ΠΑΡΑΡΤΗΜΑ Α

Στο παράρτημα παρουσιάζεται το σύνολο των κανόνων ελέγχου σε επίπεδο αρχείου και πληροφορίας βάση XML FATCA 2.0.

AA	Xml Section	Validation	Message	Entity Type
1.	XML File	XML Format	Wrong Xml Format	All
2.	MessageSpec.Contact	Must be emtpy	Contact Field Must Be Empty	All
3.	MessageSpec.ReportingPeriod.Year	Year must be as the selected reporting period year	Reporting Period is not Correct	All
4.	MessageSpec.TransmittingCountry	Must be "GR"	Transmitting Country is not Correct	All
5.	MessageSpec.ReceivingCountry	Must be "US"	Receiving Country is not Correct	All
6.	MessageSpec.CorrMessageRefId	If report is Initial, the field should not exist	CorrMessageRefId must be empty on Header (MessageSpec) if Type is FATCA1!	All
7.	MessageSpec.CorrMessageRefId	If report is not Initial, the field should exist	CorrMessageRefId must be non empty on Header (MessageSpec) if Type is not FATCA1!	All
8.	Fatca.ReportingFI.DocSpec.DocTypeIndic	Initial Can Be Only FATCA1 or FATCA11. All Types are allowed for non Initial Upload.	Wrong Fatca File Type!	All
9.	Fatca.ReportingFI.DocSpec.CorrDocRefId	If report is Initial, the field should not exist or should not have value	Reporting FI cannot have CorrDocRefId and CorrMessageRefId values if Type is FATCA1!	All
10.	Fatca.ReportingFI.DocSpec.CorrMessageRefId	If report is Initial, the field should not exist or should not have value	Reporting FI cannot have CorrDocRefId and CorrMessageRefId values if Type is FATCA1!	All
11.	Fatca.ReportingFI.DocSpec.CorrDocRefId	If report is not initial, the field should have value	Reporting FI must have CorrDocRefId and CorrMessageRefId values if Type is different than FATCA1!	All

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No	Field	Condition	Error Message	Report Type
12.	Fatca.ReportingFI.DocSpec.CorrMessageRefId	If report is not Initial is different from FATCA1 or FATCA11, the field should have value	Reporting FI must have CorrDocRefId and CorrMessageRefId values if Type is different than FATCA1!	All
13.	Fatca.ReportingFI.DocSpec.CorrDocRefId, Fatca.ReportingFI.DocSpec.CorrMessageRefId	If report is not Initial,it should have already been uploaded a report with DocRefId equal to CorrDocRefId and CorrMessageRefId equal to MessageRefId as ReportingFI.	ReportingFI CorrDocRefId: "CorrDocRefId" or CorrMessageRefId "CorrMessageRefId" does not exists	All
14.	Fatca.ReportingFI.DocSpec.CorrDocRefId, Fatca.ReportingFI.DocSpec.CorrMessageRefId	If report is not Initial, check the structure of the field according to regular expression $^{[a-zA-Zo-9]\{6\}\.\d\{1,6\}\.[a-zA-Z]\{2\}\.\d\{1,3\}\.[a-zA-Zo-9]\{8\}\-[a-zA-Zo-9]\{4\}\-[a-zA-Zo-9]\{4\}\-[a-zA-Zo-9]\{4\}\-[a-zA-Zo-9]\{12\}}$	Wrong RefId Format For ElementId CorrDocRefId, Wrong RefId Format For ElementId CorrMessageRefId	All
15.	Fatca.ReportingFI.DocSpec.CorrDocRefId, Fatca.ReportingFI.DocSpec.CorrMessageRefId	If report is not initial, the first 19 characters should be equal to the GIIN of the Sponsoring entity	Wrong Giin For ElementId CorrDocRefId. Wrong Giin For ElementId CorrMessageRefId	All
16.	Fatca.ReportingGroup.PoolReport	Section should not exist	Pool Reports Are Not Allowed for IGA Molel 1A.	All
17.	Fatca.ReportingGroup.AccountReport.DocSpec.DocTypeIndic	If section exists, field should be equal to the value of Fatca.ReportingFI.DocSpec.DocTypeIndic	Account with Number : AccountNumber.Value has Invalid report Type	All
18.	Fatca.ReportingGroup.NillReport.DocSpec.DocTypeIndic	If section exists, field should be equal to the value of Fatca.ReportingFI.DocSpec.DocTypeIndic	Nill Report has Invalid report Type	All

19.	Fatca.ReportingGroup.NillReport.DocSpec.DocRefId	If section exists, check if it has been already uploaded a report with the same DocRefId as Nill Report	Nill Report DocRefId allready exists!	All
20.	Fatca.ReportingGroup.NillReport.DocSpec.CorrDocRefId, Fatca.ReportingGroup.NillReport.DocSpec.CorrMessageRefId	If it is initial report and section exists, values should be empty or null	Nill Report CorrMessageRefId and CorrDocRefId should be empty	All
21.	Fatca.ReportingGroup.NillReport.DocSpec.CorrDocRefId, Fatca.ReportingGroup.NillReport.DocSpec.CorrMessageRefId	If it is not initial and section exists, report values should be not empty or null	Nill Report CorrMessageRefId and CorrDocRefId must be non Empty	All
22.	Fatca.ReportingGroup.NillReport.DocSpec.CorrDocRefId, Fatca.ReportingGroup.NillReport.DocSpec.CorrMessageRefId	If report is not Initial and section exists, it should have already been uploaded a report with DocRefId equal to CorrDocRefId and CorrMessageRefId equal to MessageRefId as Nill Report.	Nill Report CorrDocRefId: "CorrDocRefId" or CorrMessageRefId "CorrMessageRefId" does not exists	All
23.	Fatca.ReportingGroup.NillReport, Fatca.ReportingGroup.AccountReport	It should not exist both sections in the same report	ReportingGroup Cannot Contain Both Account Reports And Nill Report	All
24.	Fatca.ReportingGroup.Intermediary.DocSpec.DocRefId	If section exists, check if it has been already uploaded a report with the same DocRefId as Intermediary	Intermediary DocRefId allready exists!	All
25.	Fatca.ReportingGroup.Intermediary.DocSpec.DocTypeIndic	If section exists, field should be equal to the value of Fatca.ReportingFI.DocSpec.DocTypeIndic	Intermediary Must Have same Report Type as Reporting FI	All

No.	Element	Description	Error Message	
26.	Fatca.ReportingGroup.Intermediary.DocSpec.CorrDocRefId, Fatca.ReportingGroup.Intermediary.DocSpec.CorrMessageRefId	If it is initial report and section exists, values should be empty or null	Intermediary Must Have Empty CorrDocRefId and CorrMessageRefId	All
27.	Fatca.ReportingGroup.Intermediary.DocSpec.DocRefId	If section exists, check the structure of the field according to regular expression ^[a-zA-Zo-9]{6}\.\d{1,6}\.[a-zA-Z]{2}\.\d{1,3}	Wrong RefId Format For ElementId DocRefId	All
28.	Fatca.ReportingGroup.Intermediary.DocSpec.DocRefId	If section exists, the first 19 characters should be equal to the GIIN of the Sponsoring entity	Wrong Giin For ElementId DocRefId	All
29.	Fatca.ReportingGroup.Intermediary.DocSpec.CorrDocRefId, Fatca.ReportingGroup.Intermediary.DocSpec.CorrMessageRefId	If it is not initial and section exists, values should not be empty or null	Intermediary Must Have both non Empty CorrDocRefId and CorrMessageRefId	All
30.	Fatca.ReportingGroup.Intermediary.DocSpec.CorrDocRefId, Fatca.ReportingGroup.Intermediary.DocSpec.CorrMessageRefId	If report is not Initial and section existsit should have already been uploaded a report with DocRefId equal to CorrDocRefId and CorrMessageRefId equal to MessageRefId as Intermediary.	Intermediary CorrDocRefId or CorrMessageRefId does not exists	All
31.	Fatca.ReportingGroup.Intermediary.DocSpec.CorrDocRefId, Fatca.ReportingGroup.Intermediary.DocSpec.CorrMessageRefId	If report is not initial and section exists, check the structure of the field according to regular expression ^[a-zA-Zo-9]{6}\.\d{1,6}\.[a-zA-Z]{2}\.\d{1,3}\.[a-zA-Zo-9]{8}\-[a-zA-Zo-9]{4}\-[a-zA-Zo-9]{4}\-[a-zA-Zo-9]{4}\-[a-zA-Zo-9]{12}	Wrong RefId Format For ElementId CorrDocRefId, Wrong RefId Format For ElementId CorrMessageRefId	All

#	Field	Description	Error Message	Scope
32.	Fatca.ReportingGroup.Intermediary.DocSpec.CorrDocRefId, Fatca.ReportingGroup.Intermediary.DocSpec.CorrMessageRefId	If report is not initial and section exists, the first 19 characters should be equal to the GIIN of the Sponsoring entity	Wrong Giin For ElementId CorrDocRefId, Wrong Giin For ElementId CorrMessageRefId	All
33.	Fatca.ReportingGroup.AccountReport.DocSpec.DocRefId	Check if it has been already uploaded a report with the same DocRefId as Account Report	DocRefId exists on other record.	All
34.	Fatca.ReportingGroup.AccountReport.DocSpec.CorrDocRefId, Fatca.ReportingGroup.AccountReport.DocSpec.CorrMessageRefId	If it is initial report and section exists, values should be empty or null	CorrDocRefId and CorrMessageRefId Must Be Null For FATCA1 and FATCA11 Types	All
35.	Fatca.ReportingGroup.AccountReport.DocSpec.CorrDocRefId, Fatca.ReportingGroup.AccountReport.DocSpec.CorrMessageRefId	If it is not initial report and section exists, values should not be empty or null	CorrDocRefId and CorrMessageRefId cannot be empty For DocRefId Type	All
36.	Fatca.ReportingGroup.AccountReport.DocSpec.CorrDocRefId	If report is not Initial and section exists, it should have already been uploaded a report with DocRefId equal to CorrDocRefId as Account Report.	CorrDocRefId CorrDocRefId is not refering Any previous File for the same Period	All
37.	Fatca.ReportingGroup.AccountReport.DocSpec.CorrMessageRefId	If report is not Initial and section exists, it should have already been uploaded a report with MessageRefId equal to CorrMessageRefId as Account Report.	CorrMessageRefId CorrMessageRefId is not refering Any previous File for the same Period	All

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#	Field	Description	Message	Scope
38.	Fatca.ReportingGroup.AccountReport.D ocSpec.CorrMessageRefId	For Amendments, Corrections and Void Check Response for CorrMessageRefId from IRS Check If we have NFV (Valid File Notification) From IRS for CorrMessageRefId	Did not Get Response from IRS for MessageRefId CorrMessageRefId	All
39.	Fatca.ReportingGroup.AccountReport.D ocSpec.CorrDocRefId	For Amendments Check If we have received Record Error Response From IRS for the record with DocRefId equal to CorrDocRefId	Got Response from IRS for CorrDocRefId CorrDocRefId	All
40.	Fatca.ReportingGroup.AccountReport.D ocSpec.CorrDocRefId	For Corrected Data, A Field Or Record Level Error Response should Have been sent From IRS for the record with DocRefId equal to CorrDocRefId	Did not Get Response from IRS for CorrDocRefId CorrDocRefId	All
41.	Fatca.ReportingGroup.AccountReport.D ocSpec.DocRefId	If section exists, the first 19 characters should be equal to the GIIN which uploaded the report	Invalid DocRefId: DocRefId	All
42.	Fatca.ReportingGroup.AccountReport.D ocSpec.DocRefId	If section exists, the first 19 characters should be equal to the GIIN which uploaded the report	Invalid CorrDocRefId: CorrDocRefId	All
43.	Fatca.ReportingGroup.AccountReport.A ccountHolder.Individual/Organisation. Address.CountryCode	It should be a valid country code from the country codes in the dbo.COUNTRIES table in Fatca database	Invalid country	All
44.	Fatca.ReportingGroup.AccountReport.A ccountHolder.Individual/Organisation. Address.City	Value should not be empty	State/Region is mandatory	All
45.	Fatca.ReportingGroup.AccountReport.A ccountBalance.currCode	Value should not be empty	Currency code is mandatory	All

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46.	Fatca.ReportingGroup.AccountReport.AccountHolder.Individual.Name.LastName or Fatca.ReportingGroup.AccountReport.AccountHolder.Organisation.Name	Value should not be empty	Name (Individual or Organisation) is mandatory	All
47.	Fatca.ReportingGroup.AccountReport.AccountHolder.Individual/Organisation.Address..AddressFix	Value should not be empty	Address (Individual or Organisation) is mandatory	All
48.	Fatca.ReportingGroup.AccountReport.AccountBalance	Value should not be negative	Balance cannot be negative	All
49.	Fatca.ReportingGroup.AccountReport.AccountBalance.currCode	Length should be equal to 3	Invalid currency code	All
50.	Fatca.ReportingGroup.AccountReport.Payment.PaymentAmnt	Value should not be negative (Payment.Type == FATCA502)	Interest cannot be negative	All
51.	Fatca.ReportingGroup.AccountReport.Payment.PaymentAmnt	Value should not be negative (Payment.Type == FATCA501)	Dividends cannot be negative	All
52.	Fatca.ReportingGroup.AccountReport.Payment.PaymentAmnt	Value should not be negative (Payment.Type == FATCA503)	Gross proceeds cannot be negative	All
53.	FATCA	It should be only one FATCA element on the XML	Only one FATCA Element is allowed	Non Sponsoring

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54.	Fatca.ReportingFI.TIN	It should be only one	Only one GIIN allowed on Signle Upload	Non Sponsoring
55.	Fatca.ReportingFI.TIN	Fatca.ReportingFI.TIN should be equal to the GIIN uploading the report	The file does not contain the Correct Giin for Upload!	Non Sponsoring
56.	Fatca.ReportingFI.FilerCategory	Field should not be empty	FilerCategory is Mandatory	Non Sponsoring
57.	Fatca.ReportingFI.FilerCategory	The value should be FATCA610	Wrong FilerCategory specified	Non Sponsoring
58.	Fatca.ReportingFI.Address	Address section should exist	Address Is Required on Section ReportingFI	Non Sponsoring
59.	Fatca.ReportingFI.DocSpec.DocRefId	Check the structure of the field according to regular expression ^[a-zA-Zo-9]{6}\.\d{1,6}\.[a-zA-Z]{2}\.\d{1,3}	Wrong RefId Format For ElementId	Non Sponsoring
60.	Fatca.ReportingFI.DocSpec.DocRefId	The first 19 characters should be equal to the GIIN of the entity uploading the report	Wrong Giin For ElementId	Non Sponsoring
61.	Fatca.ReportingGroup	It should be only one section	Only one ReportingGroup allowed	Non Sponsoring
62.	Fatca.ReportingGroup.Sponsor	Section should not exist	Sponsor is Not Allowed For this Report	Non Sponsoring
63.	Fatca.ReportingFI.DocSpec.DocRefId	Check if it has been already uploaded a report with the same DocRefId as ReportingFI	ReportingFI DocRefId allready exists!	Sponsoring
64.	Fatca.ReportingGroup.Sponsor.DocSpec.DocRefId	Check the structure of the field according to regular expression ^[a-zA-Zo-9]{6}\.\d{1,6}\.[a-zA-Z]{2}\.\d{1,3}	Wrong RefId Format For ElementId	Sponsoring
65.	Fatca.ReportingGroup.Sponsor.DocSpec.DocRefId	The first 19 characters should be equal to the GIIN of the Sponsoring entity	Wrong Giin For ElementId	Sponsoring
66.	Fatca.ReportingGroup	There should be only one Reporting Group element per Fatca Element	Only one ReportingGroup allowed	Sponsoring

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67.	Fatcta.ReportingGroup.Sponsor	Sponsor should not be empty or null	Sponsored " Sponsored_ GIIN " must have Element Sponsor	Sponsoring
68.	Fatcta.ReportingFI.DocSpec.DocTypeIn dic , Fatcta.ReportingGroup.Sponsor.DocSpec .DocTypeIndic	Fields should be equal	Sponsor Must Have same Report Type as Reporting FI	Sponsoring
69.	Fatcta.ReportingGroup.Sponsor.DocSpec .DocRefId	Check if it has been already uploaded a report with the same DocRefId as Sponsor	Sponsor DocRefId allready exists!	Sponsoring
70.	Fatcta.ReportingGroup.Sponsor.FilerCat egorySpecified	Field should have value	Filler Category is mandatory inside Sponsor Element Insinde ReportingGroup Element for Sponsored : Sponsored_GIIN	Sponsoring
71.	Fatcta.ReportingGroup.Sponsor.FilerCat egorySpecified	Allowed values FATCA607 and FATCA608	Filler Category for Sponsored : " Sponsored_ GIIN " contains wrong Data.	Sponsoring
72.	Fatcta.ReportingGroup.Sponsor.TIN	Only 1 element allowed and its value should be equal to the GIIN of the Sponsoring Entity	"Incorrect Sponsor specified for Sponsored : Sponsored_GIIN	Sponsoring
73.	Fatcta.ReportingGroup.Sponsor.Address	Address section should exist	Address Is Required on Section Sponsor for Sponsor Sponsoring_ GIIN	Sponsoring
74.	Fatcta.ReportingGroup.Sponsor.DocSpec .CorrDocRefId, Fatcta.ReportingGroup.Sponsor.DocSpec .CorrMessageRefId	If it is initial report values should be empty or null	Sponsor Must Have Empty CorrDocRefId and CorrMessageRefId	Sponsoring
75.	Fatcta.ReportingGroup.Sponsor.DocSpec .CorrDocRefId, Fatcta.ReportingGroup.Sponsor.DocSpec .CorrMessageRefId	If it is not initial report values should not be empty or null	Sponsor Must Have both non Empty CorrDocRefId and CorrMessageRefId	Sponsoring

#	Field	Condition	Error Message	Category
76.	Fatca.ReportingGroup.Sponsor.DocSpec.CorrDocRefId, Fatca.ReportingGroup.Sponsor.DocSpec.CorrMessageRefId	If report is not Initial,it should have already been uploaded a report with DocRefId equal to CorrDocRefId and CorrMessageRefId equal to MessageRefId as Sponsor.	Sponsored CorrDocRefId: "CorrDocRefId" or CorrMessageRefId "CorrMessageRefId" does not exists	Sponsoring
77.	Fatca.ReportingGroup.Sponsor.DocSpec.CorrDocRefId, Fatca.ReportingGroup.Sponsor.DocSpec.CorrMessageRefId	If report is not initial, check the structure of the field according to regular expression ^[a-zA-Zo-9]{6}\.\d{1,6}\.[a-zA-Z]{2}\.\d{1,3}\.[a-zA-Zo-9]{8}\-[a-zA-Zo-9]{4}\-[a-zA-Zo-9]{4}\-[a-zA-Zo-9]{4}\-[a-zA-Zo-9]{12}	Wrong RefId Format For ElementId	Sponsoring
78.	Fatca.ReportingGroup.Sponsor.DocSpec.CorrDocRefId, Fatca.ReportingGroup.Sponsor.DocSpec.CorrMessageRefId	The first 19 characters should be equal to the GIIN of the Sponsoring entity	Wrong Giin For ElementId	Sponsoring
79.	Fatca.ReportingFI.TIN	Fatca.ReportingFI.TIN.Length!=1 (must be one TIN per ReportingFI)	Sponsored is Not declared for FFI	Sponsoring
80.	Fatca.ReportingFI.TIN	Fatca.ReportingFI.TIN must be member of the Sponsoring entity uploading the report	Sponsored with GIIN : "Sponsored_GIIN" is not Member of "Sponsoring_GIIN"	Sponsoring
81.	Fatca.ReportingFI.FilerCategorySpecified	If section exist	Filler Category must be declared on Sponsor Element Insinde ReportingGroup Element for Sponsored : "Sponsored_GIIN"	Sponsoring
82.	Fatca.ReportingFI.Address	Should not be empty	Address Is Required on Section ReportingFI for Sponsored "Sponsored_GIIN"	Sponsoring