

# Foreign Account Tax Compliance Act

## FATCA

### Online Registration

User Guide | February 2024

Volume 6 of 7



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5.8.2.2 Pending Transfer In View

Financial Institution - Member Information

my home page

get help

logout

View: 

All Members

 | 

Pending Transfer In

 | 

Pending Transfer Out

 | 

Transfer Completed

Add Member

Financial Institutions Pending Transfer Into Expanded Affiliated

Select one or more financial institutions to accept or decline their transfer.

Download Members Pending Transfer In (PDF)

Download Members Pending Transfer In (CSV)

4 items, displaying all items

Select	Legal Name of Financial Institution	Country/ Jurisdiction	Classification/ Member Type	FATCA ID	Status	GIIN	Transfer Initiated	Transfer Stage
<input type="checkbox"/>	Member Financial Institution New 1	Country 10	Participating Financial Institution not covered by an IGA or a Reporting Financial Institution under a Model 2 IGA	456DEF.00001	Approved	456DEF.00001.ME.000	01/15/2014	Pending Lead Acceptance
<input type="checkbox"/>	Lead Financial Institution 1	Country 4	Participating Financial Institution not covered by an IGA or a Reporting Financial Institution under a Model 2 IGA	456XYZ	Approved	456XYZ.00000.LE.123	01/15/2014	Pending Lead Acceptance

Figure 76 – Member Information – Pending transfer in view

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The pending transfer in view displays FI requests to transfer into your expanded affiliated group.

#### 5.8.2.2.1 Accept or Decline Transfer Requests

Under the pending transfer in view, you can accept and decline transfers into your (EAG). You must accept or decline the transfer request within 45 days or the request will expire. For step-by-step instructions on how to accept and decline transfer requests, see [Chapter 5.6.8.3 Respond to Transfer Request](#).

#### 5.8.2.2.2 Download a list of FIs pending transfer in

1. Select one of the following links:
  - **Download members pending transfer in (PDF).**
  - **Download members pending transfer in (CSV).**

2. Follow your Internet browser's prompts for saving files to your computer.

**NOTE:** The download members pending transfer in links will not be available if you do not have any FIs requesting to transfer into your (EAG).



5.8.2.3 Pending Transfer Out View

Financial Institution - Member Information

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

View: [All Members](#) | [Pending Transfer In](#) | [Pending Transfer Out](#) | [Transfer Completed](#) [Add Member](#)

Members Pending Transfer Out of Expanded Affiliated Group

1 item, displaying all items

Legal Name of Member Financial Institution	Country/ Jurisdiction	Member Type	FATCA ID	Status	GIIN	Transfer Out Initiated
Member Financial Institution 6	Country 6	Registered Deemed-Compliant Financial Institution (including a Reporting Financial Institution under Model 1 IGA)	123ABC.00006	Approved	123ABC.00006.ME.000	01/16/2014

Figure 77 – Member Information – Pending transfer out view

The pending transfer out view displays current member FIs who have requested to transfer out of your expanded affiliated group. You do not need to approve requests to transfer out of your (EAG).

### 5.8.2.4 Transfer Completed View

Financial Institution - Member Information ⓘ

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

View: [All Members](#) | [Pending Transfer In](#) | [Pending Transfer Out](#) | [Transfer Completed](#)

[Add Member](#)

Former Members Transferred Out of Expanded Affiliated Group ⓘ

[Download Former Members Transferred Out \(PDF\)](#) [Download Former Members Transferred Out \(CSV\)](#)

2 item, displaying all items

Legal Name of Member Financial Institution	Country/ Jurisdiction	Member Type	Former FATCA ID	Former Status	Former GIIN	Transfer Completed Date
Member Financial Institution Old 1	Country 11	Registered Deemed-Compliant Financial Institution (including a Reporting Financial Institution under Model 1 IGA)	456XYZ.00023	Approved	456XYZ.00023.ME.000	09/01/2013
Member Financial Institution Old 2	Country 12	Registered Deemed-Compliant Financial Institution (including a Reporting Financial Institution under Model 1 IGA)	456XYZ.00024	Approved	456XYZ.00024.ME.000	09/01/2013

Figure 78 – Member Information – Transfer completed view



The transfer completed view displays former member FIs who transferred out of your (EAG).

5.8.2.4.1 Download a list of former members who have transferred out of your (EAG):

1. Select one of the following links:
  - **Download former members transferred out (PDF).**
  - **Download former members transferred out (CSV).**
2. Follow your Internet browser's prompts for saving files to your computer.

#### *5.8.2.5 Add a Member*

You can add a member via the **add member** link at the top of the page from any of the four-page views (all members, pending transfer in, pending transfer out, and transfer completed). This allows you to add a member

without having to page to Question 12 in the registration. You cannot add a member while you are in the process of a transfer. For step-by-step instructions on how to add a member, see [Chapter 4.2.1. Member Information](#).

### **5.8.3 Branch Information**

An FI (except a sponsoring entity) can view and edit its branch information via the **branch information** link on the home page. The link will only be available if the FI answered Yes to Question 7. To view and edit branch information, the account status must be in initiated, registration submitted, registration incomplete, or approved status.

5.8.3.1 *View Branch Information*

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

Figure 79 – Branch Information link on the home page

To access the branch information, select the **branch information** link under Your Information on the home page.

5.8.3.2 Add or Delete Branches

9) List each jurisdiction (other than the United States) in which the Financial Institution maintains a branch. If none click "next" to go to question 10. [?](#)

Country/Jurisdiction \*

Select Country/Jurisdiction

Add Another

Branch Information [?](#)

1 item, displaying all items.

Country/Jurisdiction	GIIN	
American Samoa	ABC123.99999.BR.016	<a href="#">delete</a>

Figure 80 – Add or delete branches – Branch list

The system displays the branch information page. You can add and delete branches from this page without having to page to Question 9 in the registration. Refer to [Chapter 4.1.7. – Branches Outside of the U.S.](#) for more information on how to manage branches. Adding and deleting branches from this page will not affect the account status.

#### *5.8.3.3 Download a complete branch list*

1. To download a complete branch list in PDF or CSV format, select one of the following links:
  - **Download complete branch list (PDF).**
  - **Download complete branch list (CSV).**
2. 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.
4. Click the "back to home page" button to go back to the home page.

### **5.8.4 Point of Contact (POC) Information**

An FI is able to view its POC information via the **POC information** link on the home page if POC information has been entered in Question 11B. To view its POC information, the account status must be in initiated, registration submitted, registration incomplete, or approved status.

#### 5.8.4.1 View POC Information

<b>Available Account Options:</b> <a href="#">Registration - Edit - Start from My Information (Part 1)</a> <a href="#">Certification of Pre-existing Accounts</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>	<b>Your Information</b> <a href="#">Branch Information</a> <a href="#">POC Information</a> <a href="#">Certification History</a>
--	---

Figure 81 – POC information link on the home page

To access the POC information, select the **POC information** link on the home page.

Financial Institution - POC Information

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

If you wish to make changes to the POC information, select the link to edit your registration from the Account Options on your home page.

[Download Complete POC List \(PDF\)](#)   [Download Complete POC List \(CSV\)](#)

3 items, displaying 1 to 3.

Legal Name	Country / Jurisdiction	Address	Telephone	Fax	Email
Jay, John	Country /Jurisdiction 1	1 Somewhere Street, City, State/Province/Region, ZIP/Postal Code	002 9999999 Ext. 200	002 9990000	johnjay@somedomain.com
Smith, Jane	Country /Jurisdiction 2	2 Anywhere Street, City, State/Province/Region, ZIP/Postal Code	002 9999999 Ext. 224	002 9990000	janesmith@somedomain.com
Waldorf, William	Country /Jurisdiction 3	3 Rainbow Street, City, State/Province/Region, ZIP/Postal Code	002 9999999 Ext. 227	002 9990000	billwaldorf@somedomain.com

Back to Home Page

Figure 82 – Viewing POC Information – POC List

The system displays the POC information page.

#### *5.8.4.2 Download a complete POC list*

1. To download a complete POC list in PDF or CSV format, select one of the following links:
  - **Download complete POC list (PDF).**
  - **Download complete POC list (CSV).**
2. 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.
4. Click the "back to home page" button to go back to the home page.

**NOTE:** The complete POC list will include all POCs listed in Question 11B, as well as the RO listed in Question 10, since the RO is also considered a POC for the FI



5.8.5 Manage Sponsored Entities (Sponsoring entities in approved status only)

<p><b>Available Account Options:</b></p> <p><a href="#">Registration - Edit</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><b>Your Information</b></p> <p><a href="#">POC Information</a></p> <p><a href="#">Manage Sponsored Entities</a> ⓘ</p> <p><a href="#">Certification History</a></p>
--	---

Figure 83 – Manage sponsored entities link on home page

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A sponsoring entity can manage its sponsored entities via the **manage sponsored entities** link on the home page. Depending on the status of the sponsored entity, a sponsoring entity in approved status can view, add, edit, cancel, and delete sponsored entities.

Sponsoring entities can add up to 5,000 sponsored entities to their FATCA account.

The **manage sponsored entities** link will only be available when the sponsoring entity's account is in approved status.

#### *5.8.5.1 View Sponsored Entity Information*

Sponsored entities are displayed in the sponsored entities table on the manage sponsored entities page. The table includes the sponsored entity's legal name, country/jurisdiction, FATCA classification, sponsored entity ID, status, status date, GIIN, effective date, and certification submission dates. A sponsored entity ID is similar to a FATCA ID; however, it cannot be used to log into the online registration system and is for

identification purposes only. A sponsored entity's GIIN will be displayed only if it is in approved status and the effective date will be the date the sponsored entity's GIIN is issued (original approval date). The effective date will continue to display for canceled and terminated sponsored entities.

#### *5.8.5.2 Download a complete list of sponsored entities*

1. Select the **manage sponsored entities** link under Your Information on the home page.
2. To download the list in PDF or CSV format, select one of the following links:
  - **Download complete sponsored entities list (PDF).**
  - **Download complete sponsored entities list (CSV).**

**NOTE:** The links will not be available on the page if there are no sponsored entities in the table.

3. A message may display notifying you it may take some time to generate the file. Click “OK” to continue.
4. Follow your Internet browser’s prompts for saving files to your computer.
5. Select my **home page** link to return to the home page.

You can also download a complete list of sponsored entities directly from the home page. [Go to Chapter 5.6.7 Download Registration Tables](#) for more information. The complete sponsored entities list will not include sponsored subsidiary branches. For more information on viewing sponsored subsidiary branch information, [go to Chapter 5.8.6. Manage Sponsored Subsidiary Branches](#).



### *5.8.5.3 Add a Sponsored Entity*

There are two ways a sponsoring entity can add sponsored entities to its FATCA account. A sponsoring entity can:

- Add an individual sponsored entity
- Add multiple sponsored entities at once using a file upload

#### 5.8.5.3.1 Add an Individual Sponsored Entity

1. Select the **manage sponsored entities** link under Your Information on the home page to go to the manage sponsored entities page.

## Manage Sponsored Entities

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

### Single Sponsored Entity Maintenance: ?

[Add an Individual Sponsored Entity](#)

### Add Multiple Sponsored Entities: ?

Upload multiple Sponsored Entities using a file.

[Information for preparing file](#)

#### Upload Completed Sponsored Entities File: ?

### Sponsored Entities

[Download Complete Sponsored Entities List \(PDF\)](#)[Download Complete Sponsored Entities List \(CSV\)](#)

4,503 items, displaying 1 to 10.

[First/ Prev] **1**, [2](#), [3](#), [4](#), [5](#), [6](#), [7](#), [8](#), [9](#), [10](#) [Next/ Last]

Legal Name	Country/ Jurisdiction	Classification	Sponsored Entity ID	Status	Status Date	GIIN	Effective Date	COPA Date	Last Periodic Certification	
Sponsored Entity 1	Country 1	Sponsored Subsidiary	XXXXXX.00 001	Submitted	01/01/2015					<a href="#">edit</a> <a href="#">delete</a> <a href="#">branches</a>
Sponsored Entity 2	Country 2	Sponsored Fund	XXXXXX.00 002	Submitted	01/02/2015					<a href="#">edit</a> <a href="#">delete</a>
Sponsored Entity 3	Country 3	Sponsored Fund	XXXXXX.00 003	Approved	01/15/2015	XXXXXX.XXXX3.SF.XXX	01/15/2015			<a href="#">edit</a> <a href="#">cancel</a>
Sponsored Entity 4	Country 4	Sponsored Subsidiary	XXXXXX.00 004	Canceled	06/01/2020		01/15/2015	07/15/2018	07/15/2018	
Sponsored Entity 5	Country 5	Sponsored Fund	XXXXXX.00 005	Under Review	06/03/2020					

Figure 84 – Add an individual sponsored entity – Manage sponsored entities page

2. Select the **add an individual sponsored entity** link on the manage sponsored entities page.

Add Sponsored Entity

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

\* required fields

Legal Name of the Sponsored Entity:\* 

?

Country/Jurisdiction:\* 

?

Select Country/Jurisdiction

Classification:\* 

?

Select Classification

Cancel

Submit

Figure 85 – Add an individual sponsored entity – Add a sponsored entity

3. Enter the legal name of the sponsored entity. See the box below for a definition of sponsored entity legal name:

#### Definition of legal name

The legal name is the name of the sponsored entity used in official incorporation or organization documents, or the name otherwise recognized by the residence jurisdiction government as the sponsored entity's official name. Typically, the legal name is the name used by the sponsored entity in legal documents.

4. Select the sponsored entity's country/jurisdiction from the drop-down list. For a list of available countries in the drop-down lists, [go to the FATCA Online Registration System: Country/Jurisdiction Listing page](#). See the box below for a definition of country/jurisdiction:

## Definition of country/jurisdiction

The jurisdiction of residence means the jurisdiction in which the sponsored entity is treated as a resident for income tax purposes (for example, the place of incorporation or place of principal management and control). For a partnership or other flow-through entity, the sponsored entity's jurisdiction is under the laws of the jurisdiction which the entity is organized or established or, if not organized or established under the laws of any jurisdiction, the jurisdiction where it maintains its principal office.

5. Choose one of the following FATCA classifications to identify the sponsored entity in its country/jurisdiction:



**Table 27 – FATCA Sponsored Entity Classifications**

<b>Select</b>	<b>If</b>
Sponsored Subsidiary	the sponsored entity is a sponsored FFI that is a sponsored controlled foreign corporation.
Sponsored Fund	the sponsored entity is a sponsored FFI that is a sponsored investment entity.
Sponsored Direct Reporting NFFE	the sponsored entity is a direct reporting NFFE that has another entity, other than a nonparticipating FFI, that agrees with the NFFE to act as its sponsoring entity.

6. Select one of the following:

- To return to the manage sponsored entities page without adding the sponsored entity:

Click the “cancel” button.

- To add the sponsored entity:

Click the “submit” button.

7. If you added a sponsored fund or a sponsored direct reporting NFFEs, the system will direct you to the manage sponsored entities page. If you added a sponsored subsidiary, you can add sponsored subsidiary branches on the next screen.

Manage Sponsored Subsidiary Branches

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

Sponsored Subsidiary Legal Name:Sponsored Entity 4

Sponsored Subsidiary Country/Jurisdiction: Country 4

Sponsored Entity ID:XXXXXX.00004

\* required fields

List each country/jurisdiction in which the Sponsored Subsidiary maintains a branch. If none click "Back to Manage Sponsored Entities" to return to your list of Sponsored Entities.

Branch Country/Jurisdiction: \*

Select Country/Jurisdiction

Add Another

Sponsored Subsidiary Branch Information

No Items.

Country /Jurisdiction	GIIN	
-----------------------	------	--

Back to Manage Sponsored Entities

Figure 86 – Add an individual sponsored entity – Manage sponsored subsidiary branches

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8. Beginning with the first sponsored subsidiary branch, select the country/jurisdiction in which the branch is located from the dropdown list. A sponsoring entity can only add one sponsored subsidiary branch per country/jurisdiction for each sponsored entity. For a list of available countries in the drop-down lists, [go to the FATCA Online Registration System: Country/Jurisdiction Listing page](#).
9. Click on the “add another” button to add the sponsored subsidiary branch.
10. If the sponsored entity has a sponsored subsidiary branch in an additional country/jurisdiction, repeat the instructions for steps 8 and 9 for each sponsored subsidiary branch until all are added. As sponsored subsidiary branches are added, the branch information will display in the table below the “add another” button. The

table is sorted by the country/jurisdiction of the sponsored subsidiary branch.

11. To return to the manage sponsored entities page, click the “back to manage sponsored entities” button.

#### 5.8.5.3.2 Add multiple sponsored entities using a file upload

A sponsoring entity can submit multiple sponsored entity records to the online registration system using a file upload. The file upload option allows a sponsoring entity to add many sponsored entities (and sponsored subsidiary branches) at once, rather than adding each individually.

The figure below illustrates the file upload process:

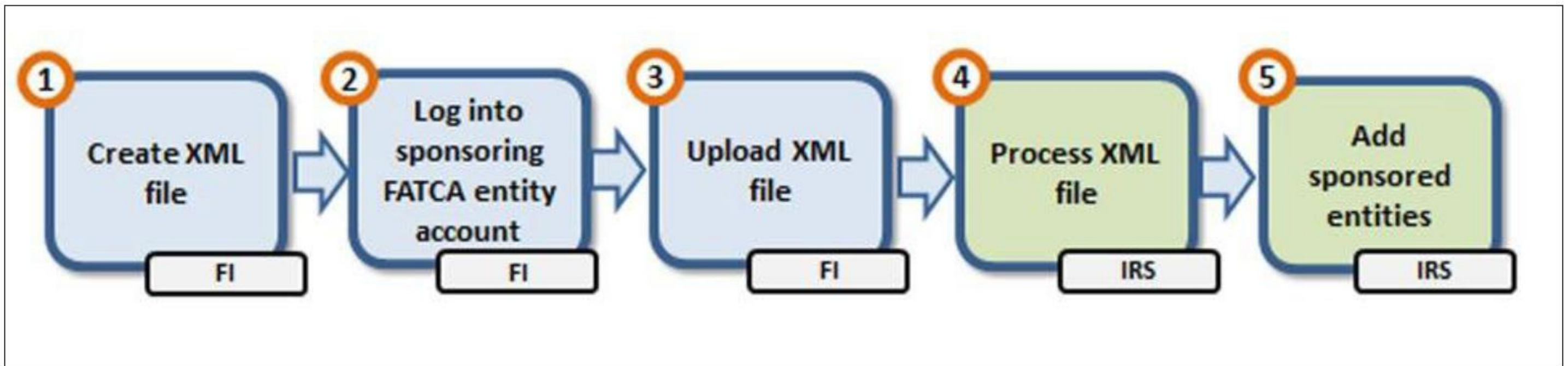


Figure 87 – Sponsored entity file upload process



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## **Step 1: Create XML file**

Step 1 requires users to create an XML file which can be done in two ways:

- Users unfamiliar with XML should use The FATCA Registration Sponsored Entity Data Preparation Tool to create an XML file. The tool and step by step instructions can be found on the [Information for Adding Multiple Sponsored Entities Using a File Upload page](#).
- Users familiar with XML and who wish to create an XML file without using the Data Preparation Tool can find instructions on how to download the schema, prepare, and validate the XML file:
  - In this user guide, go to Appendix D - XML File Preparation Instructions for Adding Multiple Sponsored Entities using a File Upload.

- On the FATCA website, Information for Adding Multiple Sponsored Entities Using a File Upload page.

After creating the file, continue to the instructions below on how to select and upload the file. These instructions also describe how the file is processed and added to the sponsoring entity's FATCA account.

## **Step 2: Log into sponsoring entity FATCA account**

1. Select the **manage sponsored entities** link under Your Information on the home page. The **manage sponsored entities** link will be available when the sponsoring entity's account is in approved status.

## Manage Sponsored Entities

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

### Single Sponsored Entity Maintenance: ?

[Add an Individual Sponsored Entity](#)

### Add Multiple Sponsored Entities: ?

Upload multiple Sponsored Entities using a file.

[Information for preparing file](#)

#### Upload Completed Sponsored Entities File: ?

### Sponsored Entities

[Download Complete Sponsored Entities List \(PDF\)](#)[Download Complete Sponsored Entities List \(CSV\)](#)

4,503 items, displaying 1 to 10.

[First/ Prev]1, [2](#), [3](#), [4](#), [5](#), [6](#), [7](#), [8](#), [9](#), [10](#) [Next/Last]

Legal Name	Country/ Jurisdiction	Classification	Sponsored Entity ID	Status	Status Date	GIIN	Effective Date	COPA Date	Last Periodic Certification	
Sponsored Entity 1	Country 1	Sponsored Subsidiary	XXXXXX.00001	Submitted	01/01/2015					<a href="#">edit</a> <a href="#">delete</a> <a href="#">branches</a>
Sponsored Entity 2	Country 2	Sponsored Fund	XXXXXX.00002	Submitted	01/02/2015					<a href="#">edit</a> <a href="#">delete</a>
Sponsored Entity 3	Country 3	Sponsored Fund	XXXXXX.00003	Approved	01/15/2015	XXXXXX.XXXX3.SF.XXX	01/15/2015			<a href="#">edit</a> <a href="#">cancel</a>
Sponsored Entity 4	Country 4	Sponsored Subsidiary	XXXXXX.00004	Canceled	06/01/2020		01/15/2015	07/15/2018	07/15/2018	
Sponsored Entity 5	Country 5	Sponsored Fund	XXXXXX.00005	Under Review	06/03/2020					

Figure 88 – Add multiple sponsored entities using a file upload – Manage sponsored entities page

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2. Click on the "browse" button on the manage sponsored entities page.
3. A dialog box will display prompting you to locate the XML file on your computer. Select the XML file you wish to upload and click the "open" button. Only one file can be selected at a time.

**NOTE:** The browse/upload box may display differently depending on type of Internet browser.

*XML file name requirements:*

- Must be 250 characters or less
- Valid characters are uppercase and lowercase letters, A through Z, and numbers, 0 through 9, and underscore (\_)
- No blank spaces
- The extension of the filename must be ".xml"

### **Step 3: Upload XML file**

1. Click “upload” button to begin to upload the XML file.
2. A pop-up message will display notifying you that it will take some time to upload the file. Select one of the following:
  - To return to the page without uploading the file:

Click the “cancel” button.
  - To upload the file:

Click the “OK” button.
3. The file will either not be accepted for processing or accepted for processing:
  - File not accepted: If the file contains errors at the time of the upload, it will not be accepted and an error message will display with additional information about the



error. A message will be posted to your message board with information about the error.

- **File accepted:** If the file contains no errors at the time of the upload, the file will be accepted for processing and a confirmation page will display with a confirmation number. A message will be posted to your message board with the confirmation information. Allow 48 hours for the sponsored entities (and sponsored subsidiary branches) included in the accepted XML file to be processed and added to the sponsored entity table.

This page is intentionally left blank

**Uploaded File Accepted - Pending Processing**

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

The sponsored entities file you uploaded has been accepted for processing.

Your file confirmation number is: 2938432

The sponsored entities included in the file will not be added to your sponsored entity table until processing is complete. Monitor your message board for updates on the processing of your file.

Ok

Figure 89 – Add multiple sponsored entities using a file upload – Uploaded file accepted

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## **Step 4: Process XML file**

Within 48 hours of an accepted file upload, a message will be posted to your message board with information on the processing status of the file. The message will include the file's confirmation number.

The file will either not be processed or complete processing:

- **File not processed:** The message board message will provide additional information on why the file could not be processed.
- **File processing complete:** The file was processed successfully. The message board message will provide information on the number of records that were added to the sponsored entity table. The number of records refers only to the number of sponsored entities added and does not include any sponsored subsidiary branches.

## Step 5: Add sponsored entities

If the file is processed successfully, you can view your sponsored entities by selecting the **manage sponsored entities** link on the home page. The records will be in submitted status and awaiting a GIIN. Monitor your message board for updates on the status of the sponsored entities.

The table below contains possible errors you may receive during the process of adding sponsored entities. If applicable, a message will be posted to your message board containing additional information about the error.

**Table 28 – Possible errors that may occur when adding sponsored entities**

Error Type	Next Steps
The file format is incorrect. Verify	Validate the file against the XML schema using any XML editor. Follow the

that the XML is formatted correctly	error message's instructions to correct the XML elements and revalidate the file. Upload the corrected file
The FATCA ID of the sponsoring entity in the file does not match your FATCA ID	The FATCA ID in the XML file must be the same FATCA ID of the account you are uploading to. Correct the XML file and upload the corrected file
The file failed security screening	Create and upload a new XML file
The file contains restricted characters	Verify that you have not used two hyphens in a row without characters in between, (--) are not allowed. Replace any use of an ampersand (&), with



	"&";"
Adding these sponsored entities to your existing sponsored entities will exceed the maximum number allowed (5000)	<p>The number of records in the file, plus the number of sponsored entities in the sponsored entity table, will cause the total to exceed 5000 records.</p> <p>Review your sponsored entities table and submit a new file that will not exceed the record limit</p>
The file failed schema validation. One or more records in your file does not meet the requirements for adding a sponsored entity or sponsored subsidiary branch	<p>Validate the file against the XML schema using any XML editor. Follow the error message's instructions to correct the XML elements, including the schema version, and revalidate the file. Upload the corrected file</p>

record, or the schema version is not correct	
A system error has occurred. Try again later	Upload the file again at a later time
Your file could not be processed due to a system error. You need to resubmit your file	Upload the file again
Your file was partially processed, but processing could not be completed due to a system error	Review your sponsored entities table to determine which records were successfully added. Create and upload a new file containing only the records that were not added to the sponsored entity table

#### *5.8.5.4 Edit a Sponsored Entity*

Sponsoring entities in approved status can edit a sponsored entity's legal name from the sponsored entities table on the manage sponsored entities page. A sponsored entity's legal name can only be edited if the sponsored entity is in submitted or approved status.

1. Select the **manage sponsored entities** link under Your Information on the home page to display the manage sponsored entities page.
2. From the sponsored entities table, select the **edit** link next to sponsored entity whose legal name you wish to edit.

**Edit Sponsored Entity**

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

\* required fields

Sponsored Entity ID: XXXXXX.00004

Legal Name of the Sponsored Entity:\* 

Sponsored Entity 1

Country/Jurisdiction: 

Country 1

Classification: 

Sponsored Fund

Cancel

Submit

Figure 90 – Edit a sponsored entity’s legal name

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3. Enter the new legal name of the sponsored entity.
4. Select one of the following:
  - Click “cancel” to return to the manage sponsored entities page without editing the legal name.
  - Click “submit” to save the changes and return to the manage sponsored entities page.

To change the country/jurisdiction or the classification of a sponsored entity, the sponsored entity must be canceled or deleted and added again with the new country/jurisdiction or classification information.

#### *5.8.5.5 Cancel a Sponsored Entity (for sponsored entities in approved status only)*

A sponsoring entity in approved status can cancel sponsored entities in approved status

from the sponsored entities table on the manage sponsored entities page.

1. Select the **manage sponsored entities** link under Your Information on the home page.
2. From the sponsored entities table, select the **cancel** link next to the approved sponsored entity record you wish to cancel.
3. A warning message will display. Canceling a sponsored entity will cause the sponsored entity and their sponsored subsidiary branches to no longer appear on the published IRS FFI List and their GIINs to no longer be valid. Select one of the following:
  - To go back without canceling the sponsored entity:  
Click the “cancel” button.



- To continue and cancel the sponsored entity:

Click the “OK” button.

After canceling a sponsored entity, the sponsored entity will remain in the sponsored entities table with a status of canceled.

#### *5.8.5.6 Delete a Sponsored Entity (for sponsored entities in submitted status only)*

A sponsoring entity in approved status can delete sponsored entities in submitted status from the sponsored entities table on the manage sponsored entities page.

1. Select the **manage sponsored entities** link under Your Information on the home page.
2. From the sponsored entities table, select the **delete** link next to the sponsored entity record you wish to delete.

3. A warning message will display. Deleting a sponsored entity in submitted status will also delete its sponsored subsidiary branches. Select one of the following:

- To go back without deleting the sponsored entity:

Click the “cancel” button.

- To continue and delete the sponsored entity:

Click the “OK” button.

After deleting a sponsored entity, the sponsored entity will no longer appear in the sponsored entities table.

## 5.8.6 Manage Sponsored Subsidiary Branches

A sponsored entity with a sponsored subsidiary classification can have branches (sponsored subsidiary branches) and can add and delete their sponsored subsidiary branches via the **manage sponsored entities** link on the home page when the sponsored entity is in submitted or approved status.

### *5.8.6.1 View Sponsored Subsidiary Branch Information*

Sponsored subsidiary branches can be viewed from the sponsored entities table. Select the **manage sponsored entities** link under Your Information on the home page to go to the manage sponsored entities page.

## Manage Sponsored Entities

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

### Single Sponsored Entity Maintenance: ?

[Add an Individual Sponsored Entity](#)

### Add Multiple Sponsored Entities: ?

Upload multiple Sponsored Entities using a file.

[Information for preparing file](#)

#### Upload Completed Sponsored Entities File: ?

## Sponsored Entities

[Download Complete Sponsored Entities List \(PDF\)](#)[Download Complete Sponsored Entities List \(CSV\)](#)

4,503 items, displaying 1 to 10.

[First/ Prev]1, [2](#), [3](#), [4](#), [5](#), [6](#), [7](#), [8](#), [9](#), [10](#) [Next/Last]

Legal Name	Country/ Jurisdiction	Classification	Sponsored Entity ID	Status	Status Date	GIIN	Effective Date	COPA Date	Last Periodic Certification	
Sponsored Entity 1	Country 1	Sponsored Subsidiary	XXXXXX.00001	Submitted	01/01/2015					<a href="#">edit</a> <a href="#">delete</a> <a href="#">branches</a>
Sponsored Entity 2	Country 2	Sponsored Fund	XXXXXX.00002	Submitted	01/02/2015					<a href="#">edit</a> <a href="#">delete</a>
Sponsored Entity 3	Country 3	Sponsored Fund	XXXXXX.00003	Approved	01/15/2015	XXXXXX.XXXX3.SF.XXX	01/15/2015			<a href="#">edit</a> <a href="#">cancel</a>
Sponsored Entity 4	Country 4	Sponsored Subsidiary	XXXXXX.00004	Canceled	06/01/2020		01/15/2015	07/15/2018	07/15/2018	
Sponsored Entity 5	Country 5	Sponsored Fund	XXXXXX.00005	Under Review	06/03/2020					

Figure 91 – Manage sponsored subsidiary branches – sponsored entities table

Select the **branches** link next to the sponsored entity record to view the sponsored subsidiary branch information.

Manage Sponsored Subsidiary Branches

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

Sponsored Subsidiary Legal Name:Sponsored Entity 4

Sponsored Subsidiary Country/Jurisdiction: Country 4

Sponsored Entity ID:XXXXXX.00004

\* required fields

List each country/jurisdiction in which the Sponsored Subsidiary maintains a branch. If none click "Back to Manage Sponsored Entities" to return to your list of Sponsored Entities.

Branch Country/Jurisdiction: \*

Select Country/Jurisdiction

Add Another

Sponsored Subsidiary Branch Information

2 items, displaying 1 to 2

Country /Jurisdiction	GIIN	
Country 1		<a href="#">delete</a>
Country 2		<a href="#">delete</a>

[Download Complete Sponsored Subsidiary Branch List \(PDF\)](#)

[Download Complete Sponsored Subsidiary Branch List \(CSV\)](#)

Back to Manage Sponsored Entities

Figure 92 – Manage sponsored subsidiary branches – sponsored subsidiary branch information

The sponsored subsidiary branch information includes the sponsored subsidiary branch's country/jurisdiction and GIIN. A GIIN will be displayed only if it is in approved status.

*5.8.6.2 Download a list of an individual sponsored entity's sponsored subsidiary branches:*

1. To download the list in PDF or CSV format, select one of the following links:
  - **Download complete sponsored subsidiary branch List (PDF).**
  - **Download complete sponsored subsidiary branch list (CSV).**

**NOTE:** If the sponsored entity has no sponsored subsidiary branches, the table will contain no items and the links will not be available.

2. 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.
4. Click the “back to manage sponsored entities” button to return to the manage sponsored entities page.

You can download a complete list of sponsored subsidiary branches directly from the home page. [Go to Chapter 5.6.7 Download Registration Tables](#) for more information.

#### *5.8.6.3 Add a sponsored subsidiary branch*

1. After you have selected the **branches** link next to the correct sponsored entity record, select the country/jurisdiction in which the sponsored subsidiary branch is located from the drop-down list. A sponsoring



entity can only add one sponsored subsidiary branch per country/jurisdiction for each sponsored entity. For a list of available countries in the drop-down lists, [go to the FATCA Online Registration System: Country/Jurisdiction Listing page.](#)

2. Click on the “add another” button to add the sponsored subsidiary branch. If the sponsored entity has a sponsored subsidiary branch in an additional country/jurisdiction, repeat the instructions for steps 1 and 2 for each sponsored subsidiary branch until all are added.

As sponsored subsidiary branches are added, the branch information will display in the table below the “add another” button. The table is sorted by the country/jurisdiction of the sponsored subsidiary branch.

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Sponsored Subsidiary Branch Information

2 items, displaying 1 to 2

Country / Jurisdiction	GIIN	
Country 1		<a href="#">delete</a>
Country 2		<a href="#">delete</a>

[Download Complete Sponsored Subsidiary Branch List \(PDF\)](#)

[Download Complete Sponsored Subsidiary Branch List \(CSV\)](#)

Back to Manage Sponsored Entities

Figure 93 – Manage sponsored subsidiary branches – sponsored subsidiary branch entries

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4. To return to the manage sponsored entities page, click the “back to manage sponsored entities” button

#### *5.8.6.4 Delete a Sponsored Subsidiary Branch*

1. Select the **manage sponsored entities** link under Your Information on the home page.
2. From the manage sponsored entities table, select the **branches** link next to the sponsored entity record to view the sponsored subsidiary branch information.
3. From the manage sponsored subsidiary branches page, select the **delete** link next to sponsored subsidiary branch record you wish to delete.
4. A warning message will display. Deleting a sponsored subsidiary branch will delete the GIIN and cause the sponsored subsidiary branch to not to

appear on the next published IRS FFI List.

- To go back without deleting the sponsored subsidiary branch:

Click the “cancel” button.

- To continue and delete the sponsored subsidiary branch:

Click the “OK” button.