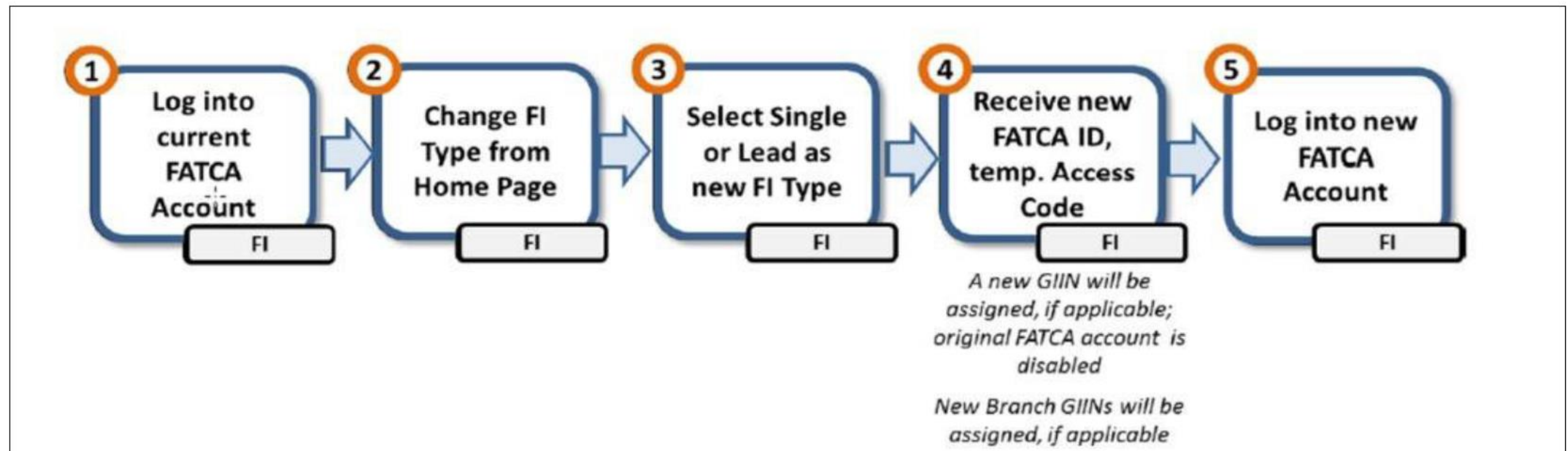


Figure 48 – Change FI type to single or lead process

### Step 1 – Log into current FATCA account

Log into your current FATCA account.

**Step 2– Change FI Type from Home Page**

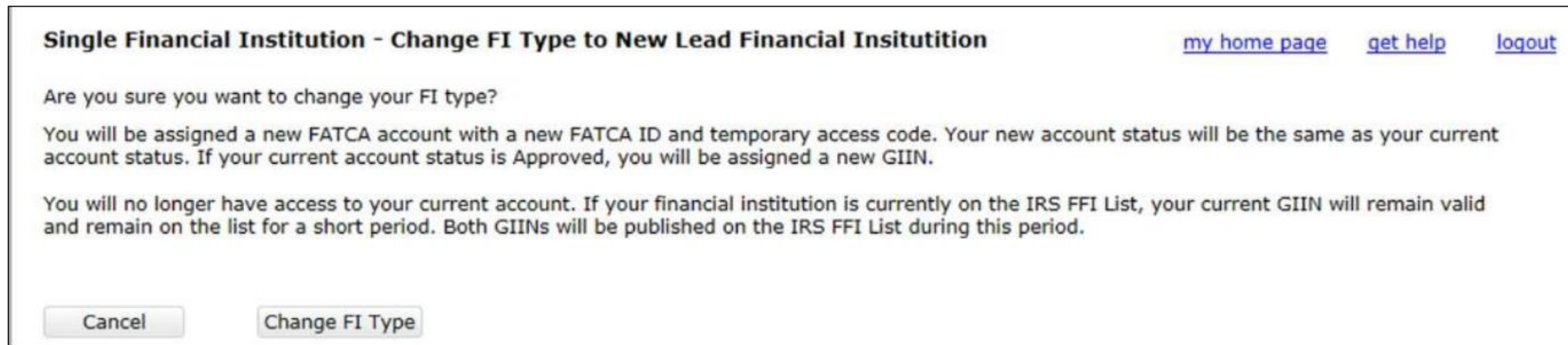
<p><b>Available Account Options:</b></p> <p><a href="#">Registration - Edit - Start from My Information (Part 1)</a></p> <p><a href="#">Agreement - Cancel</a></p> <p><a href="#">Challenge Questions - Edit/Review</a></p> <p><a href="#">Access Code - Change</a></p> <p><a href="#">Print Registration Information (PDF)</a></p> <p><a href="#">Download Registration Tables</a></p> <p><a href="#">Change FI Type</a></p>	<p><input type="button" value="Delete"/></p> <p><b>Your Information</b></p> <p><a href="#">Branch Information</a></p> <p><a href="#">POC Information</a></p> <p><a href="#">Certification History</a></p>
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**Figure 49 – Change FI type link on home page**

Select the **change FI type** link on the home page.

### Step 3 – Select Single or Lead as new FI type

Select single or lead as the new FI type. Since changing the FI type assigns a new FATCA account with a new FATCA ID, temporary access code, and a new GIIN (approved status only) a warning page will display before continuing.



The image shows a warning dialog box titled "Single Financial Institution - Change FI Type to New Lead Financial Insitution". In the top right corner, there are three links: "my home page", "get help", and "logout". The main text of the dialog asks, "Are you sure you want to change your FI type?" and provides two paragraphs of information. The first paragraph states that the user will be assigned a new FATCA account with a new FATCA ID and temporary access code, and that the new account status will be the same as the current one. It also notes that if the current status is "Approved", a new GIIN will be assigned. The second paragraph states that the user will no longer have access to their current account, but if the financial institution is on the IRS FFI List, the current GIIN will remain valid for a short period, and both GIINs will be published on the list during this time. At the bottom of the dialog, there are two buttons: "Cancel" and "Change FI Type".

**Single Financial Institution - Change FI Type to New Lead Financial Insitution** [my home page](#) [get help](#) [logout](#)

Are you sure you want to change your FI type?

You will be assigned a new FATCA account with a new FATCA ID and temporary access code. Your new account status will be the same as your current account status. If your current account status is Approved, you will be assigned a new GIIN.

You will no longer have access to your current account. If your financial institution is currently on the IRS FFI List, your current GIIN will remain valid and remain on the list for a short period. Both GIINs will be published on the IRS FFI List during this period.

**Figure 50 – Change FI type warning**

Select one of the following:

- To return to the home page without changing the FI type:  
Click the “cancel” button. No changes will be made to your status or home page.
- To continue and change the FI type:  
Click the “change FI type” button.



Step 4– Receive new FATCA ID and temporary access code

Single Financial Institution - Change FI Type to New Lead Financial Institution

[get help](#)

You have successfully changed your FI type and you have been assigned a new FATCA ID and a temporary access code.

New FATCA ID:	456XYZ
Temporary Access Code:	1Abcxyz?

**Do not forget the FATCA ID. The FATCA ID and Access Code are required for future access to your account.**

After recording your FATCA ID and temporary access code, select the "OK" button. You will be automatically be logged off. You should use your new FATCA ID and access code to log on from now on.

OK

Figure 51 – Change FI type – Receive new FATCA ID and temporary access code