



**Government of the Macao Special Administrative Region
Financial Services Bureau**

Automatic Exchange of Information (AEOI)

Status Message v1.1

User Guide

Website : www.dsf.gov.mo/AEOI/

Automatic Exchange of Information
Status Message v1.1
User Guide

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Version History

The revision history of each Automatic Exchange of Information (AEOI) Status Message User Guide version is here:

Version no.	Description	Section updated	Version date
1.0	The initial release.		Jul 2017
1.1	<ul style="list-style-type: none">- The description of File Error Code 50103 is modified.- New File Error Codes (50116 to 50119) are added.	Part B I.	Jan 2018

Introduction

With the first exchanges under the Common Reporting Standard being scheduled for September 2018, FSB will rely on the XML Schema to receive information from Financial Institutions (FIs).

As the information to be provided through the XML Schema may contain errors, caused by either an incorrect file preparation and/or by incomplete or inaccurate record information, FSB will provide the sending FIs with information regarding such file and record errors in a structured manner.

This document contains the structure of the Status Message, as well as a User Guide setting out the practical guidelines for understanding the Status Message.

The Status Message allows FSB to report back to the sending FI, whether the file received contained any of the file or record errors.

In case file errors are discovered, this will generally entail that FSB is not able to open and use the file. As such, file errors are of a fundamental nature and therefore it is expected that a Status Message is sent to the sending FI in these instances, with a view to timely receiving a new file (without the file error) with the information contained in the initial erroneous file sent.

Record errors address key issues of data quality of the information received, but do not as such impede FSB from opening the file. The record errors contained in the Status Message reflect the additional validations.

FSB will only accept file that has no error, both file error and record error.

How the User Guide links to the Status Message

Structure and general requirements

Part A of the User Guide contains further guidance regarding the Status Message. The User Guide is divided into logical sections and provides information on specific data elements and any attributes that describe that data element.

The Status Message Information sections are:

- I. Message Header with the AeoiId, message type, language of the message and the timestamp.
- II. The body of the Status Message, containing information as to whether any file or record errors were detected or whether the file had no errors, as well as the details of any file or record errors found and the decision as to accept or reject the message. The error codes to be used to indicate file or record errors are contained in Part B of this User Guide.

Appendix A to the Status Message User Guide shows a diagrammatic representation of the Status Message with all its elements.

Part B of the User Guide contains further guidance on the file and record error codes to be used when populating the Status Message.

General principles of the Status Message

For each message received, FSB will generate a Status Message in the AEOI FTP server to indicate the outcomes of the file (and any record) validations.

A Status Message refers to only one initial message (XML Schema file), indicated in the field OriginalMessage.OriginalMessageRefID.

No Status Message should be sent with respect to another Status Message. As such, Status Messages may only be sent by FSB in relation to a message sent by FIs.

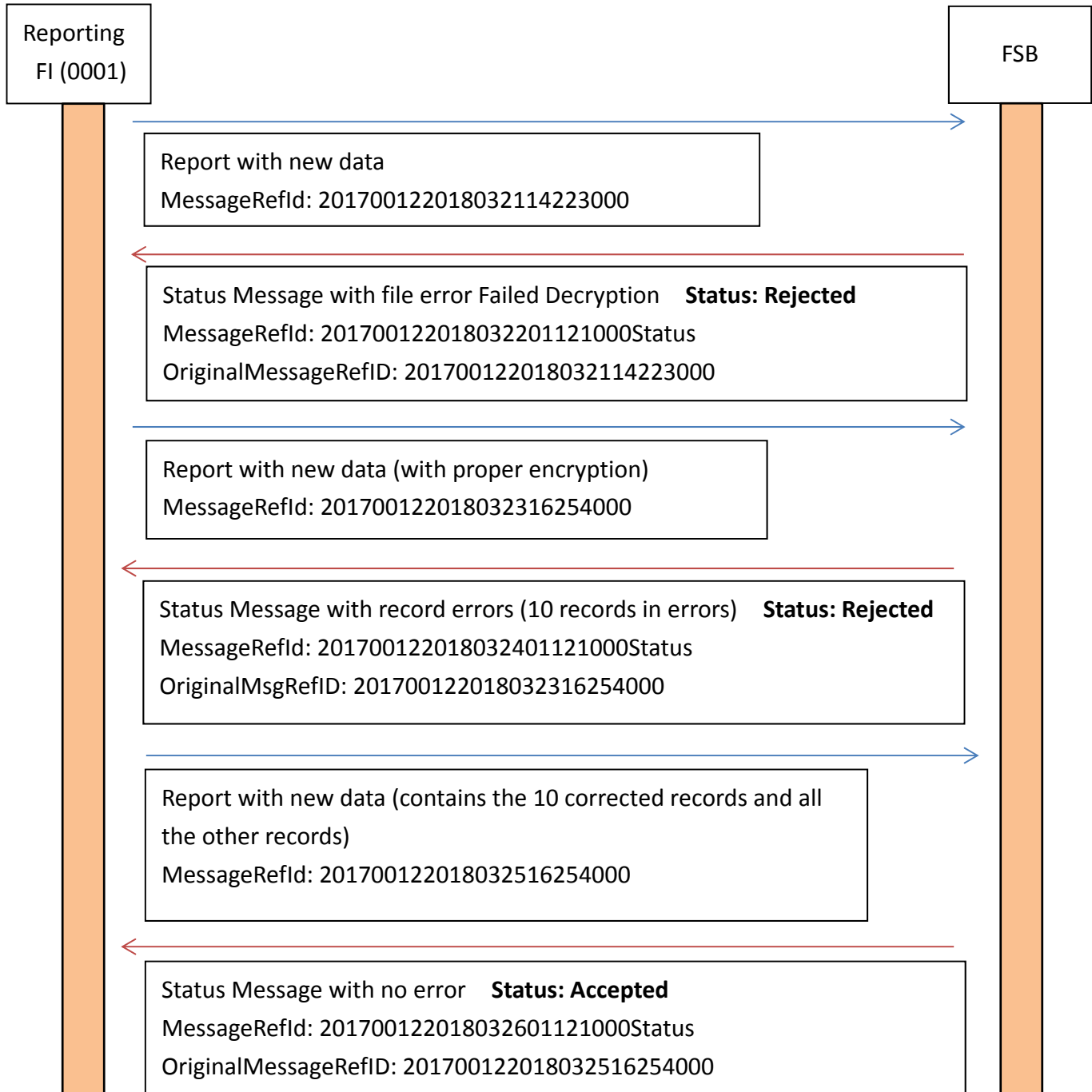
Relationship between the status indicated and validation errors

When FIs received the Status Message indicates that the original message has been rejected, the file must be corrected and resubmitted when the rejection is due to at least one error (file error or record error).

The diagrams below illustrate the Status Message in relation to corrections to be made.

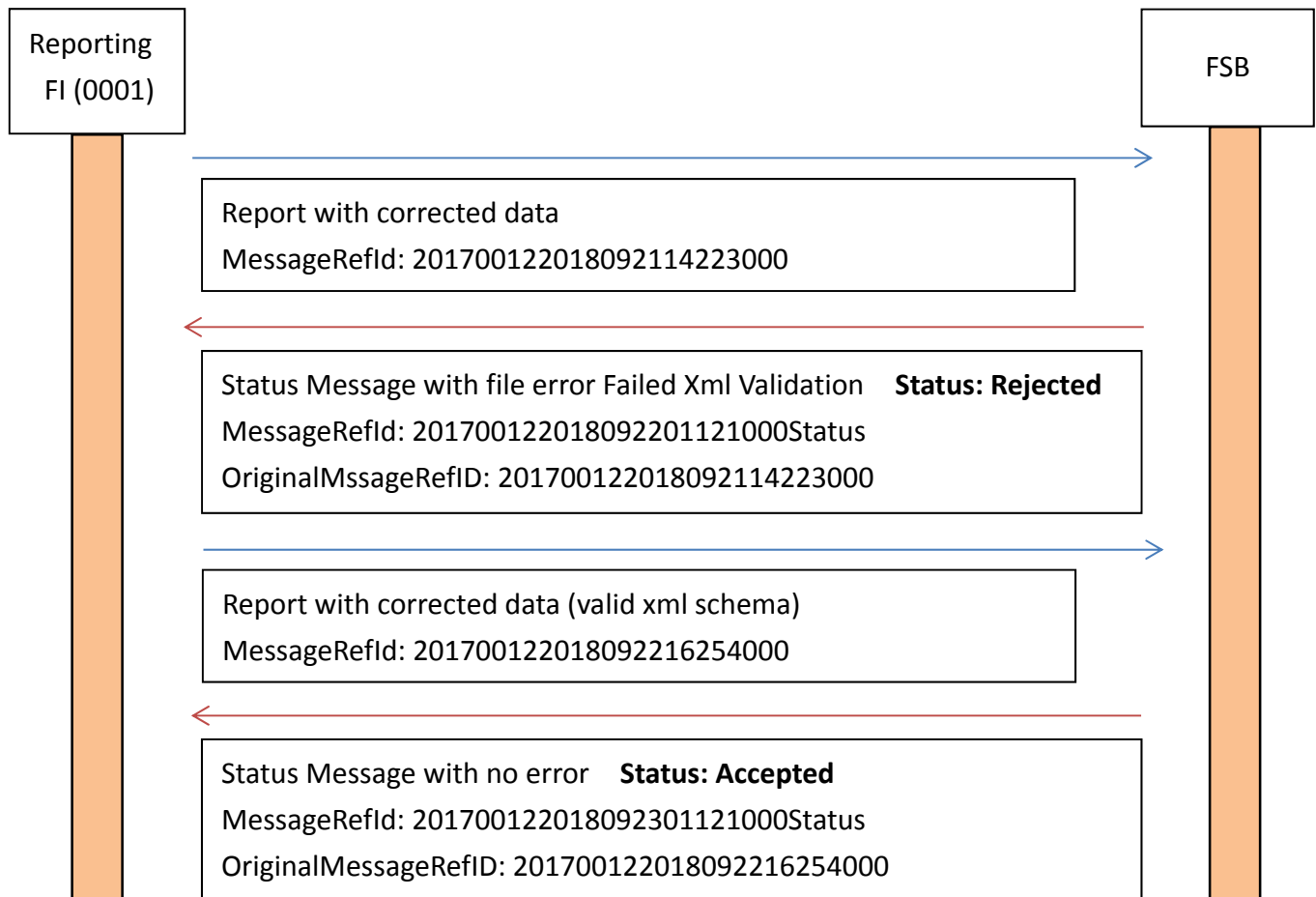
Examples for the sequence of exchanges under the Status Message

A. Before submission deadline:



B. After submission deadline:

If a FI discovered that there are errors in the data file after submission deadline, the FI has to submit a data file which contains only the corrected account report(s) to rectify the situation.



Part A : Status Message Information

I. Message Header

Information in the message header identifies the FI that is sending the message. It specifies when the status message was created and the nature of the report.

1.1 AEOI ID

Element	Attribute	Size
AeoId		4-digit

This data element identifies the sending FI by its AEOI ID.

1.2 MessageType

Element	Attribute	Size
MessageType		

This data element specifies the type of message being sent. The only allowable entry in this field is “MOStatusMessage”.

1.3 Warning

Element	Attribute	Size
Warning		Max 4'000 characters

This data element specifies cautionary instruction from FSB.

1.4 Contact

Element	Attribute	Size
Contact		Max 4'000 characters

This data element specifies contact information of the status message.

1.5 MessageRefId

Element	Attribute	Size
MessageRefId		Max 200 characters

The Message Ref Id element contains the unique identifier of the status message. e.g. 201700122018032114223000Status

1.6 Timestamp

Element	Attribute	Size
Timestamp		

This data element identifies the date and time when the message was compiled. The format for use is YYYY-MM-DD'T'hh:mm:ss. Fractions of seconds may be used. Example: 2018-02-15T14:37:40.

II. Status Message

The body of the Status Message is composed of the following three top elements:

2.1 *OriginalMessage*

Element	Attribute	Size
OriginalMessage		

The Original Message element indicates the original message for which a Status Message is provided. It specifies the MessageRefId of the original message.

2.2 *ValidationErrors*

Element	Attribute	Size
ValidationErrors		

The Validation Errors element indicates that FSB has found errors with respect to that original message, with the result being either file errors found, record errors found or no error found.

2.3 *ValidationResult*

Element	Attribute	Size
ValidationResult		

The Validation Result element indicates whether the original message was accepted or rejected by FSB.

IIa. Original Message

2.4 *OriginalMessageRefID*

Element	Attribute	Size
OriginalMessageRefID		Max 200 characters

The Original Message Ref ID element contains the unique identifier of the original message.

e.g. 201700122018032114223000

IIb. Validation Errors

The Validation Errors element allows providing:

- File validation errors;
- Record validation errors

If no error is found, both the File Error and Record Error elements would be omitted.

2.5 FileError

Element	Attribute	Size
FileError		

The File Error element indicates that one or more file errors have been found in the original message.

2.6 RecordError

Element	Attribute	Size
RecordError		

The Record Error element indicates that one or more record errors have been found in the original message.

IIb. Validation Errors – File Error

The File Error element is composed of:

2.7 Code

Element	Attribute	Size
Code		Max 10 characters

In the Code element, one appropriate file error code would be entered. The list of applicable file error codes and their description is contained in Part B of this User Guide. Only file error codes listed in the latest version of the aforementioned User Guide may be provided here.

2.8 Details

Element	Attribute	Size
Details		Max 4'000 characters

The Details element explains the cause of the error. This element helps to detect the error source.

Element	Attribute	Size
Details	Language	2-character

In this attribute to the Details element, the language is specified as 'EN'.

IIb. Validation Errors – Record Error

The Record Error element is composed of:

2.9 Code

Element	Attribute	Size
Code		Max 10 characters

In the Code element one appropriate record error code would be entered. The list of applicable record error codes and their description is contained in Part B of this User Guide. Only record error codes listed in the latest version of the aforementioned User Guide may be provided here.

2.10 Details

Element	Attribute	Size
Details		Max 4'000 characters

The Details element explains the cause of the error. This element helps to detect the error source.

Element	Attribute	Size
Details	Language	2-character

In this attribute to the Details element, the language is specified as 'EN'.

2.11 DocRefIDInError

Element	Attribute	Size
DocRefIDInError		Max 200 characters

The Doc Ref ID in error element contains the DocRefId of the record for which an error was detected. This element can be repeated if the error concerns more than one record.

2.12 FieldsInError

Element	Attribute	Size
FieldsInError		

The Fields in Error element allows listing the fields which are causing the error. The element can be repeated in case the error is caused by more than one field (e.g the Account Balance must be zero, if the account was indicated as closed in the Account Closed attribute). The Fields in Error element is composed of the File Path element.

2.13 FieldPath

Element	Attribute	Size
FieldPath		Max 400 characters

The Field Path element specifies the path (i.e. the XPATH without the namespaces) of the field (i.e. XML Schema element) which is causing the error. For field-level errors in records of XML files, the Field Path value will be the complete path to the data element requiring correction, in the following form:

“/element1/sub-element1.1/ sub-element1.1.1/.../finalsubelement”

Example:

The Address City is missing (for Address Fix). In this case, the Field Path can be either:

Individual Account Holder:

MO_AEOI/CrsBody/ReportingGroup/AccountReport/AccountHolder/
Individual/Address/AddressFix/City

Organisation Account Holder:

MO_AEOI/CrsBody/ReportingGroup/AccountReport/AccountHolder/
Organisation/Address/AddressFix/City

Controlling Person:

MO_AEOI/CrsBody/ReportingGroup/AccountReport/ControllingPerson/
Individual/Address/AddressFix/City

IIc. Validation Results

The Validation Result element indicates the result of the validation and is composed of:

2.14 Status

Element	Attribute	Size
Status		

The Status element contains the result of the message. The possible Status values are:

- Accepted - The file has been accepted; or
- Rejected - The file has been rejected.

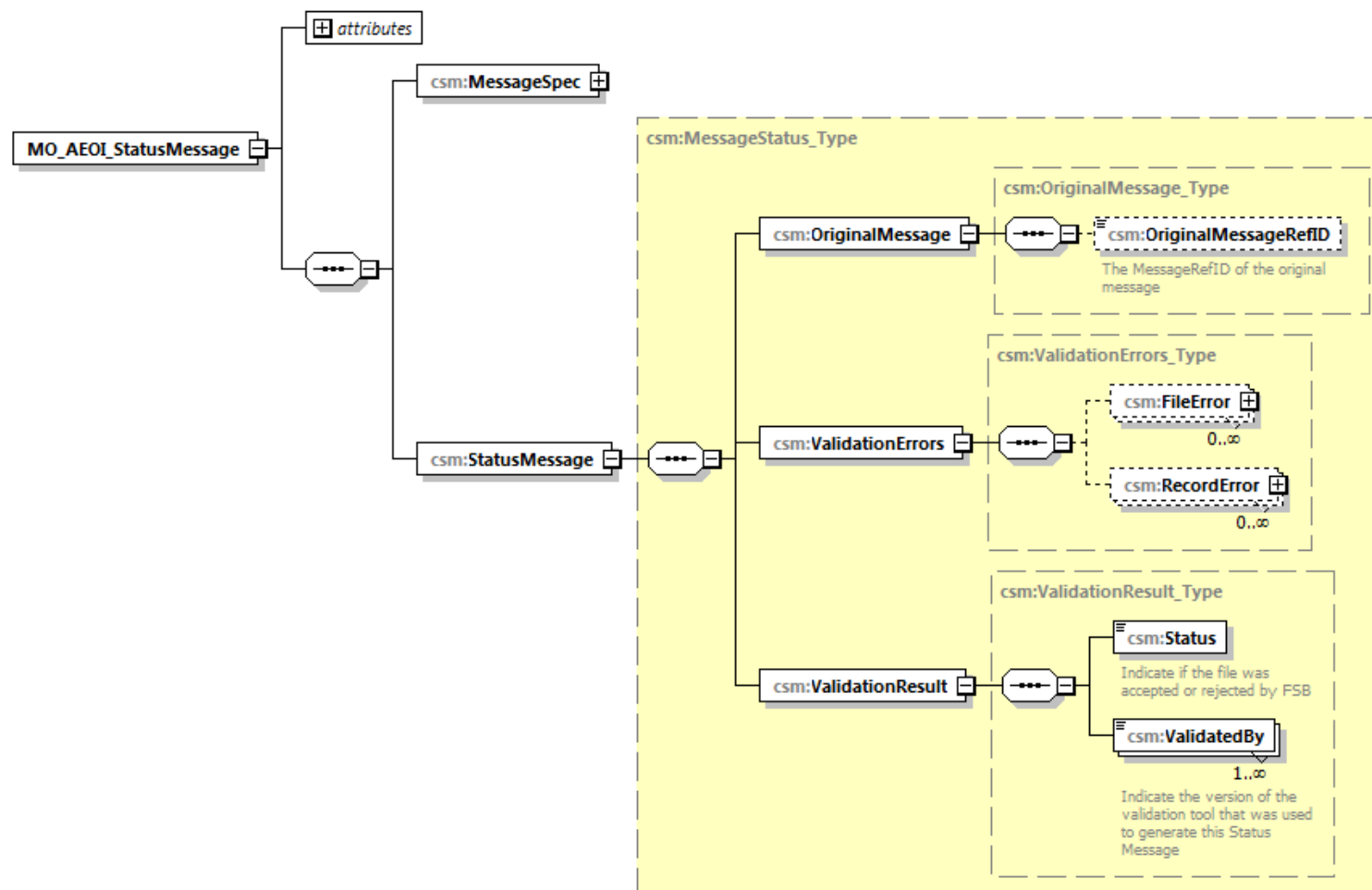
2.15 ValidatedBy

Element	Attribute	Size
ValidatedBy		Max 400 characters

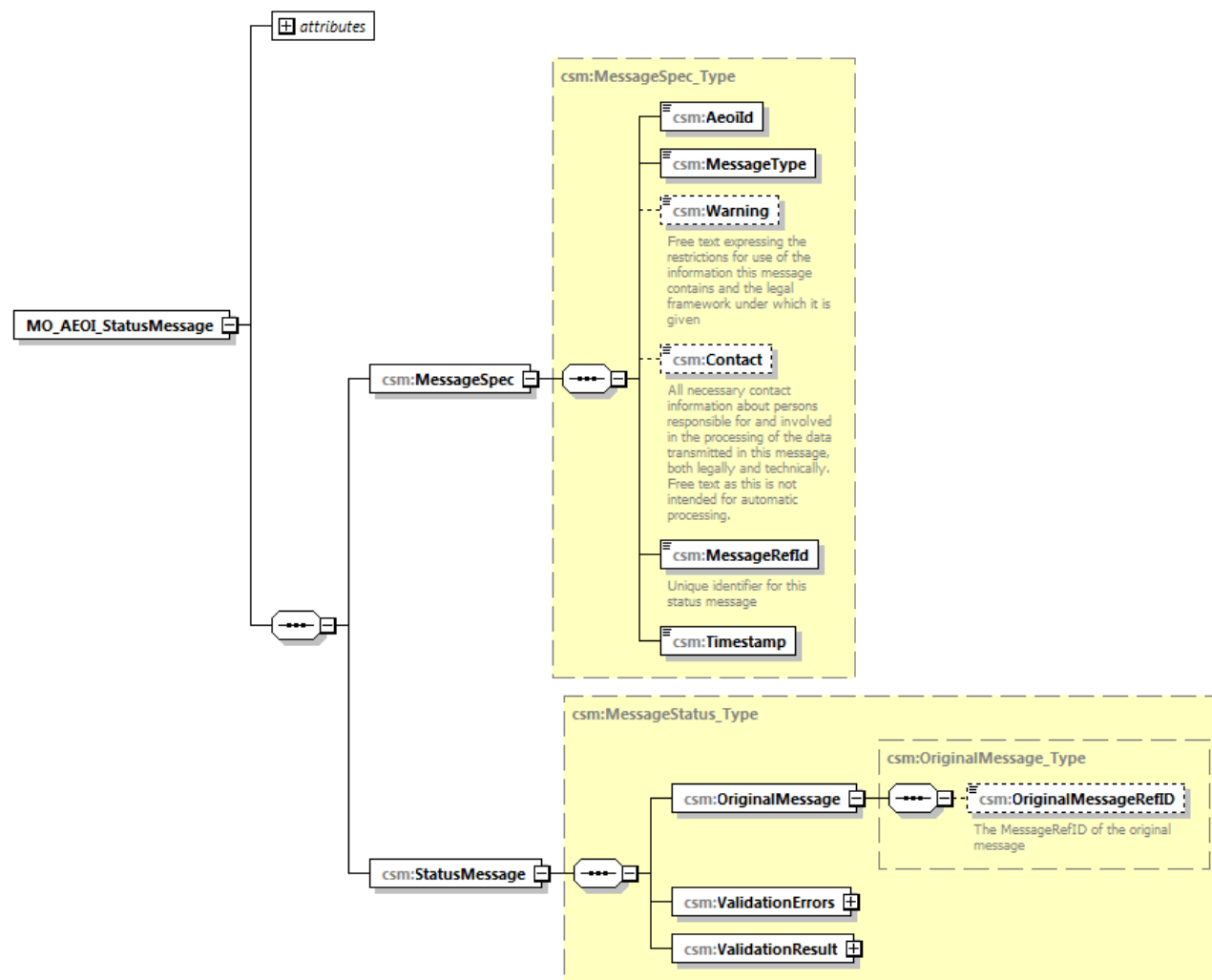
The Validated By element specifies the version of the tool(s) used for carrying out the validation process. This element can be repeated.

Appendix A

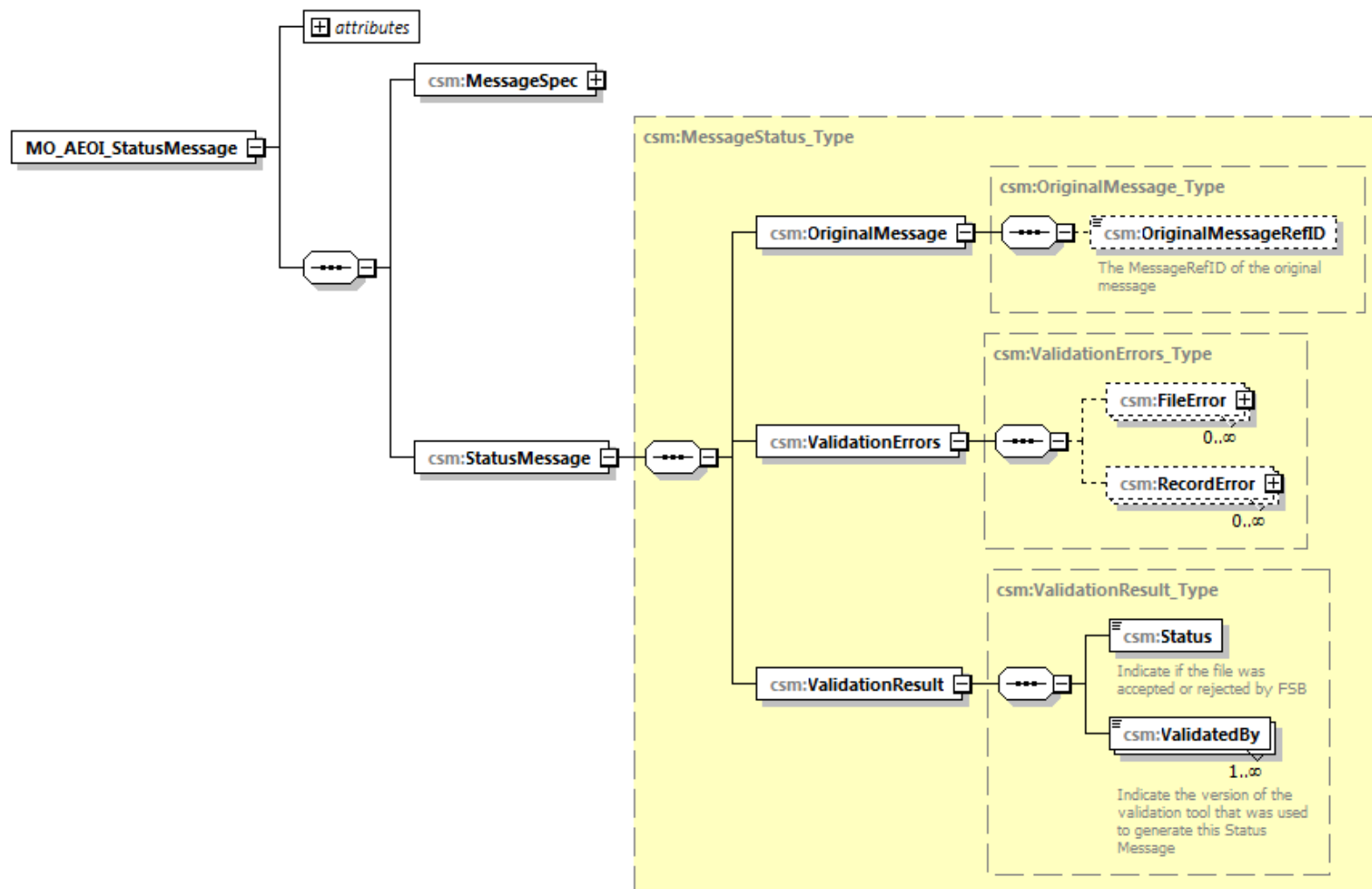
Status Message XML Schema Diagrams



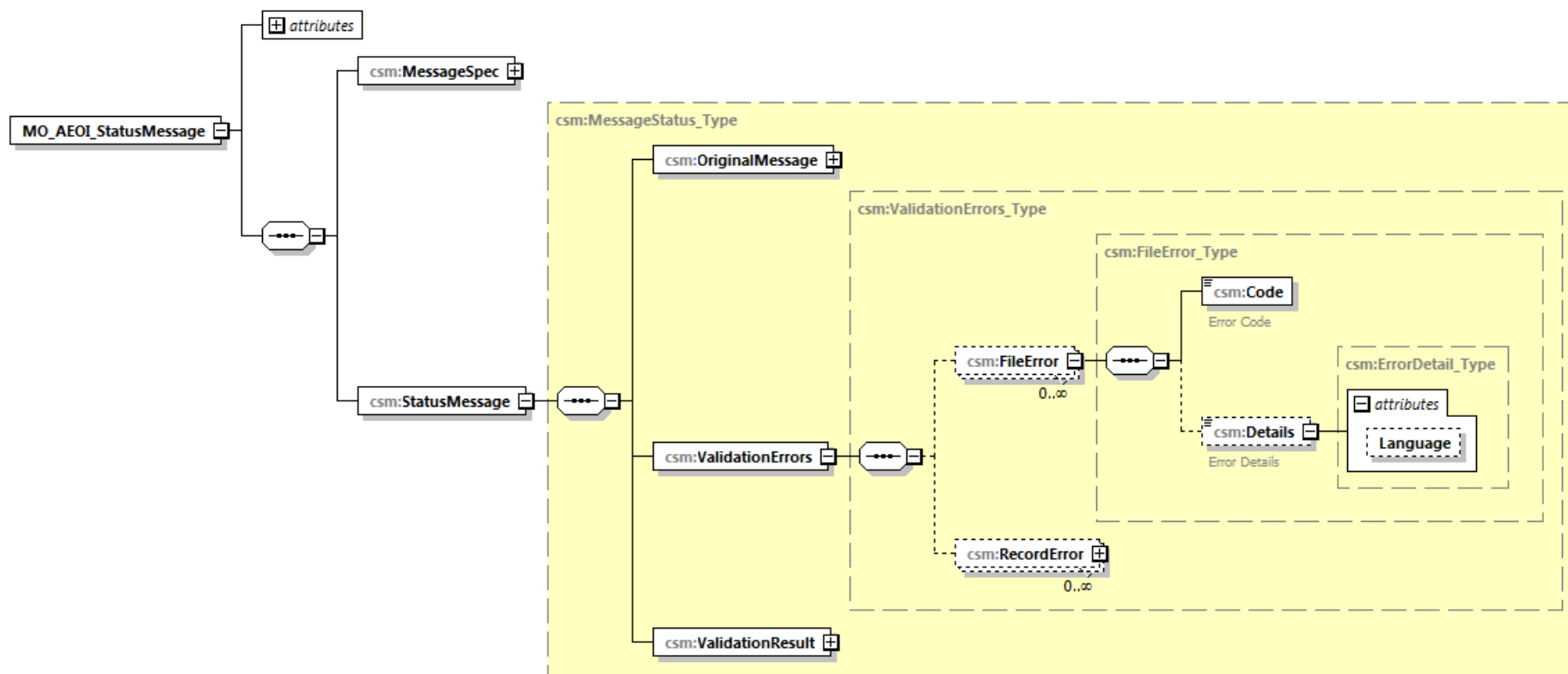
Message Header [Section I]



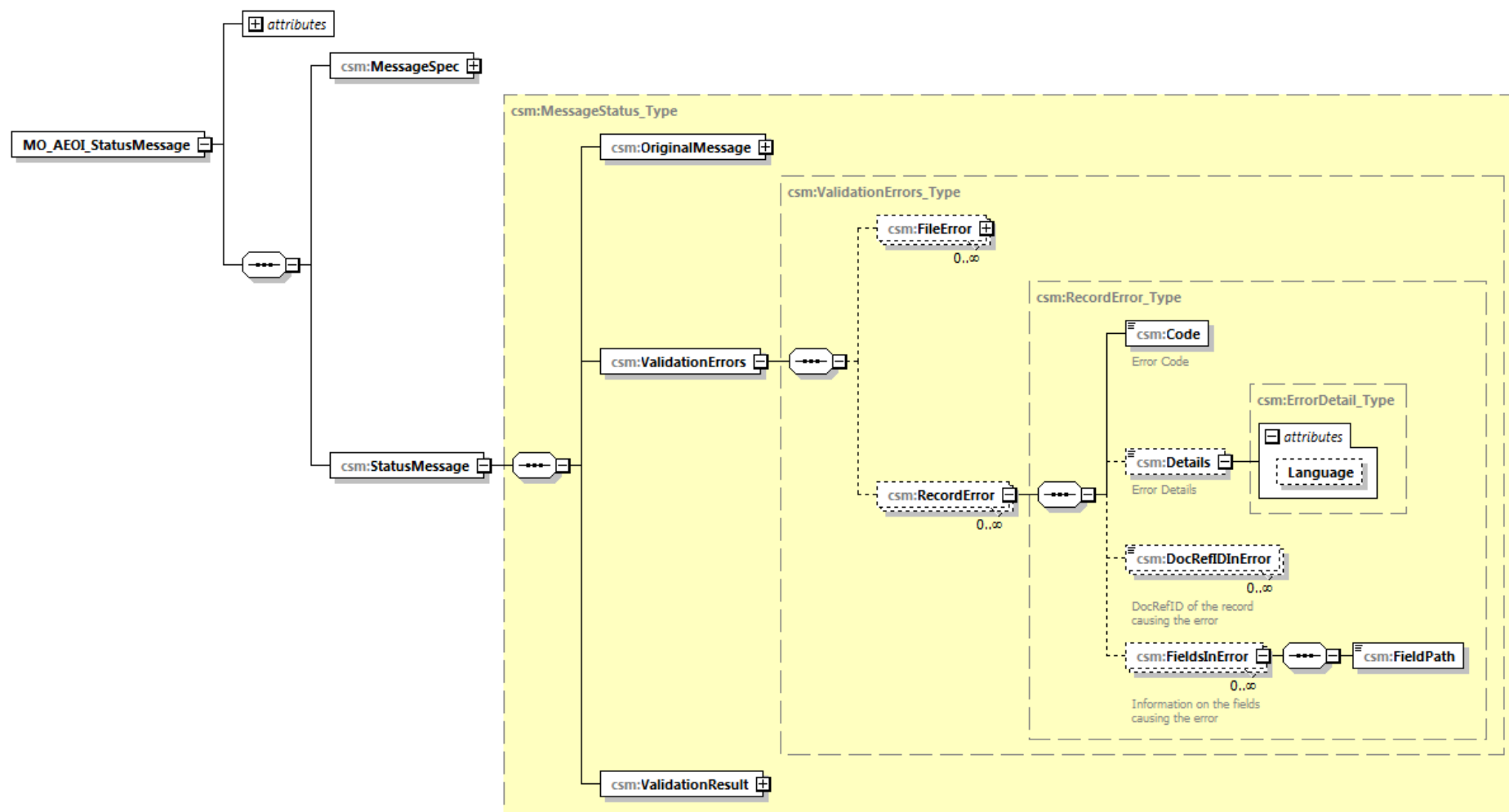
Original Message [Section IIa]



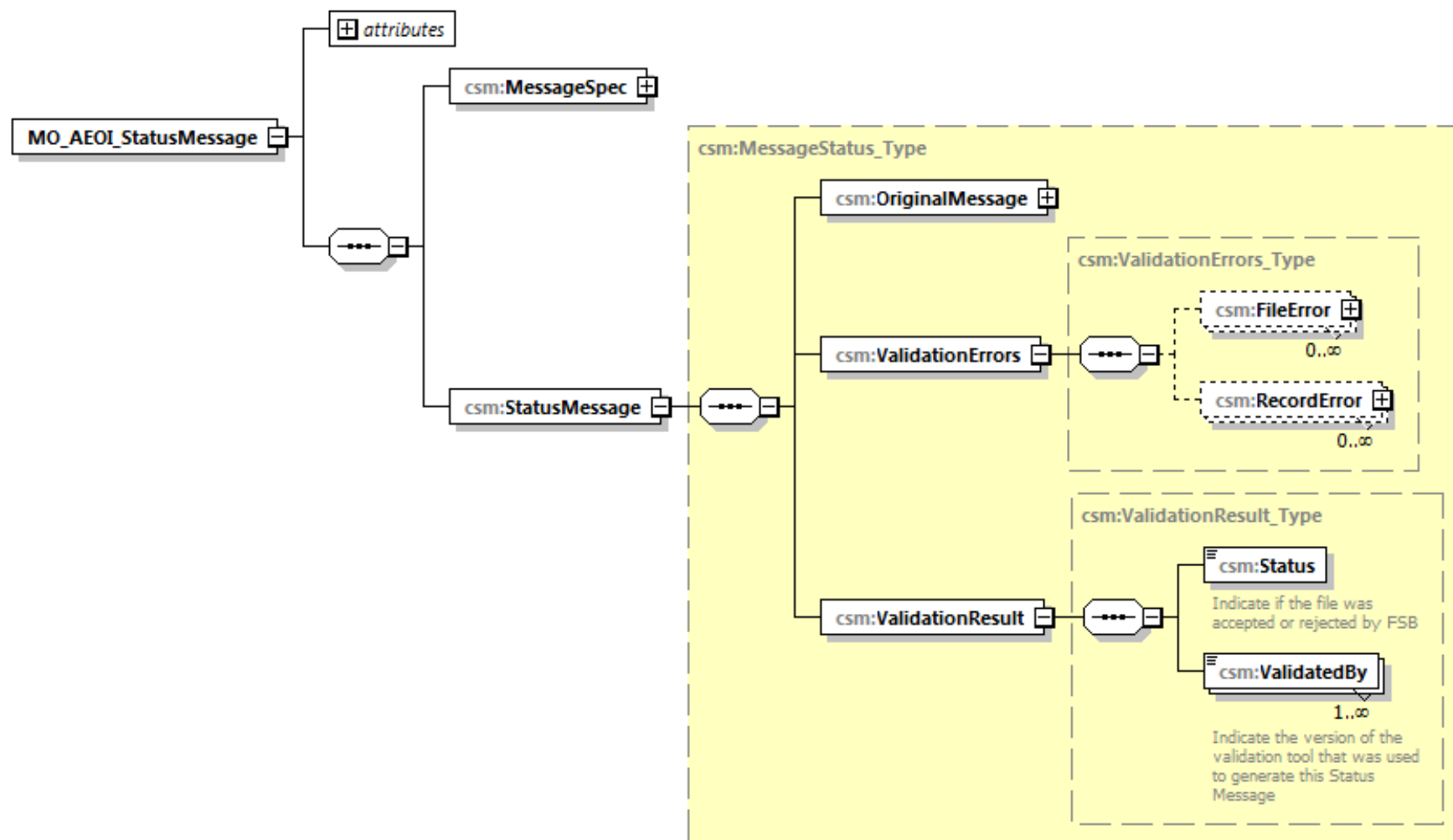
Validation Errors – File Error [Section IIb]



Validation Errors – Record Error [Section IIb]



Validation Results [Section IIc]



Part B : Status Message Error Codes

This second part of the Status Message User Guide contains further guidance on the error codes to be used for indicating a file or record error within the Status Message.

I. File Validations (50 000 – 59 999)

File Error Code	File error description
50101	Invalid Filename Format or filename date exceeds submission date
50102	Failed Decryption
50103	Failed Decompression(Before Decryption)
50104	Failed Signature Check
50105	Failed Virus Scan
50106	Failed Schema Validation
50107	Invalid MessageRefId format
50108	MessageRefId has already been used
50109	File Contains Test Data for Production Environment
50110	File Contains Production Data for Test Environment
50111	Invalid AeoId
50112	Invalid FIDName
50113	MessageTypeIndic must be New Data for file submission before deadline
50114	Not the latest file, No process done
50115	The return year should be in the range of >=2017 and <current year
50116	Failed Decompression(After Decryption)
50117	Encrypted Data File not found
50118	Encrypted Key File not found
50119	Signed Data File not found

II. Record Validations

IIa. Record Validations – data fields (60 000 – 69 999)

Record Error Code	Validation Name	Validation description
60000	Account Number IBAN	<p>The IBAN structure [ISO13616] is a sequence of</p> <ul style="list-style-type: none"> • 2 upper case letters between A and Z, representing the ISO-3166 two letter country code where the account is located; • 2 digits between 0 and 9, representing a check digit; • 1 to 30 digits between 0 and 9 and/or letters between A and Z (upper and/or lower case). <p>For example, GB29RBOS60161331926819. Validation is on structure only. No syntax validation</p>
60001	Account Number ISIN	<p>The ISIN structure [ISO6166] is a sequence of 12-character alphanumeric code. It consists of three parts:</p> <ul style="list-style-type: none"> • 2 upper case letters between A and Z, representing the ISO-3166 two letter country code where the account is located; • A nine character alpha-numerical national security identifier; • A single check digit. <p>For example, US0378331005.' Validation is on structure only. No syntax validation</p>
60002	Account Balance	Account Balance must be greater than or equal to zero
60003	Account Balance and Closed account	The Account Balance must be zero if account was indicated as closed in the account closed attribute.
60005	Controlling Person type must be omitted	When the Account Holder is an Organisation and the "Account Holder Type" is CRS102 or CRS103, the "Controlling Person Type" must be omitted. (CRS102= CRS Reportable Person; CRS103= Passive Non-Financial Entity that is a CRS Reportable Person)

60006	Controlling Person type must be provided	When the Account Holder is an Organisation and the "Account Holder Type" is CRS101, the "Controlling Person Type" must be provided. (CRS101= Passive Non-Financial Entity with - one or more controlling person that is a Reportable Person)
60014	BirthDate	The date of birth should be in the range of >=1900 and <= current year
60101	Duplicate Element	<p>The following content should not be duplicated:</p> <ul style="list-style-type: none">- ResCountryCode- Title- GenerationIdentifier- Suffix- Line <p>The following content and attribute should not be duplicated:</p> <ul style="list-style-type: none">- TIN- IN- Organisation.Name
60102	PaymentAmnt	Payment amounts must be greater than or equal to zero
60103	Undocumented Account and ResCountryCode	ResCountryCode "MO" should be used for Undocumented account

Iib. Record Validations – Missing validation or mandatory fields (70 000 – 79 999))

The purpose of the validations listed below is to verify that Validation or Mandatory elements are not missing:

For all Validation fields, an empty value and a blank space are unacceptable.

For all Mandatory fields, in case value is provided, an empty value and a blank space are unacceptable. If no value is provided, the element should be omitted.

Record Error Code	Validation Name	Validation description
70001	Individual Account Holder.TIN	Mandatory
70002	Individual Account Holder. Name.FirstName	Validation Note: Use “NFN” for No First Name.
70003	Individual Account Holder. Name.LastName	Validation
70004	Individual Account Holder. Address.AddressFix.City	Validation If AddressFix is selected
70005	Individual Account Holder. Address.AddressFree.Line	Validation If AddressFree is selected
70006	Controlling Person.Tin	Mandatory
70007	Controlling Person.Name. FirstName	Validation Note: Use “NFN” for No First Name.
70008	Controlling Person.Name. LastName	Validation
70009	Controlling Person.Address. AddressFix.City	Validation If AddressFix is selected
70010	Controlling Person.Address. AddressFree.Line	Validation If AddressFree is selected
70011	Organisation Account Holder.IN	Mandatory
70012	Organisation Account Holder. Name	Validation
70013	Organisation Account Holder. Address.AddressFix.City	Validation If AddressFix is selected
70014	Organisation Account Holder. Address.AddressFree.Line	Validation If AddressFree is selected
70019	AccountNumber	Validation Note: Use “NANUM” for No Account Number.

Iic. Record Validation – Fields used for the correction process**(80 000 – 89 999)**

The record error codes indicate errors that have been detected in the context of the correction of previously sent records.

Record Error Code	Validation Name	Validation description
80000	DocRefID already used	The DocRefID is already used for another record.
80002	CorrMessageRefId/ CorrDocRefId/ CorrAccountNumber unknown	The CorrMessageRefId/ CorrDocRefId/ CorrAccountNumber refers to an unknown record.
80004	CorrMessageRefId/ CorrDocRefId/ CorrAccountNumber for new data	The initial element specifies a CorrMessageRefId/CorrDocRefId / CorrAccountNumber.
80005	Missing CorrMessageRefId/ CorrDocRefId/ CorrAccountNumber	The corrected element does not specify any CorrMessageRefId/ CorrDocRefId/ CorrAccountNumber.
80010	MessageTypeIndic	A message can contain either new records (OECD1) or corrections/deletions (OECD2 and OECD3), but should not contain a mixture of both.
80011	CorrDocRefID twice in same message	The same DocRefID cannot be corrected or deleted twice in the same message.

IId. Record Validation – Error codes reserved for future use**(90 000 – 97 999)**

RecordError Code	Validation Name	Validation description
90000	TIN structure	(Reserved for future use)
90001	TIN algorithm	(Reserved for future use)
90002	Invalid TIN Semantic	(Reserved for future use)