

The following table in Figure 4-2 provides the field-level errors ICMM will detect in pooled and account report records in electronically submitted files. The entries in this table are sorted first by “Error Description” and, second by the “Schema Path” for the data element in which the error is detected; both of these are provided in the notification for each field-level error.

Figure 4-2 ICMM Field-level Errors for Electronic FATCA XML Reports

Error Description (“FieldErrorTxt”)	F8966 Part Reference Mapping	Schema Path (“FieldNm”)	Description
Account Balance not > \$0	Part IV	FATCA/ReportingGroup/ AccountReport/ AccountBalance	The account balance entered was either less than or equal to zero. This amount must be greater than zero
City or town not populated	Part I Lines 1-5	FATCA/ ReportingFI/ Address/ AddressFix/ City FATCA/ ReportingFI/ Address/ AddressFree	Either the AddressFree or Address/City data elements for the Reporting FI contain only blanks. The city or town for the Reporting FI must be included
City or Town Not Provided for Account Holder or Recipient	Part II	FATCA/ReportingGroup/ AccountReport/ AccountHolder/ Individual / Address/ AddressFix/City FATCA/ReportingGroup/ AccountReport/ AccountHolder/ Individual / Address/ AddressFree FATCA/ReportingGroup/ AccountReport/ AccountHolder/ Organisation / Address/ AddressFix/City FATCA/ReportingGroup/ AccountReport/ AccountHolder/ Organisation/ Address/ AddressFree	Either the AddressFree or Address/City data elements for the Account Holder or Payee contain only blanks. The city or town for the Account Holder or Payee must be included

Error Description (“FieldErrorTxt”)	F8966 Part Reference Mapping	Schema Path (“FieldNm”)	Description
City or Town Not Provided for Asset Owner	Part III	FATCA/ReportingGroup/ AccountReport/ SubstantialOwner/ Individual / Address/ AddressFix/City FATCA/ReportingGroup/ AccountReport/ SubstantialOwner/ Individual/ Address/ AddressFree	Either the AddressFree or Address/City data elements for the Substantial U.S. Owner, Controlling Person, or Specified U.S. Person owning debt or equity interests in an Owner-Documented FFI contain only blanks. The city or town for the Substantial U.S. Owner, Controlling Person, or Specified U.S. Person owning debt or equity interests in an Owner-Documented FFI must be included
Country Not Provided for Sponsor or Intermediary	Part I Lines 6-10	FATCA/ ReportingFI/ ResCountryCode FATCA/ ReportingGroup/ Intermediary /ResCountryCode	For electronic filing the country code for a sponsor or intermediary must be provided
DOB not populated	Part II	FATCA/ReportingGroup/ AccountReport/ AccountHolder/ Individual /BirthInfo	For Model 1 filers in TY2014, 2015, and 2016, the individual Account Holder’s DOB may be provided if the Account Holder TIN is not available for an account maintained as of June 30, 2014. The DOB was provided, but was not in YYYY-MM-DD format. The record must be resubmitted with the DOB in the correct YYYY-MM-DD format.
DOB not populated	Part III	FATCA/ReportingGroup/ AccountReport/ SubstantialOwner/ BirthInfo	For Model 1 filers in TY2014, 2015, and 2016, the Controlling Person’s DOB may be provided if the Controlling Person’s TIN, with respect to a non-U.S. entity account maintained as of June 30, 2014, is not available. The DOB was provided, but was not in YYYY-MM-DD format. The record must be resubmitted with the DOB in the correct YYYY-MM-DD format.

Error Description (“FieldErrorTxt”)	F8966 Part Reference Mapping	Schema Path (“FieldNm”)	Description
DOB not valid	Part II	FATCA/ReportingGroup/ AccountReport/ AccountHolder/ Individual /BirthInfo	For Model 1 filers in TY2014, 2015, and 2016, the Account Holder’s DOB may be provided if the individual Account Holder’s TIN is not available for an account maintained as of June 30, 2014. The DOB provided does not match the name of the Account Holder provided
DOB not valid	Part III	FATCA/ReportingGroup/ AccountReport/ SubstantialOwner/ BirthInfo	For Model 1 filers in TY2014, 2015, and 2016, the Controlling Person’s DOB may be provided if the Controlling Person’s TIN, with respect to a non-U.S. entity account maintained as of June 30, 2014, is not available. The DOB provided does not match the name of the Controlling Person provided
EIN Format Not Valid for Intermediary	Part I Lines 6-10	FATCA/ ReportingGroup/ Intermediary/ TIN	The EIN provided for the intermediary does not have the valid format (9 numeric characters). If an EIN is provided it must be valid
GIIN Does Not Match Registered Entity for Filer	Part I Lines 1-5	FATCA/ ReportingFI/ TIN	The GIIN provided does not match to a GIIN for a registered entity on the FATCA FFI List issued at some time in the past year
GIIN Format Not Valid for Filer	Part I Lines 1-5	FATCA/ ReportingFI/ TIN	The GIIN for the Reporting FI must be in the valid format
GIIN Format Not Valid for Sponsor	Part I Lines 1-5	FATCA/ ReportingFI/ TIN	The GIIN for the Sponsor is required and must be in the valid format
GIIN not populated	Part I Lines 1-5	FATCA/ ReportingFI/ TIN	The GIIN for the Reporting FI must be populated and in the valid format
GIIN Not Valid for Intermediary	Part I Lines 6-10	FATCA/ ReportingGroup/ Intermediary/ TIN	The format of the GIIN provided for the intermediary must be in the valid format.
GIIN Not Valid for Sponsor	Part I Lines 1-5	FATCA/ ReportingFI/ TIN	The GIIN for the Sponsor must be in the valid format

Error Description (“FieldErrorTxt”)	F8966 Part Reference Mapping	Schema Path (“FieldNm”)	Description
Name / DOB match error	Part II	FATCA/ReportingGroup/ AccountReport/ AccountHolder/ Individual /BirthInfo	The Date of Birth (DOB) for the Account Holder does not match the DOB for this person
Name not populated	Part I Lines 1-5	FATCA/ ReportingFI/ Name	The name of the Reporting FI must be provided, and cannot be all blank characters in the Name data sub-element
Name of Account Holder or Recipient Not Provided	Part II	FATCA/ReportingGroup/ AccountReport/ AccountHolder/ Individual/ Name FATCA/ReportingGroup/ AccountReport/ AccountHolder/ Organisation/ Name	The name of the account holder or payee must be provided, and cannot be all blank characters in the Name data subelement
No GIIN or EIN Provided for Intermediary	Part I Lines 6-10	FATCA/ ReportingGroup/ Intermediary/ TIN	Neither a GIIN nor an EIN has been provided for an intermediary. If the intermediary is not required to have either a GIIN or an EIN, it should enter all zeros in the TIN element.
No Name of US Owner	Part III	FATCA/ReportingGroup/ AccountReport/ SubstantialOwner/ Individual/ Name	The name data element of the Substantial U.S. Owner, Controlling Person, or Specified U.S. Person owning a debt or equity interest in an Owner-Documented FFI consisted of all blanks. A name must be provided in the appropriate field
Number of Accounts not > 0	Part V	ReportingGroup/ PoolReport/ AccountCount	The number of accounts in a pool declared in a pooled report must be greater than 0.
TIN not populated	Part I Lines 1-5	FATCA/ ReportingFI/ TIN	The Reporting FI’s TIN or GIIN must be provided, and cannot be all blank characters in the TIN data subelement
TIN not populated	Part II	FATCA/ReportingGroup/ AccountReport/ AccountHolder/ Individual /TIN FATCA/ReportingGroup/ AccountReport/ AccountHolder/ Organisation/ TIN	The Account Holder’s TIN must be provided, and cannot be all blank characters in the TIN data subelement. If an entity Account Holder does not have a TIN, enter all zeros in the TIN data subelement.

Error Description ("FieldErrorTxt")	F8966 Part Reference Mapping	Schema Path ("FieldNm")	Description
TIN not valid	Part II	FATCA/ReportingGroup/ AccountReport/ AccountHolder/ Individual /TIN FATCA/ReportingGroup/ AccountReport/ AccountHolder/ Organisation/ TIN	The TIN provided for the Account Holder was not in the correct U.S. TIN format. The U.S. TIN provided must be 9 numeric digits. If an entity Account Holder does not have a TIN, enter all zeros in the TIN data subelement.
TIN not valid	Part III	FATCA/ReportingGroup/ AccountReport/ SubstantialOwner/TIN	The TIN provided for the Substantial U.S. Owner, Controlling Person, or Specified U.S. Person holding a debt or equity interest in an Owner-Documented FFI was not in the correct U.S. TIN format. The U.S. TIN provided must be 9 numeric digits.