

PHOENIX CRS REPORTING TOOL



USER GUIDE

Version 2020.1.0

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1. PREAMBLE

1.1 INTRODUCTION

The Phoenix CRS Reporting Tool has been specially designed to generate XML files required by the CRS regulations from an initial Excel file input. The aim of this document is to assist you through the preparation of this Excel file.

If you have any question, please do not hesitate to contact our team : helpdesk@phoenix.mc.

You will also find in this document some information regarding reporting specificities that may apply in some jurisdictions. This information is purely indicative and may not be comprehensive. It does not supersede the applicable local regulations.

The Phoenix CRS Reporting Tool is currently up and running for the following jurisdictions:

JURISDICTION	ISO CODE	DECLARATION TYPE
Bahamas	BS	1 file per jurisdiction
Bermuda	BM	1 file per jurisdiction
British Virgin Islands	VG	1 file per jurisdiction
Cayman Islands	KY	1 file per jurisdiction
Guernsey	GG	1 unique file
Isle of Man	IM	1 unique file
Jersey	JE	1 unique file
Mauritius	MU	1 unique file
Monaco	MC	1 file per jurisdiction
New Zealand	NZ	1 unique file
Panama	PA	1 file per jurisdiction
Saint Kitts and Nevis	KN	1 file per jurisdiction
Seychelles	SC	1 unique file
Singapore	SG	1 unique file
Switzerland	CH	1 unique file

1.2 EXCEL FILE CONTENT

The below table describes the type of data to be included in the different Excel sheets.

Sheet	Should contain information regarding :
General	1. Report (year, type, etc.) 2. Reporting financial institution
Individual Accounts	3. Individual account holders that are tax resident in a reportable jurisdiction
Entity Accounts	4. Active NFEs account holders that are tax resident in a reportable jurisdiction 5. Passive NFEs account holders that are tax resident in a reportable jurisdiction 6. Passive NFEs account holders that are not reportable but with one or more controlling person(s) that are tax resident in a reportable jurisdiction
Controlling persons	7. Controlling persons of Passive NFEs listed at .5 or .6 that are tax resident in a reportable jurisdiction

2. TABLE 1 : GENERAL

2.1 GENERAL INFO

2.1.1 Column A: Reporting period

Description	Tax year to which the report relates
Requirement	Mandatory
Format	Numeric : AAAA
Possible values	(year after 2016 and before current year)
Specificities	None

2.1.2 Column B: Transmitting Country

Description	Country in which the CRS report is being performed; must match the tax residence country of the Reporting Financial Institution (Reporting FI)
Requirement	Mandatory
Format	Alpha : XX
Possible values	(Alpha-2 ISO Code)
Specificities	None

2.1.3 Column C: Message Type Indic

Description	Defines the report type: new report, amended report or nil report	
Requirement	Mandatory	
Format	Alphanumeric	
Possible values	New report	The file contains new information.
	Amended report	The file contains corrections for previously sent information.
	Nil report	There is no data to report.
Specificities	None	

2.2 REPORTING FINANCIAL INSTITUTION

2.2.1 Column D: FI Name

Description	Name of the reporting FI that has registered with the tax administration	
Requirement	Mandatory	
Format	Alphanumeric	
Possible values	(free entry)	
Specificities	CH	For Trustee-Documented-Trusts (TDT) : enter name of trust preceded by "TDT="

2.2.2 Column E: Document Type

Description	Indicates type of data that is entered regarding the reporting financial institution: new data, resend data, corrected data or deletion of data	
Requirement	Mandatory	
Format	Alpha	
Possible values	New Data	Sending new data regarding the reporting FI Message Type Indic = New Report or Nil Report
	Resend Data	Sending an amended report but data regarding the reporting FI remains unchanged Message Type Indic = Amended Report
	Corrected Data	Sending amended data regarding the reporting FI Message Type Indic = Amended Report
	Deletion of Data	Deletion of data regarding the reporting FI Message Type Indic = Amended Report
Specificities	None	

2.2.3 Column F: Corr DocRefID

Description	Financial Institution Reference ID in the report to be amended or deleted	
Requirement	Optional - Mandatory if Document Type ≠ New Data	
Format	Alphanumeric	
Possible values	(empty)	If you are making a new report Document Type = New Data
	(free entry)	DocRefId of the Reporting FI element of a previously sent report
Specificities	None	

2.2.4 Column G: Identification Number

Description	Reporting FI's Tax Identification Number	
Requirement	Optional – Mandatory in some jurisdictions	
Format	Alphanumeric	
Possible values	(free entry)	
Specificities	MC	Numéro d'Identification Statistique (NIS) if available
	CH	IDE if available
	SG	UEN-Business (ROB), UEN-Local Company (ROC), UEN-Others, ASGD or ITR Structure : <Entity ID Type><Space><Entity ID> e.g. "ASGD A1234567D"

2.2.5 Column H: Street

Description	Reporting FI's address (street)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

2.2.6 Column I: Building Identifier

Description	Reporting FI's address (building)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

2.2.7 Column J: PostCode

Description	Reporting FI's address (post code)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

2.2.8 Column K: PO Box

Description	Reporting FI's address (PO Box)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

2.2.9 Column L: City

Description	Reporting FI's address (city)
Requirement	Mandatory
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

2.2.10 Column M: Country

Description	Reporting FI's address (country)
Requirement	Mandatory
Format	Alphanumeric
Possible values	(Alpha-2 ISO Code)
Specificities	None

2.2.11 Column N: Sending Company IN

Description	Reporting FI's Identification Number for reporting purposes with the Tax Administration	
Requirement	Mandatory*	
Format	Alphanumeric	
Possible values	(free entry)	
Specificities	BM	Company Registration Number, Entity Registration Number, Payroll Tax Number or Reporting Entity Code issue on Reporting Portal
	CH	ID AFC
	GG	IGOR organisation ID or GIIN
	SG	UEN-Business (ROB), UEN-Local Company (ROC), UEN-Others, ASGD or ITR Structure : <Entity ID Type><Space><Entity ID> e.g. "ASGD A1234567D"
	VG	Reporting FI's number on the Reporting Portal

*This field is not mandatory in all jurisdictions from a regulatory point of view. However, it is mandatory from a technical point of view, to allow the production of XML files via the Phoenix Reporting Tool. If no information is available in the jurisdiction where the report is being made, we suggest you use the Registration Number provided on the Reporting Portal, or the entity's GIIN, or another technical number that you create for the reporting FI.

3. TABLE 2 : INDIVIDUAL ACCOUNTS

3.1 REPORT INFO

3.1.1 Column A: Sending Company IN

Description	Identification of the Reporting FI's that maintains the reported account
Requirement	Mandatory
Format	Alphanumeric
Possible values	(Must match a Sending Company IN entered on sheet "General")
Specificities	None

3.1.2 Column B: Report type

Description	Indicates the type of data that is entered regarding the reported account : new data, resend data, corrected data or deletion of data	
Requirement	Mandatory	
Format	Alpha	
Possible values	New Data	Sending new data regarding the reported account Message Type Indic = New Report or Nil Report
	Corrected Data	Sending corrected data regarding the reported account Message Type Indic = Amended Report
	Deletion of Data	Deletion of the account in the report Message Type Indic = Amended Report
Specificities	None	

3.1.3 Column C: Corr DocRefID

Description	Reference ID of the account to be corrected or deleted	
Requirement	Optional - Mandatory if Report Type ≠ New Data	
Format	Alphanumeric	
Possible values	(empty)	If you are making a new report Document Type = New Data
	(free entry)	DocRefId of the Account Report element in a previously sent report
Specificities	None	

3.2 ACCOUNT

3.2.1 Column D: Account Number

Description	Reported account number (as identified in the Reporting FI's system)	
Requirement	Mandatory	
Format	Alphanumeric	
Possible values	(free entry)	Account Type = OBAN, OSIN or OTHER
	Alpha-2 ISO Code + 15 to 31 digits	Account Type = IBAN
	Alpha-2 ISO Code + 12 digits	Account Type = ISIN
Specificities	None	

3.2.2 Column E: Account Type

Description	Account number type	
Requirement	Mandatory	
Format	Alphanumeric	
Possible values	IBAN	
	OBAN	
	ISIN	
	OSIN	
	OTHER	
Specificities	None	

3.2.3 Column F: Closed (Y/N)

Description	Indicates whether the account is open or closed	
Requirement	Mandatory	
Format	Alpha	
Possible values	Y	Account open on 31/12 of reporting year
	N	Account closed during reporting year
Specificities	None	

3.2.4 Column G: Dormant (Y/N)

Description	Indicates whether the account is dormant or not	
Requirement	Mandatory	
Format	Alpha	
Possible values	Y	Dormant account as of 31/12 of reporting year
	N	Non dormant account as of 31/12 of reporting year
Specificities	None	

3.3 ACCOUNT HOLDER

3.3.1 Column H: First Name

Description	Account holder's first name
Requirement	Mandatory
Format	Alpha
Possible values	(free entry)
Specificities	None

3.3.2 Column I: Middle Name

Description	Account holder's other name(s) (if any)
Requirement	Optional
Format	Alpha
Possible values	(free entry)
Specificities	None

3.3.3 Column J: Last Name

Description	Account holder's last name
Requirement	Mandatory
Format	Alpha
Possible values	(free entry)
Specificities	None

3.4 BIRTH DETAILS

3.4.1 Column K: Date of birth

Description	Account holder's date of birth
Requirement	Mandatory
Format	JJ/MM/AAAA
Possible values	(date later than 01/01/1900 and before today)
Specificities	None

3.4.2 Column G: Birth City

Description	Account holder's city of birth
Requirement	Optional
Format	Alpha : XX
Possible values	(free entry)
Specificities	None

3.4.3 Column L: Birth Country

Description	Account holder's country of birth
Requirement	Optional
Format	Alpha : XX
Possible values	(Alpha-2 ISO Code)
Specificities	None

3.5 TAX RESIDENCE**3.5.1 Column M: Tax Residence**

Description	Account holder's country of tax residence
Requirement	Optional
Format	Alpha : XX
Possible values	(Alpha-2 ISO Code)
Specificities	None

3.5.2 Column N: Tax Identification Number

Description	Account holder's tax identification number
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

3.6 ADDRESS

3.6.1 Column O: Building ID

Description	Account holder's address (building)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

3.6.2 Column P: Street

Description	Account holder's address (street)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

3.6.3 Column Q: P.O. Box

Description	Account holder's address (PO Box)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

3.6.4 Column R: Postal Code

Description	Account holder's address (post code)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

3.6.5 Column S: City

Description	Account holder's address (city)
Requirement	Mandatory
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

3.6.6 Column T: Country

Description	Account holder's address (country)
Requirement	Mandatory
Format	Alphanumeric
Possible values	(Alpha-2 ISO Code)
Specificities	None

3.7 BALANCE**3.7.1 Column U: Account Balance**

Description	Account balance as of 31/12 of reporting year
Requirement	Mandatory
Format	Numeric
Possible values	(number equal to or above to zero)
Specificities	Must be zero if closed account or negative balance Must be the same on each line that relates to the same account number

3.7.2 Column V: Currency

Description	Currency in which the account balance is being reported
Requirement	Mandatory
Format	Alpha : XXX
Possible values	(currency code ISO 4217)
Specificities	None

3.8 PAYMENTS

3.8.1 Column W: Dividend

Description	Total gross amount of dividends paid or credited on the account during the year
Requirement	Optional
Format	Numeric
Possible values	(number equal to or above zero)
Specificities	None

3.8.2 Column X: Currency

Description	Currency in which the dividends are being reported
Requirement	Mandatory if Dividend = non empty
Format	Alpha : XXX
Possible values	(currency code ISO 4217)
Specificities	None

3.8.3 Column Y: Interest

Description	Total gross amount of interests paid or credited on the account during the year
Requirement	Optional
Format	Numeric
Possible values	(number equal to or above zero)
Specificities	None

3.8.4 Column Z: Currency

Description	Currency in which the interests are being reported
Requirement	Mandatory if Interest = non empty
Format	Alpha : XXX
Possible values	(currency code ISO 4217)
Specificities	None

3.8.5 Column AA: Gross Proceeds

Description	Total gross proceeds from the sale or redemption of financial assets paid or credited to the account
Requirement	Optional
Format	Numeric
Possible values	(number equal to or above zero)
Specificities	None

3.8.6 Column AB: Currency

Description	Currency in which the gross proceeds are being reported
Requirement	Mandatory if Gross Proceeds = non empty
Format	Alpha : XXX
Possible values	(currency code ISO 4217)
Specificities	None

3.8.7 Column AC: Other Payment

Description	Total gross amount of other income generated with respect to the assets held in the account, which have been paid or credited to the account
Requirement	Optional
Format	Numeric
Possible values	(number equal to or above zero)
Specificities	None

3.8.8 Column AD: Currency

Description	Currency in which the other payments are being reported
Requirement	Mandatory if Other Payment = non empty
Format	Alpha : XXX
Possible values	(currency code ISO 4217)
Specificities	None

4. TABLE 3 : ENTITY ACCOUNTS

4.1 REPORT INFO

4.1.1 Column A: Sending Company IN

Description	Identification of the Reporting FI's that maintains the reported account
Requirement	Mandatory
Format	Alphanumeric
Possible values	(Must match a Sending Company IN entered on sheet "General")
Specificities	None

4.1.2 Column B: Report type

Description	Indicates the type of data that is entered regarding the reported account : new data, resend data, corrected data or deletion of data	
Requirement	Mandatory	
Format	Alpha	
Possible values	New Data	Sending new data regarding the reported account Message Type Indic = New Report or Nil Report
	Corrected Data	Sending corrected data regarding the reported account Message Type Indic = Amended Report
	Deletion of Data	Deletion of the account in the report Message Type Indic = Amended Report
Specificities	None	

4.1.3 Column C: Corr DocRefID

Description	Reference ID of the account to be corrected or deleted	
Requirement	Optional - Mandatory if Report Type ≠ New Data	
Format	Alphanumeric	
Possible values	(empty)	If you are making a new report Document Type = New Data
	(free entry)	DocRefId of the Account Report element in a previously sent report
Specificities	None	

4.2 ACCOUNT

4.2.1 Column D: Account Number

Description	Reported account number (as identified in the Reporting FI's system)	
Requirement	Mandatory	
Format	Alphanumeric	
Possible values	(free entry)	Account Type = OBAN, OSIN or OTHER
	Alpha-2 ISO Code + 15 à 31 chiffres	Account Type = IBAN
	Alpha-2 ISO Code + 12 chiffres	Account Type = ISIN
Specificities	None	

4.2.2 Column E: Account Type

Description	Account number type	
Requirement	Mandatory	
Format	Alphanumeric	
Possible values	IBAN	
	OBAN	
	ISIN	
	OSIN	
	OTHER	
Specificities	None	

4.2.3 Column F: Closed (Y/N)

Description	Indicates whether the account is open or closed	
Requirement	Mandatory	
Format	Alpha	
Possible values	Y	Account open on 31/12 of reporting year
	N	Account closed during reporting year
Specificities	None	

4.2.4 Column G: Dormant (Y/N)

Description	Indicates whether the account is dormant or not	
Requirement	Mandatory	
Format	Alpha	
Possible values	Y	Dormant account as of 31/12 of reporting year
	N	Non dormant account as of 31/12 of reporting year
Specificities	None	

4.3 ACCOUNT HOLDER

4.3.1 Column H: Account holder type

Description	Type of entity account holder	
Requirement	Mandatory	
Format	Alpha	
Possible values	ACTIVE NFE	Active non financial entity
	PASSIVE NFE	Passive non financial entity
Specificities	None	

4.3.2 Column I: Name

Description	Name of entity account holder
Requirement	Mandatory
Format	Alpha
Possible values	(free entry)
Specificities	None

4.4 TAX RESIDENCE

4.4.1 Column J: Tax Residence

Description	Entity account holder's country of tax residence
Requirement	Optional
Format	Alpha : XX
Possible values	(Alpha-2 ISO Code)
Specificities	None

4.4.2 Column K: Tax Identification Number

Description	Entity account holder's tax identification number
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

4.5 ADDRESS

4.5.1 Column L: Building ID

Description	Entity account holder's address (building)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

4.5.2 Column M: Street

Description	Entity account holder's address (street)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

4.5.3 Column N: P.O. Box

Description	Entity account holder's address (P.O. Box)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

4.5.4 Column O: Postal Code

Description	Entity account holder's address (post code)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

4.5.5 Column P: City

Description	Entity account holder's address (city)
Requirement	Mandatory
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

4.5.6 Column Q: Country

Description	Entity account holder's address (country)
Requirement	Mandatory
Format	Alphanumeric
Possible values	(Alpha-2 ISO Code)
Specificities	None

4.6 BALANCE**4.6.1 Column U: Account Balance**

Description	Account balance as of 31/12 of reporting year
Requirement	Mandatory
Format	Numeric
Possible values	(number equal to or above zero)
Specificities	Must be zero if closed account or negative balance Must be the same on each line that relates to the same account number

4.6.2 Column V: Currency

Description	Currency in which the account balance is being reported
Requirement	Mandatory
Format	Alpha : XXX
Possible values	(currency code ISO 4217)
Specificities	None

4.7 PAYMENTS

4.7.1 Column W: Dividend

Description	Total gross amount of Dividends paid or credited on the account during the year
Requirement	Optional
Format	Numeric
Possible values	(number equal to or above zero)
Specificities	None

4.7.2 Column X: Currency

Description	Currency in which the dividends are being reported
Requirement	Mandatory if Dividend = non empty
Format	Alpha : XXX
Possible values	(currency code ISO 4217)
Specificities	None

4.7.3 Column Y: Interest

Description	Total gross amount of interests paid or credited on the account during the year
Requirement	Optional
Format	Numeric
Possible values	(number equal to or above zero)
Specificities	None

4.7.4 Column Z: Currency

Description	Currency in which the interests are being reported
Requirement	Mandatory if Interest = non empty
Format	Alpha : XXX
Possible values	(currency code ISO 4217)
Specificities	None

4.7.5 Column AA: Gross Proceeds

Description	Total gross proceeds from the sale or redemption of financial assets paid or credited to the account
Requirement	Optional
Format	Numeric
Possible values	(number equal to or above zero)
Specificities	None

4.7.6 Column AB: Currency

Description	Currency in which the gross proceeds are being reported
Requirement	Mandatory if Gross Proceeds = non empty
Format	Alpha : XXX
Possible values	(currency code ISO 4217)
Specificities	None

4.7.7 Column AC: Other Payment

Description	Total gross amount of other income generated with respect to the assets held in the account, which have been paid or credited to the account
Requirement	Optional
Format	Numeric
Possible values	(number equal to or above zero)
Specificities	None

4.7.8 Column AD: Currency

Description	Currency in which the other payments are being reported
Requirement	Mandatory if Other Payment = non empty
Format	Alpha : XXX
Possible values	(currency code ISO 4217)
Specificities	None

5. TABLE 4 : CONTROLLING PERSONS

5.1 ACCOUNT

5.1.1 Column A: Account Number

Description	Number of account held by the reported controlling person Must match an account number provided on sheet Entity Accounts
Requirement	Mandatory
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

5.2 CONTROLLING PERSON

5.2.1 Column B: Controlling Person Type

Description	Type of controlling person
Requirement	Mandatory
Format	Alpha
Possible values	CP of legal person - ownership
	CP of legal person - other means
	CP of legal person - senior managing official
	CP of legal arrangement - trust - settlor
	CP of legal arrangement - trust - trustee
	CP of legal arrangement - trust - protector
	CP of legal arrangement - trust - beneficiary
	CP of legal arrangement - trust - other
	CP of legal arrangement - other - settlor-equivalent
	CP of legal arrangement - other - trustee-equivalent
	CP of legal arrangement - other - protector-equivalent
	CP of legal arrangement - other - beneficiary-equivalent
	CP of legal arrangement - other - other-equivalent
Specificities	None

5.2.2 Column C: First Name

Description	Controlling person's first name
Requirement	Mandatory
Format	Alpha
Possible values	(free entry)
Specificities	None

5.2.3 Column D: Middle Name

Description	Controlling person's other name(s) (if any)
Requirement	Optional
Format	Alpha
Possible values	(free entry)
Specificities	None

5.2.4 Column E: Last Name

Description	Controlling person's last name
Requirement	Mandatory
Format	Alpha
Possible values	(free entry)
Specificities	None

5.3 BIRTH DETAILS**5.3.1 Column F: Date of birth**

Description	Controlling person's date of birth
Requirement	Mandatory
Format	JJ/MM/AAAA
Possible values	(date postérieure au 01/01/1900 et antérieure à la date d'aujourd'hui)
Specificities	None

5.3.2 Column G: Birth City

Description	Controlling person's city of birth
Requirement	Optional
Format	Alpha : XX
Possible values	(free entry)
Specificities	None

5.3.3 Column H: Birth Country

Description	Controlling person's country of birth
Requirement	Optional
Format	Alpha : XX
Possible values	(Alpha-2 ISO Code)
Specificities	None

5.4 TAX RESIDENCE**5.4.1 Column I: Tax Residence**

Description	Controlling person's country of tax residence
Requirement	Optional
Format	Alpha : XX
Possible values	(Alpha-2 ISO Code)
Specificities	None

5.4.2 Column J: Tax Identification Number

Description	Controlling person's tax identification number
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

5.5 ADDRESS

5.5.1 Column K: Building ID

Description	Controlling person's address (building)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

5.5.2 Column L: Street

Description	Controlling person's address (street)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

5.5.3 Column M: P.O. Box

Description	Controlling person's address (P.O. Box)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

5.5.4 Column N: Postal Code

Description	Controlling person's address (post code)
Requirement	Optional
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

5.5.5 Column O: City

Description	Controlling person's address (city)
Requirement	Mandatory
Format	Alphanumeric
Possible values	(free entry)
Specificities	None

5.5.6 Column P: Country

Description	Controlling person's address (country)
Requirement	Mandatory
Format	Alphanumeric
Possible values	(Alpha-2 ISO Code)
Specificities	None

6. SPECIFIC CASES

6.1 Joint accounts

In case of an account with several holders :

- One line must be created for each account holder.
- Account-related information must be the same (account number, balance, payments, etc.).
- Only information related to the account holders must be different (name, birth info, address, etc.)

6.2 Clients with multiple tax residences

In case of an account holder or a controlling person with multiple tax residences :

- The line related to this person must be copied.
- Only information related to tax residence must differ (tax residence and TIN.

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