



UNITED ARAB EMIRATES
MINISTRY OF FINANCE

USER MANUAL

REPORTING FINANCIAL INSTITUTION

FOR

AEOI PORTAL

UAE MINISTRY OF FINANCE

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1. INTRODUCTION

The UAE Ministry of Finance (MOF), has implemented a solution, called the Automatic Exchange of Information (AEOI) Portal (Portal). The solution will enable RFI with registration and reporting submissions related to the Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS) automatic exchange of information regimes. Risk, audit and related filings for the purposes of FATCA and/or CRS may also be undertaken through this Portal.

This document is intended to guide RFIs through the Portal's features and functionalities.

The Portal website address for access is: <https://fatcacrs.mof.gov.ae/>

Important Note 1: All users are required to register on this Portal by creating new accounts (one for maker, one for checker at the minimum). Please do not attempt to login using your credentials from the previous FATCA and CRS system(s) as the previous system(s) are no longer operational and any filing attempts in the previous FATCA and CRS system(s) will not be accepted for CY2021 filings onwards for the purposes of both FATCA and the CRS.

Please note that there are various user profiles which can be created with different functionalities, please read the instructions carefully before registering new users.

Important Note 2: All users must download the RFI reporting excel based templates (for FATCA and CRS) directly from the portal immediately prior to upload. Failure to use the version from the portal may result in invalid report submissions.

2. PREREQUISITES

The Portal works optimally on both Google Chrome (version 59+) and Microsoft Edge.

To use the Portal, a few prerequisites must be met. They are mentioned below under two categories:

- Prerequisites for the registration of a new user: Entity details and user details, along with the required documents for the entity must be provided during the registration process. Both Maker and Checker users must be registered to be able to submit filings (filings will only be accepted into the system if checker users approve).
- Approval from Regulatory Authorities (RAs), Ministry of Finance (in certain circumstances) and Checker user (for new registrations of Maker users) is required for access to the Portal as a registered user.

3. GENERAL INFORMATION FOR NEW USERS

To perform any activity on the Portal, a user must be registered. The following prerequisites are required for registering as a new user in the portal:

- Access to the Portal (refer to 'Introduction' section).

- At least 1 maker user and 1 checker user are required to complete the reporting submissions.
- A valid Email ID is required to receive notifications and the OTP (One Time Password) for access to the portal.
- The FATCA Global Intermediary Identification Number (GIIN) provided by the U.S. IRS and/or the Trade License number (of the entity) is required depending on whether the registration is for FATCA and/or CRS purposes (if you are registering for CRS purposes only, there is no requirement to provide a GIIN).
- Where an RFI is required to register with one or more RAs, sub GIINs will be created by the system upon registration of the main GIIN. The sub GIINs will be required to register with each of the subsequent RAs.
- Mandatory documents related to the entity, as per the license type selected during the registration process same document needs to be uploaded as proof.

General information related to the portal is as follows:

- Registration for Single GIIN (single RFI user for FATCA and/or CRS purposes) (which can subsequently be changed to add Multiple GIINs (multiple RFI user for FATCA and/or CRS), Multiple RA (same GIIN RFI but reporting to more than one RA) or Sponsor (FATCA) (for Sponsoring and Sponsored FFIs under the FATCA regime).
- An RFI may register multiple entities with reporting requirements to on the same RA using the **multiple GIIN** functionality, for example:
 - An RFI licensed by the Central Bank of the UAE (Central Bank) is also responsible for reporting obligations of an RFI licensed by Securities and Commodities authority (SCA). These are two different RFIs with different GIINs/trade licenses.
 - The RFI should firstly register with the Central Bank for “User approval” (first user). Upon approval of the user, the RFI can elect for the “Multiple GIIN” registration and add subsequent RFIs to be also registered, for example one with the SCA. The user will be locked upon addition of the second GIIN/trade license (and each subsequent additional GIIN/trade licenses for additional RFIs).
 - Once SCA approves the “GIIN/Trade license”, the same RFI maker and checker users will be able to file returns for both the RFIs (while submitting different files for both GIIN separately). For other RFIs licensed by other RAs, they will also be required to be approved by the RA.
- Registration with multiple RAs will require an RFI to register with the first RA using the GIIN issued by the IRS. It is recommended that the RFI should use the main GIIN to register with the RA for which it is required to report the largest population of accounts.
 - Upon registration, the RFI can add further RAs for which it is required to report. For an existing RFI, the checker user can edit its details on the “My info” page and add further RAs for reporting purposes. Please ensure you have selected all

relevant RAs when editing the profile for the first time and avoid making subsequent changes.

- Once registered and approved by the main RA, the RFI checker user will be able to see the sub-GIINs in the “my info tab” which it may use to register with other RAs.
 - Please note that the RFIs would need to create **separate** maker and checker user accounts to file data with multiple RAs.
 - The RFIs should not attempt to use the “Multiple GIIN” functionality to link the sub GIINs to the maker and checker accounts of the main GIIN as this will result in incorrect reporting by the RFI.
 - The RFI should not attempt to use the multiple RA functionality with the sponsor GIIN functionality.
- The first registration from each RFI must be an RFI Checker user. Once the RFI Checker user is approved by the relevant RA (or the Ministry of Finance in certain circumstances), RFI Maker user can then be registered (as well as additional RFI Checker and RFI Maker users).
 - 5 wrong attempts for a password result in the user account being locked. The user must contact the respective RA (or Ministry of Finance in certain circumstances) to unlock the account.
 - The last RFI Checker user cannot be deleted; therefore, a new RFI Checker user must be created to be able to delete the old RFI Checker user from the system.
 - A maximum of 2 RFI Checker accounts and 5 RFI Maker accounts can be created per RFI, and it is the RFIs responsibility to ensure all user accounts for the RFI are always up to date.

To complete the FATCA and/or CRS reporting and submission requirements, an RFI must visit the Portal and register as one of the following categories:

- Single GIIN - If you are registering and completing the FATCA and/or CRS requirements for your RFI only (and not on behalf of any other RFI in the same group).
- Sponsor GIIN - For FATCA purposes only, if you are sponsoring an FFI (or multiple FFIs), you will be submitting the report on the behalf of your sponsored FFI(s). You must be registered as a "Sponsoring Entity" with the IRS and accordingly obtain and provide a sponsoring entity GIIN (This option is only available when a user is registered for FATCA only, as there are no sponsoring/sponsored entities under the CRS).

4. GENERAL INFORMATION FOR EXISTING USERS

- Approved login credentials (Email ID and Password) created during registration and OTP. Approval confirmation will be received on the provided Email ID.
- The registered Email ID should be accessible.

5. ACCESSIBILITY MATRIX

Tab Name	Checker User	Maker User
My Info	Yes	Yes
My Info (Modify Entity Details)	Yes	No
Report Status	Yes	Yes
Admin Approval	Yes	No
Risk Assessment Submission	No	Yes
Risk Assessment Approval	Yes	No
Audit Log	Yes	Yes
Reportable Jurisdiction	Yes	Yes
Need Help	Yes	Yes
Report Submission	No	Yes
Forgot Password	Yes	Yes

6. REGISTRATION PROCESS – MAKER / CHECKER USERS

The registration process for new users is as follows:

1. Access the Portal using the web address listed in the Introduction section.
2. Select the button “New User”.
3. Provide a valid email ID and click on “OTP Send” Button (OTP of which will be valid for 15 minutes)
4. Provide the valid OTP sent to your registered email ID.
5. Provide the exact captcha and click on the “next” button.
6. Register/Create a New Account, if not already registered:
 - Click “Reporting Entity”.
 - Search for the details of the entity using either the GIIN or Trade License number (to verify the entity is not already registered).
 - If the entity is not already registered, continue to provide the required details.
7. The first user (i.e., RFI Checker user) is required to provide the details for the first-time registration. The first user (RFI Checker user) may choose to add Multiple RAs during the registration process. Once the RFI Checker User is registered (and registration is approved), subsequent users for the RFI will not be required to fill in the entity details again (i.e., when the GIIN or Trade License for the first RFI Checker User is provided when registering a new user, if this is recognized by the system and subsequent users will only be required to provide user related information). Once details are provided, move to the next screen to provide the “User Details”.

8. Provide the mandatory documents required (depending on the information provided during registration) by uploading the documents requested. Lastly, set your password and security question to complete your registration process.
9. The first RFI Checker user registration is reviewed and approved by the respective RA (or Ministry of Finance in certain circumstances). Following this, the RFI Maker can start their registration process. Once completed, this RFI Maker user can be approved by the registered RFI Checker user.
 - If the user registration is not approved, then the user registration process will have to be repeated and corrected information will need to be provided by completing the registration process again (there is no option to amend a registration form which has been rejected).
10. In case of a forgotten password:
 - Click on Forgot password link.
 - Provide the email ID and OTP on the prompt, followed by answering your previously set security question and reset your new password.

7. ADMIN APPROVAL (FOR CHECKER ONLY)

Once the RFI Checker user has been created and approved, this user can approve subsequent RFI Checker and RFI Maker users for the RFI.

The following points should be noted while performing the approval process of subsequent users:

1. RFI Checker users have access to the “Admin Approval” tab.
2. RFI Checker users can view the registration details of all users.
3. To reject a registration request, the RFI Checker user can review the registration details and on the last page, click on “Delete User”, with remarks in “Admin Actions”.
4. RFI Checker user can approve by sliding the tab or also pressing "approve" with comments at the end of reviewing the registration.

8. MY INFO PAGE

MyInfo page will provide the user with below details:

1. Organization details
 - RFI Checker users can update the information by clicking on the edit button.
 - RFI Checker users can add the compliance type (FATCA and/or CRS) if not registered before, by providing the additional required details for that regime.
 - RFI Checker users can change the “User Registration Type” by clicking on the “Single to Multiple GIIN” button.

- RFI Checker users can add subsequent RAs in the “Organization Details” by clicking on the “Modify Details” button.
 - User can also delete the added GIIN through this tab except the main GIIN.
 - RFI Checker users need to provide the details in the form and wait for the approval in case of new user added from respective RA related to that user.
 - RFI Maker users cannot edit this section.
2. Personal Details
 - User can view and update the personal information if required.
 3. Security Details
 - User can update or change the existing password and security question.

9. REPORT SUBMISSION (FOR MAKER USERS ONLY)

The following steps should be followed while performing the reporting process:

1. For multiple GIIN and sponsor GIIN profile select the GIIN for which submission is to be made from the “my info” tab
2. Click on the “Report Submission” Tab.
3. Fill the below details:
 - Type of Reporting (selecting either “FATCA” or “CRS”).
 - Reporting Period (current reporting period will be available for submission only, prior reporting period submissions are only possible upon request and approval).
 - Reporting Method - i.e., Excel submission in the event of an annual report (where data is available for reporting) or a nil submission in the event the RFI does not have any data (no reportable accounts) to be reported for both individuals and entities that Reporting Period.
 - In case of Nil Submission, the user can select the submission type and click on submit.
 - Please carefully select the method of reporting depending on the type of return to be filed for the year i.e., if you have accounts to report, then select Excel submission. If you do not have any accounts to report (and therefore wish to submit a Nil return), then select Nil Submission. Determine this position before you attempt to make the submission as you may require approvals to change your submission and this may incur penalties (if identified post the submission deadline).
4. Download the Excel template (separate template is available for download in the portal for FATCA and CRS purposes) to be completed with the data as per prescribed format.

5. Follow the instructions in the Excel sheet (as contained in the instructions tab for each tab that needs to be completed and each data field in those tabs).
6. On the next screen, select the “New Data” option.
7. “Drag and Drop” or “Browse” the completed Excel template and click on the “submit” button.
8. Once the file has been submitted, the user must check the status of the submission by navigating to the “Report Status” tab of the Portal.
 - a. In case of errors, the User must correct the errors as outlined in the error report and re-upload the Excel template file with the corrected data (specific details of the errors in the submission can be found in the error report).
 - b. In case of a successful submission, a request will be sent to the RFI Checker user for review and approval. The RFI Checker user can then download and review the file (which will be password protected).
 - i. If the RFI Checker user approves the file, the file will be submitted into the system and cannot be amended unless a request is raised to the respective RA (or Ministry of Finance in certain circumstances) and if such approval request is granted.
 - ii. If the RFI Checker user rejects the file, the RFI Maker must make the required amendments and re-submit the Excel template file once again for submission to the RFI Checker.
9. RFI Maker user can re-upload the Excel template file and replace its contents until it is approved by the RFI Checker user. Once it has been approved by the RFI Checker, it cannot be amended any further.
10. The RFI Maker user will need to first delete the successfully submitted file from the “Report Status” tab and then opt for “Report Submission” again.
11. In case, the RA (or the Ministry of Finance in certain circumstances) rejects the file, the RFI Checker and Maker user can view the comments and the file can be resubmitted by the RFI Maker user. The same process of submission must be followed for the resubmission of data by using the steps as outlined above.

10. REPORT STATUS

The “Report Status” tab provides the below details to the users:

1. This screen gives the option to view the following two sections:
 - Reporting Lifecycle.
 - Submission History.
2. To view the reporting cycle, the user needs to select one option against the below fields:

- Compliance Type - In this field the user can select the option to view details related to FATCA, CRS or all compliance types; and
 - Reporting Year - In this field the user can select the reporting year for which the report status is to be viewed.
3. The “Reporting Lifecycle” provides the status of the file being processed with below status and colour:
- **Red: Failed.**
 - **Amber: In Process.**
 - **Green: Success.**
4. In the event a submission by the RFI maker fails, the RFI will be able to download a report of all the errors which caused the submission to fail. The RFI maker can then correct the errors and resubmit the file.
5. The status of the files will be displayed to the user. The description of each status is as follows:
- **Report Submitted** – This status reflects that the report is submitted by user in the system. Also, it reflects the status of successful / failed submission.
 - **Checker Approval** – This status means that an annual report has been submitted successfully by the RFI maker and is pending approval from the RFI checker.
 - **Regulator Approval** - This status means that the annual report has been approved by the RFI Checker and is pending approval from the RA (or the Ministry of Finance in certain circumstances).
 - **MOF Submission** – This status means that the report has been approved by the RA (or the Ministry of Finance in certain circumstances) and sent for final submission/exchange.
 - **Report for Evidence** – This will let the user know that any errors / success submission reported by the IRS and/or other jurisdiction in the notification.
 - **Successful Submission** – This status means that the annual reports have been successfully completed for the reporting period.

11. RISK ASSESSMENT

Along with submitting the annual submission, RFIs will be required to submit their risk assessment by the stipulated deadline. In this section, the RFIs will be required to provide responses to specific questions regarding their FATCA and/or CRS compliance activities with respect to the relevant reporting period. Following are the guidelines for completing a risk assessment:

1. The Risk assessment form will be auto initiated for all the RFI Maker users at the time of registration and can be viewed in the “Risk Assessment” tab in the Portal.

2. The RFI Maker user is required to provide a response to all questions of the risk assessment form and once completed, submit the risk assessment form for the RFI Checker user review and approval.
3. Each section in the Risk assessment form has multiple responses available. The RFI Maker user must select “Yes” against only one option under each section.
4. Each section in the Risk assessment form must have one option marked as “Yes” otherwise the form cannot be submitted.
5. The RFI Checker user has the right to either approve the form or reject the form with remarks.
 - a. Upon submission by the RFI Checker the form is accepted by the system and is shared with RA.
 - b. Checker has the option to reject the form and maker then needs to update the information.
6. All RFIs must ensure the risk assessment is submitted by the stipulated deadline in an accurate manner to avoid penalties.
7. Once the risk assessment is approved by the RFI Checker user, the risk assessment will be shared with the RA (or another authority, as application). The RA (or another authority) will have the right to approve the risk assessment form or reject the risk assessment form with remarks. The final status of the risk assessment would be shared with the RFI.
 - a. In case of a rejection, the RFI Maker is required to resolve the remarks provided by the RFI Checker or the RA (or another authority) and repeat the same steps to re-submit the risk assessment.
8. In case of an acceptance/approval, no further action is required unless the RFI is notified of actions to be taken.

12. AUDIT LOG

This tab will track all the user activities on the portal which would be available for audit purposes.

13. NEED HELP

1. This tab is divided in 3 sections:
 - FAQ.
 - Contact Us.
 - Helpful Links.
2. The FAQ section would provide the responses to general queries or in relation to the FATCA and CRS compliance matters. This section will also provide the option to the users

to submit queries to their Regulatory Authorities, Federal Tax Authority and/or the Ministry of Finance (as applicable).

3. The “Contact Us” section includes contact information for MOF and the Portal technical support team (of whom should be contacted should there be technical issues/challenges with using the Portal).
4. The “Helpful links” section provides links to user manuals which can be used as reference for preparing the reportable data.

14. PORTAL SCREENS WITH DESCRIPTION

14.1. HOME

**UNITED ARAB EMIRATES
MINISTRY OF FINANCE**

Automatic Exchange of Information Portal

Last dates of report submission : FATCA - Jun 30, 2022 CRS - Jun 30, 2022

HOME

Background to the FATCA and CRS regimes

The CRS was developed in response to the G20 request by the Organization for Economic Co-operation and Development ("OECD") during the Global Forum held in Berlin and came into force in October 2014. The UAE signed the Convention on Mutual Administrative Assistance in Tax Matters ("MAC"), the Declaration of Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information ("MCAA") and the Unilateral Declaration in April 2017.

Both the MAC and MCAA form the legal basis for the implementation of The Standard for Automatic Exchange of Financial Account Information ("AEOI") in Tax Matters, Second Edition ("OECD Standard") in the UAE. The MAC was ratified by the UAE according to Federal Law No. 54 of 2018 and the MCAA according to Federal Law No. 48 of 2018.

EXISTING USER NEW USER

Email * [Send OTP](#)

OTP * 0 / 6

[Forgot Password?](#) [LOGIN](#) [Need Help?](#)

Forgot Password

Email * [Send OTP](#)

OTP * 0 / 6

[CANCEL](#) [→](#)

Portal Landing Page

This is the landing page for Portal. This will provide users with FATCA and CRS guidelines applicable in the UAE.

The landing page of the Portal is subdivided into the following sections:

1. "Need Help?".
2. "Forgot Password?".
3. "New User" registration page.
4. "Existing User" logic page.

14.2. NEW USER REGISTRATION



UNITED ARAB EMIRATES
MINISTRY OF FINANCE

Automatic Exchange of Information Portal

Last dates of report submission : FATCA - Jun :

[HOME](#)

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UNITED ARAB EMIRATES
MINISTRY OF FINANCE

Automatic Exchange of Information Portal

Last dates of report submission : FATCA - Jun 30, 2022 CRS - Jun :

[HOME](#)

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EXISTING USER NEW USER

Choose User Type

REPORTING ENTITY

REGULATORS/MOF

"New User" registration

- To register a new user, select the 'New User' tab on the Portal landing page.
- The new user is required to provide an email ID (email address), enter the Captcha and click on the "Send OTP" button to receive a 6-digit number.
- The new user must then enter the PIN and click on the Submit button.

Note: The OTP is valid for 15 minutes and can be resent twice.

Note: The Captcha text, it may be refreshed by the User.

0, 2022 CRS - Jun 30, 2022

HOME REGISTRATION

1 Instructions 2 Reporting Institution Details 3 User Details 4 Doc Upload 5 Security Details

Background to the FATCA and CRS regimes

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Both the MAC and MCAA form the legal basis for the implementation of The Standard for Automatic Exchange of Financial Account Information ("AEOI") in Tax Matters, Second Edition ("OECD Standard") in the UAE. The MAC was ratified by the UAE according to Federal Law No. 54 of 2018 and the MCAA according to Federal Law No. 48 of 2018.

The OECD Standard sets out the required information to be exchanged, the types of entities required to report, the different types of financial accounts and account holders in scope and the common due diligence procedures to be followed by Reporting Financial Institutions ("RFIs"). The CRS went live in the UAE with an effective go-live date of 1 January 2017. UAE Regulatory Authorities and the UAE MoF have issued UAE CRS legislation (collectively referred to as "UAE CRS Regulations").

Instructions Page (1/5)

- After providing the correct OTP, Captcha and clicking on the Submit button the new user registration process can begin. The above screen shows the "Instructions" page where the background to the FATCA and CRS regimes is provided. Users must read through this information in detail and understand the requirements before proceeding to the next screen.

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Automatic Exchange of Information Portal

Last dates of report submission : FATCA - Jun 30, 2022 CRS - Jun 30, 2022

HOME REGISTRATION

✓ Instructions 2 Reporting Institution Details 3 User Details 4 Doc Upload 5 Security Details

Registration Type *
Single FI Registration

Identification Type *
GIIN

GIIN *
MOF000.00000.00.024

SEARCH

Trade License Number * Entity Email ID * Business Address *

0 / 400

Reporting Institution Details Page (2/5)

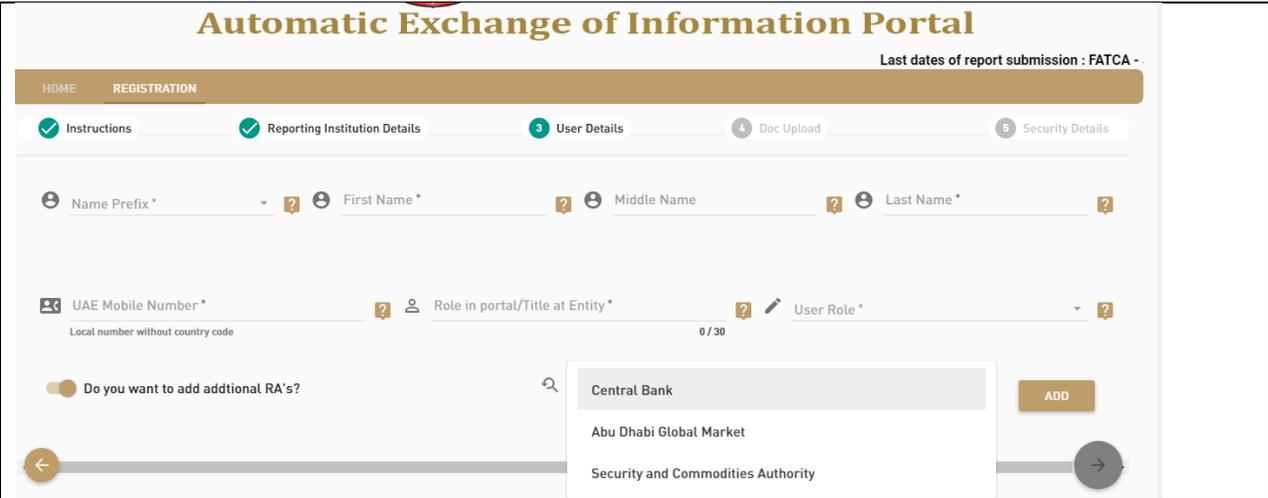
- Here the user needs to select the Registration Type from the dropdown menu as outlined earlier in this user guide.

- Then select Identification Type from dropdown 'Trade License Number' and GIIN. The user must provide a Trade License Number/ GIIN and click on the search button.
 - If the GIIN / Trade License Number has not been previously registered, then a list of fields will open which needs to be provided for the RFI.
 - If the GIIN / Trade License Number has been previously registered, the Portal will recognize this, and a prompt will appear - the user can then progress to completing user related details as a subsequent user for an existing RFI.

Mandatory fields	Values
Entity Email ID	-
Business Address	-
Registered Entity Name	-
License Number	-
Trade License/ Permit/ Certificate number	-
Name of Licensing Authority	List of all Licensing Authorities
Country of Incorporation/ Registration	List of all countries
Date of Incorporation/ Registration	-
Emirate	List of all Emirates of UAE
Regulatory Authority	Central Bank
	Abu Dhabi Global Market
	Dubai International Finance Center
	Security and Commodities Authority
	NA
Legal Entity Classification FATCA	Reporting Financial Institution
	Active Non-Financial Foreign Entity (NFFE)
	Passive Non-Financial Foreign Entity (NFFE)
	Registered Deemed Compliant FFI
	Certified Deemed Compliant FFI or other Deemed Compliant FFI
	Exempt Beneficial Owner or a Fund that qualifies as an Exempt Beneficial Owner
Legal Entity Classification CRS	Reporting Financial Institution
	Active Non-Financial Entity (NFFE)
	Passive Non-Financial Entity (NFFE)
	Non-Reporting Financial Entity
Reporting Financial Institution Date	-
Registration Date with IRS	-
Filer Category	Reporting Model 1 Foreign Financial Institution

Reporting Financial Institution FATCA	Depository Institution						
	Custodial Institution						
	Investment Entity						
	Specified Insurance Company						
Reporting Financial Institution FATCA	Depository Institution						
	Custodial Institution						
	Investment Entity						
	Specified Insurance Company						
<table border="1"> <thead> <tr> <th>Optional Fields</th> <th>Values</th> </tr> </thead> <tbody> <tr> <td>Phone Code</td> <td>-</td> </tr> <tr> <td>Number</td> <td>-</td> </tr> </tbody> </table>		Optional Fields	Values	Phone Code	-	Number	-
Optional Fields	Values						
Phone Code	-						
Number	-						

SELECTION OF MULTIPLE RA'S.

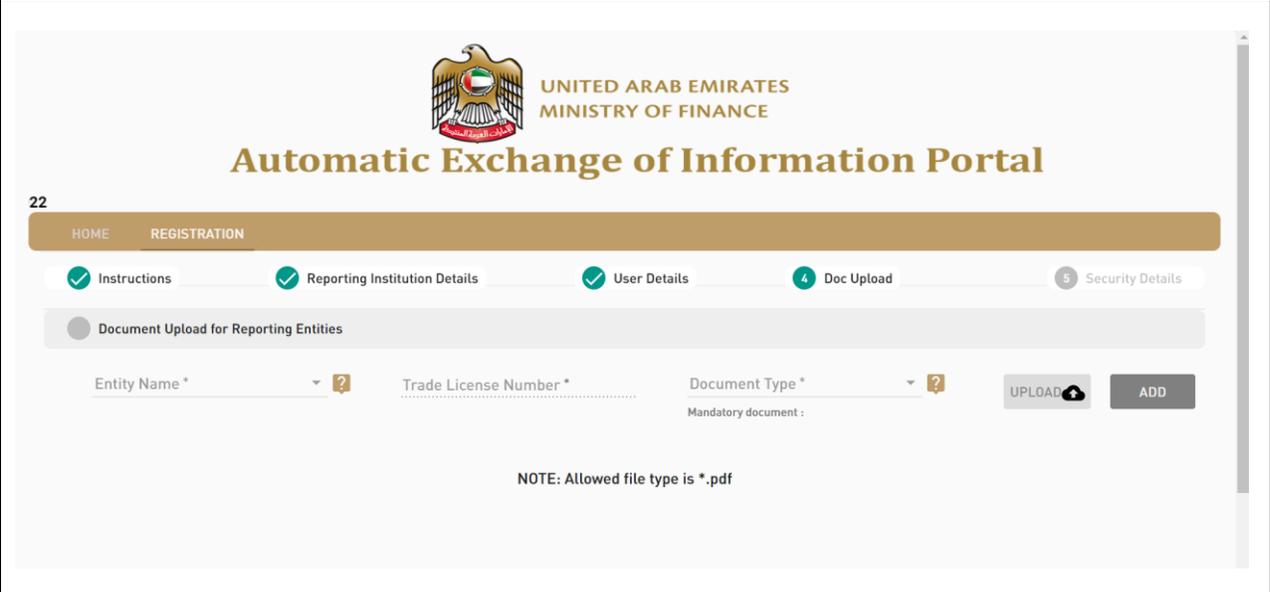


User Details Page (3/5)

- The next step is to provide the user details. In this step the user must provide their personal details as follows:

Mandatory fields	Values
Name Prefix	Mr. Mrs. Ms.
First Name	-
Last Name	-
Mobile Number	-
Role in Portal/ Title at Entity	-
User Role	Checker
Do you want to add additional RA's?	All RAs with exception to the RA already selected.

Optional fields	Values
Middle Name	-

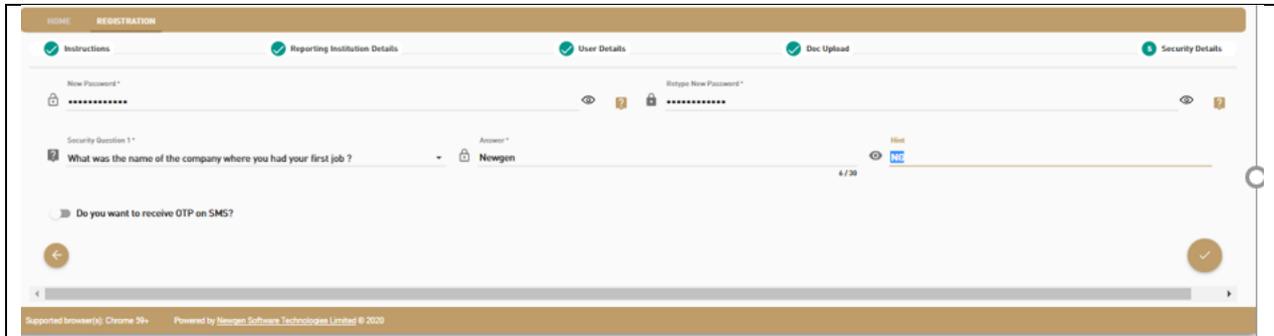


Doc Upload Page (4/5)

- The next step is to upload the necessary documents. Here the user needs to select Entity Name from the drop down, select the document type from the drop down and then click on the Upload button to browse and select the file.
- Once the file is uploaded the user needs to click on the 'Add button' and then click Next.

Note: Compulsory submission of mandatory documents.

Mandatory fields	Values
Entity Name	-
Document Type	Self-Certification
	Power of Attorney
	Identity Proof
	Authorization Letter
	Trade License



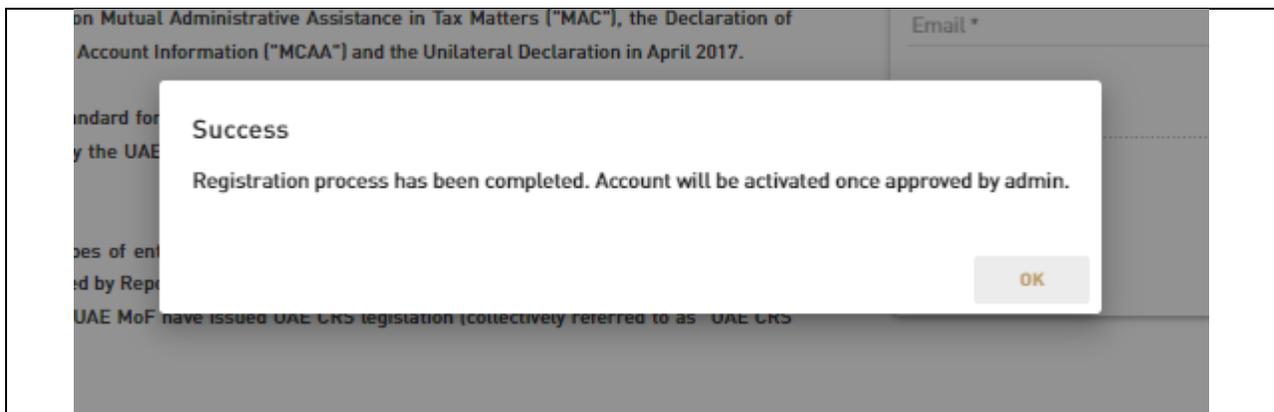
Security Details Page (5/5)

- The last step in the registration process is to provide the security details.
- In this step, the user needs to set a password for the login, security question and answer. A hint for the answer may also be added.

Note: In case of a forgotten password, the security question and answer are required to recover the password. To receive the OTP via SMS on the registered mobile number check the radio button.

*Note: Password should be at least 8 characters long and should contain at least 1 Upper Case, 1 Lower Case letter, 1 special character (-~!@#%*_=_\'";:&) and 1 digit.*

Mandatory fields	Values
New Password	-
Retype New Password	-
Security Question	Select security question from drop down
Answer	-
Hint	-



- On successful registration the above message will display on screen.

Note: Once the user is successfully registered the first Checker user needs to be approved by the Admin user in the Portal.

Note: For all subsequent users, once the user is successfully registered, the user is approved by the Checker user.

Single GIIN to Multiple RA

- In the user registration page, the first checker user has the option to add additional RAs.
- The checker user can check the button to answer the question “Do you want to add additional RA’s?”. If selected, then user would be able to add the RA required..
- Once the additional RA is selected, they can proceed further with the registration process.
- Once the checker user has completed the registration process and approved by RA the user will be provided with a new ‘Sub GIIN’. These will be provided via email notification.
- The checker user can see the RA list ‘Sub GIIN’ added under “MyInfo” Tab.
- The checker should share the Sub GIIN information provided with their respective users in their RFI to register with the added RAs with those ‘Sub GIIN’s.
- These users can then use the provided sub GIINs to register in system (one as checker and one as maker)
- The registration approval process for these users will be same as the current process:
 - RFI Checker approval will be done by Respective RA; and
 - RFI Maker approval will be done by respective RFI Checker.
- Post registration under the additional RA with the Sub GIIN, the maker user can file separate reports in ‘report submission’ against this sub GIIN.
- *Note: The system will automatically consolidate the reports submitted under the main GIIN.*

Automatic Exchange of Information Portal

Last dates of report submission : FATCA -

HOME REGISTRATION

Instructions
 Reporting Institution Details
 3 User Details
 4 Doc Upload
 5 Security Details

Name Prefix *
 First Name *
 Middle Name
 Last Name *

UAE Mobile Number *
 Role in portal/Title at Entity *
 User Role *

Do you want to add additional RA's?

14.2.1. MAKER USER REGISTRATION

HOME REGISTRATION

Instructions
 1 Reporting Institution Details
 2 User Details
 3 Doc Upload
 4 Security Details

Registration Type *
 Single FI Registration

Identification Type *
 GIIN

GIIN *
 MOF000.00000.00.023

Trade License Number *
 34758679765

Registered entity name *
 FGJ pvt Ltd

11 / 250

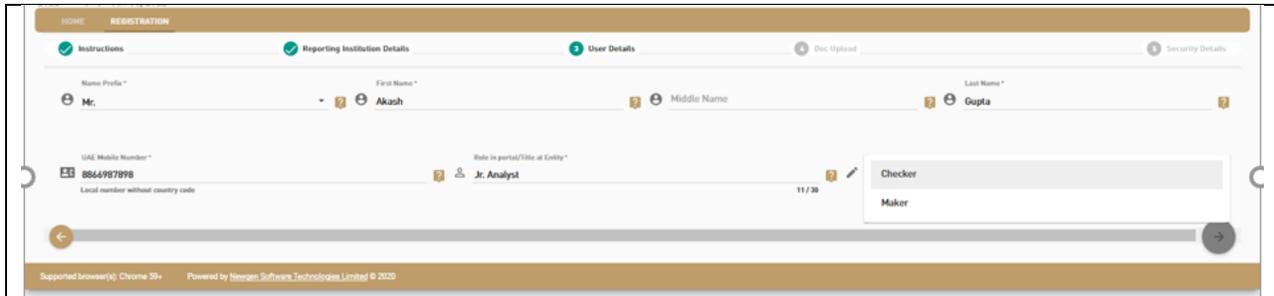
Supported browser(s): Chrome 39+ Powered by Nexgen Software Technologies Limited © 2020

Instructions Page (1/5)

- This remains the same as the Checker User Registration.

Reporting Institutions Details Page (2/5)

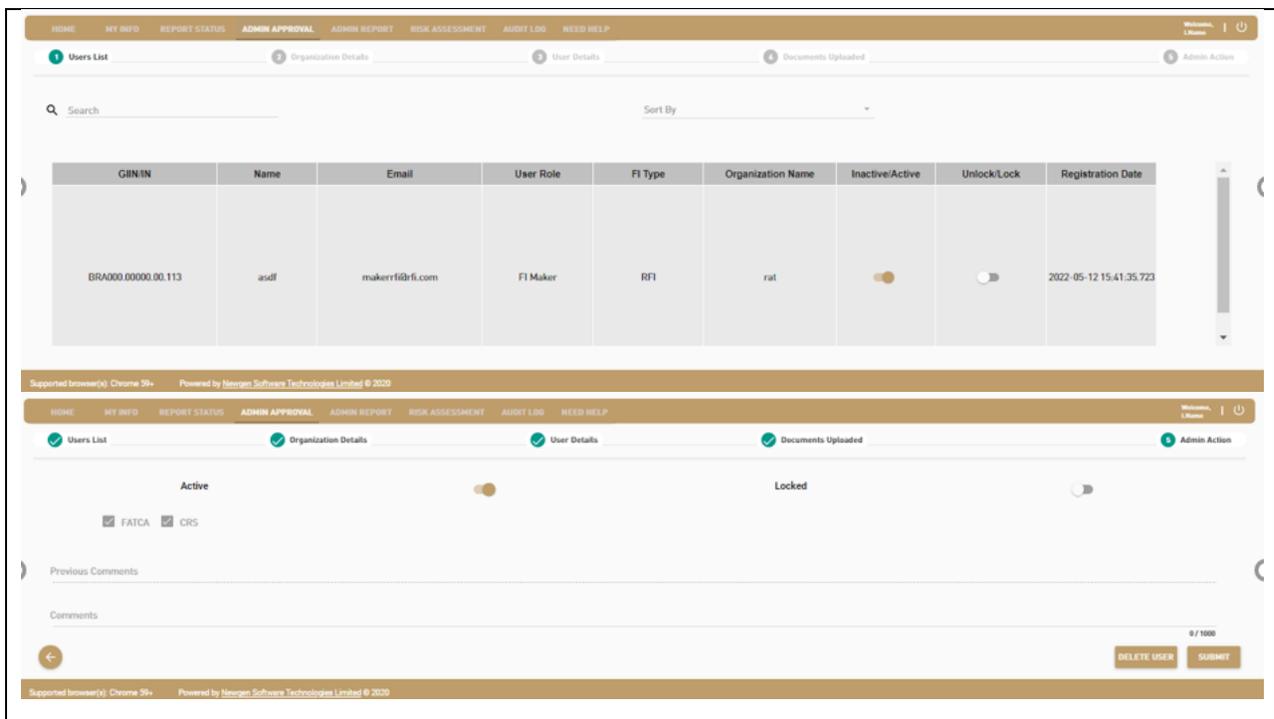
- The process of the Maker user registration is like the Checker user registration.
- The first user registered for the RFI will be the Checker user. Upon successful registration, additional users that are registered will have the option to register as either additional RFI Checker or RFI Maker users.
- The user is required to provide the GIIN and/or Trade License Number that the Checker user used during the initial RFI Checker registration and click on search.
 - The GIIN/Trade License Number and Entity Name will appear if an RFI is already registered in the system with that GIIN/Trade License Number already. Click on the next button.
 - If an RFI Checker is already registered with GIIN/Trade License Number (and this is an approved registration) but the system does not recognize these details, then contact support.



User Details Page (3/5)

- As the Maker user is a subsequent user in the Portal (following the first Checker user), the user will have the option to register as either Maker user or a Checker user. Here the user should select “Maker” to register as a Maker user.
- The next steps are like the Checker user registration and therefore the steps regarding “Doc Upload” page and “Security Details” page can be followed from Checker user registration in the earlier section of this user guide.
- Upon the successful registration of a Maker user, a Checker user must review and either approve/reject the newly created Maker user through the Admin Approval tab in the Portal.

14.3. CHECKER APPROVAL – CHECKER USER



“Admin Approval” tab [logged in as RFI Checker user]

- The Maker user registration is completed when the Checker user approves the new Maker user.

- To do so, the Checker user must login to the Portal and navigate to the “Admin Approval” tab and select the Maker user from the list.
- The Checker user can view the Organization Details, User Details and Documents uploaded by the selected Maker user.
- The Checker user has the authority to grant / revoke / delete / block / unblock the Maker user, as required.
 - To approve the Maker (and any subsequent users), the Checker user needs to toggle the Active button and click on the “Submit” button.

14.4. MY INFO

The screenshot shows the 'MY INFO' page with the following details:

Organization Details

- GIN: MOF000.000000.00.023
- Email: fgj001@fgj.com
- Name: FGJ pvt Ltd
- Business Address: E-12, Floor 5, Tower 2, Kingdom Towers, Dubai
- VIEW ENTITY DETAILS
- FATCA: CRS:

Personal Details

- Name Prefix: Mr.
- First Name: Nishit
- Middle Name: [Empty]
- Last Name: Khanna
- UAE Mobile Number: 8776989988
- Role in portal/Title at Entity: Analyst
- User Role: Checker

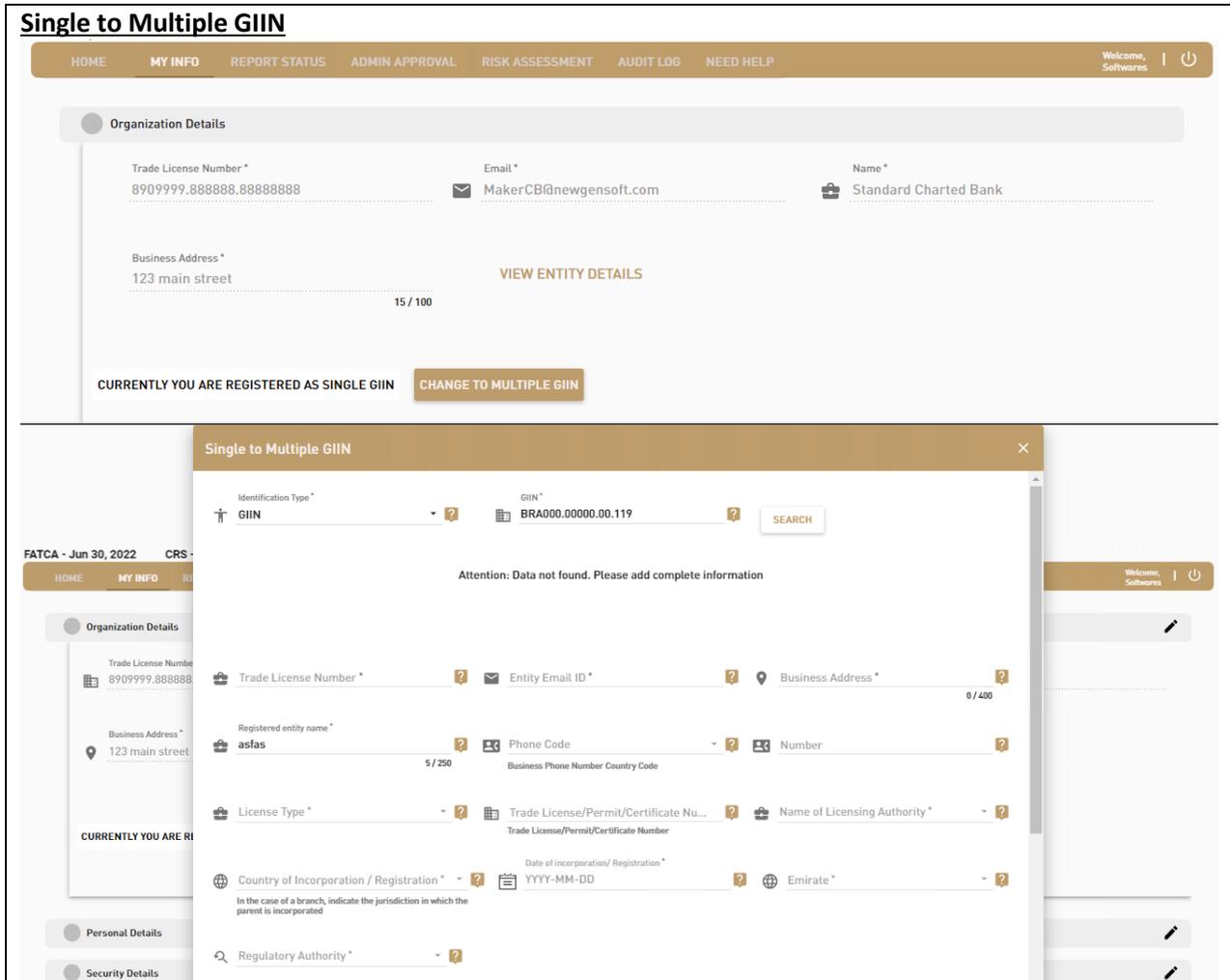
Documents

Document Type	Document Name	Download
Authorization Letter	Authorization Letter.pdf	DOWNLOAD
Trade License	Trade_Lic.pdf	DOWNLOAD

Security Details

- Password: [Masked]
- Security Question 1: What was the name of the company where you had your first job?
- Answer: Newgen
- Hint: NG

Supported browser(s): Chrome 59+ Powered by Newgen Software Technologies Limited © 2020



“My Info” Tab

- The “My Info” tab is used for viewing the details of the user. This tab is divided into three sections, i.e., Organization Details, Personal Details and Security Details.
- The “Organization Details” section contains the details of the organization with which the user is associated. Only the Checker user has the authority to modify the organization details.
- The “Personal Details” section shows the personal details of the user including the first name, last name etc. The personal details of the user are editable and can be edited by clicking on the edit button. The user can edit their basic details such as the first name, middle name, last name, and user role etc. Also, there is also an option to add, modify and download the documents attached.

The “Security Details” section contains the login credentials of the user, i.e., password, security question answer and hint. This section is also editable.

Users also have an option to change the registration type from Single GIIN to Multiple GIIN. Once an additional GIIN is added, this would need further approval from the relevant RA. During this period, the user would be locked and would need to be unlocked by the respective RA (or the Ministry of Finance in certain circumstances) before any users are able to use the system again.

Single GIIN to Multiple RA

Existing checker users registered have an option to add additional in the case an RFI requires to submit reports for multiple RAs under a single GIIN

- If an existing registered checker user requires to add additional RAs, the user needs to visit “MyInfo” tab.
- In MyInfo, the user would have an option to add multiple RA which will generate additional ‘Sub GIIN’ that can be used for new registrations to the additional RAs
- The checker user will share the ‘Sub GIIN’ to users in their organization to follow the registration process with the added RAs
- The remaining registration process will be same as per new user registration
- Post registration under the additional RA with the Sub GIIN, the maker user can file separate reports in report submission against this sub GIIN.
- Note: The system will automatically consolidate the reports submitted under the main GIIN.

S No	Regulatory Authority	
1	Abu Dhabi Global Market	
2	Security and Commodities Authority	
3	Central Bank	

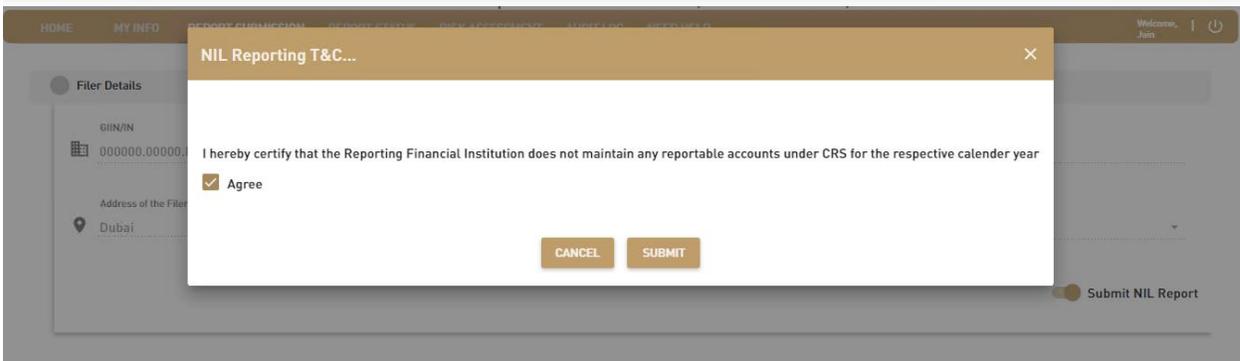
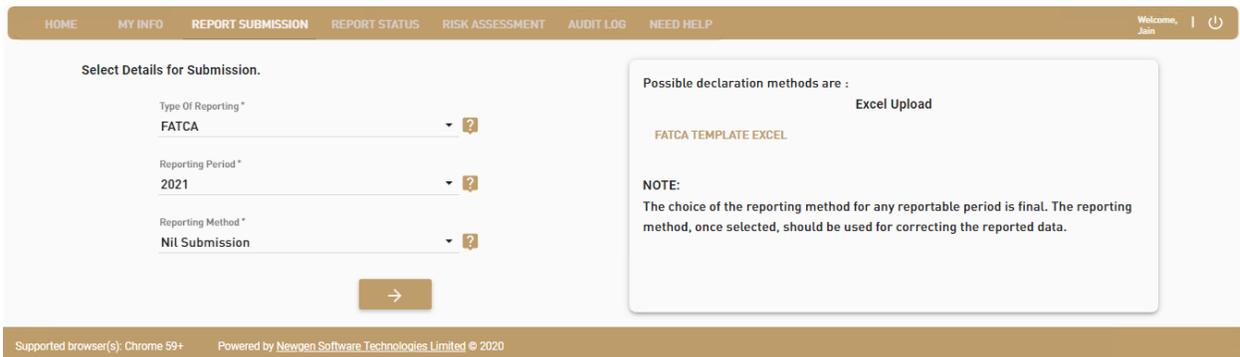
14.5. REPORT SUBMISSION – MAKER USER



“Report Submission” tab

- The Report Submission tab is used for submitting final reports. The steps for submitting reports are:
 - Step 1: Select the Compliance type from Type of Reporting Dropdown i.e. FATCA or CRS.
 - Step 2: Select Reporting Period.
 - Step 3: Select Reporting Method i.e., Excel or Nil Submission.

After this click on Next button. For Excel, in the next screen select New Data from Data Type dropdown, upload the file, and click on the Submit Report button.



For nil submission, the above prompt will appear where the user will need to declare they do not maintain any reportable accounts.

14.6. REPORT STATUS

HOME MY INFO REPORT SUBMISSION **REPORT STATUS** ADMIN REPORT RISK ASSESSMENT AUDIT LOG NEED HELP

My Account |

Lifecycle reported data

This section shows the position of the reported data in the data collection and exchange process. To learn more about the different stages of this process, please click on the bubble or stage indicator to ensure that the report has been exchanged successfully. Each time you submit a report, you are invited to periodically consult this section, to ensure that the report has been successfully exchanged.

SELECT BELOW TO SEE REPORT STATUS

Reporting Status For
FATCA

Reporting Year

Current reporting stage
Current stage description will be displayed here.

Report submitted Checker approval Regulator Approval MoF Submission Report for Evidence Successful Submission

History and status of submitted reports

History and status of submitted reports

This section presents the history of the reports submitted, including the status of the latest report.
Note: This section shows the status of the reports submitted, not the process leading to the exchange of those reports.

Report Name: CRS Sample Excel.xlsx
Submission Date: May 11 2022 10:41PM

Stage: Portal Validation
Status: Failed, errors found

S.No.	Report Name	Submitted By	Reporting Type	Stage	Status	Time Stamp	Checker Status
1	CRS Sample Excel.xlsx	newf2@fi.com	Actual	Portal Validation	Failed, errors found	May 11 2022 10:41PM	

“Report Status” tab

- The Report Status is used for viewing the status of the reports that are submitted.
- The user needs to select the compliance type from the dropdown, then select the Reporting year for which the report status needs to be viewed.
- The user can view the submission status in the “reported data life cycle”.
- After this, the user can view the status of the reports “*History and status of submitted reports*” section.
- The Maker user can delete the successful file and the Checker user has an option to approve / reject and delete the file submitted by the Maker user.

14.7. AUDIT LOG

S.No.	User Email	IP Address	User Type	GIN	Activity	TimeStamp
1	newf2@f.com	10.208.128.143	FI Admin	000000.00000.DS.108	Visited Audit log page	2022/05/17 16:28:45
2	newf2@f.com	10.208.128.143	FI Admin	000000.00000.DS.108	User Login Successfully	2022/05/17 16:28:43
3	newf2@f.com	10.208.128.143	FI Admin	000000.00000.DS.108	Checked Reporting Status for Year 2021	2022/05/17 15:51:30
4	newf2@f.com	10.208.128.143	FI Admin	000000.00000.DS.108	Checked Reporting Status for Year 2020	2022/05/17 15:51:25
5	newf2@f.com	10.208.128.143	FI Admin	000000.00000.DS.108	Checked Reporting Status for Year 2021	2022/05/17 15:51:22

“Audit Log” tab

- The audit log is used to view all activity performed by the user on the Portal.
- It shows the IP address of the machine from which the Portal was accessed, user type, activities performed, and the timestamp of the activities performed by the logged in user.

14.8. NEED HELP

UNITED ARAB EMIRATES
MINISTRY OF FINANCE

Automatic Exchange of Information Portal

HOME

- General Queries For FATCA
- General Queries For CRS
- Submitting Queries

CONTACT US HELPFUL LINKS

Ministry Of Finance
Dubai

Business Contact Number:
800533336

Support Contact Number:
02-6147022

“Need Help” tab

- The Need Help contains the general FAQs / queries for FATCA, CRS and submissions. It also contains the contact details of the system technical support, the Ministry of Finance and Helpful links on the right section.
- Helpful links would provide the reference document for the users.

14.9. RISK ASSESSMENT

S.No.	FI Name	Compliance Type	Reporting Year	Status	Remarks	Request Date	Due Date	Response Date	Pending Days	Approval Status
1	rat	FATCA	2021	Completed	Completed	12 May 2022	30/06/2022	12/05/2022	0	Approved
2	rat	CRS	2021	Initiated	Please complete assessment before due date.	12 May 2022	30/06/2022		44	Not approved

“Risk Assessment” tab

- Once the form is initiated (at the time of registration prior to 30 June of every year), the Maker user needs to provide the input in the prescribed field within the deadline date set.
- Once the risk assessment is submitted, the RFI Checker user must approve or reject the risk assessment form completed by the RFI Maker user.