



FATCA | Foreign Account Tax Compliance Act
Foreign Filer | Transmitter Control Code (TCC)

International Data Exchange Services (IDES)



User Guide

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Disclaimers

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Additional Note about Screen Shots

Screen shots are intended for illustrative purposes only and may not match the IDES Enrollment and IDES Gateway sites. The FATCA IDES team will continue to update screen shots in future versions of the guide where applicable.

What's New

This section summarizes updates from the last publication of the IDES User Guide (April 2025):

Section	Description
All Sections	Updated to include Foreign Filer(s) as authorized users of IDES. The guide is updated throughout. Where there is no specific reference to Foreign Filer, the FATCA existing processes are also applicable to Foreign Filer(s).
Section 7 – Foreign Filer Administrators	New Section providing IDES administrator enrollment process for Foreign Filer Responsible Officers
Section 9 – Existing Administrators (Foreign Filers)	New Section providing Foreign Filer existing administrator(s) IDES user account options and processes
Screen Shots Updates	Relevant sections reflect updated screen captures of the IDES Dashboard/IDES Gateway and IDES enrollment screens for all users, which will now include the Foreign Filer(s). Screen captures are intended for illustrative purposes only and may not match the IDES Enrollment and IDES Gateway sites exactly. The FATCA IDES team will continue to update screen shots in future versions of the guide.

1. Introduction

1.1 About FATCA

The Foreign Account Tax Compliance Act (FATCA) was enacted as part of the Hiring Incentives to Restore Employment (HIRE) Act in March 2010. FATCA was created to improve transparency and address tax non-reporting of income related to foreign financial accounts held by U.S. taxpayers.

FATCA requires foreign financial institutions (FFIs) to report certain information about its U.S. accounts (including U.S. owned foreign entities), accounts held by owner-documented FFIs (ODFFI), and certain aggregate information concerning account holders that are recalcitrant account holders and, for a transitional period, accounts held by nonparticipating FFIs. Generally, FFIs will commit to these reporting requirements by registering with the IRS and signing an agreement with the IRS; however, the FFI agreement does not apply to FFIs under a Model 1 Intergovernmental Agreement (IGA) [See Table 2](#). In most cases, FFIs that do not register with the IRS will be subject to 30% withholding on certain U.S. source payments (unless an exception applies). Chapter 4 of the FATCA regulations also generally requires a withholding agent to deduct and withhold tax equal to 30 percent of a withholdable payment made to a passive non-financial foreign entity (NFFE), which is an NFFE that is not an excepted NFFE or an active NFFE under a Model 2 IGA, unless the passive NFFE certifies to the withholding agent that it does not have any substantial U.S. owners or provides certain identifying information with respect to its substantial U.S. owners. Payments to NFFEs that report their substantial U.S. owners directly to the IRS (direct reporting NFFEs) are accepted from withholding and reporting by the withholding agent.

An approved financial institution (FI) (other than a limited FFI or a limited branch), direct reporting NFFE, or sponsoring entity that registers with the IRS under FATCA will receive a global intermediary identification number (GIIN) and appear on the published FFI list. The FFI List Search and Download tool allows users to search entities by GIIN, financial institution name, or country/jurisdiction of the FFI or branch. Users can access this tool on the public IRS website at: <https://apps.irs.gov/app/fatcaFfiList/flu.jsf>.

There are certain entities, such as U.S. withholding agents (USWA), territory financial institutions (TFI), third party preparers, and independent software vendors that do not need to have a GIIN (non-GIIN filers) but need to file FATCA reports through the International Data Exchange Service (IDES). A non-GIIN filer must get a FATCA identification number (FIN) to enroll in and report through IDES. Publication of a FIN on the FFI list does not change the filer's status for FATCA purposes, as it does not subject the filer to the requirements applicable to an FFI and does not serve any function related to withholding tax on payments under FATCA or reporting such tax. A FIN will be accompanied by a generic name (e.g., "U.S. Withholding Agent 1") on the FFI List. For more information on FINs, visit the [FATCA Identification Number \(FIN\) Enrollment Process page](#).

An FFI could have two or more GIINs on the FFI list in a given month. This can occur when an FI obtains one GIIN for its own reporting and another GIIN to report on behalf of another entity (such as a sponsoring entity reporting on behalf of a sponsored entity or a trustee reporting on behalf of a trustee-documented trust). This can also occur when an FI is in the process of transferring into an expanded affiliated group or changing its FI type; in such a case, please note the following:

- If the FI's FATCA account is in approved status, a new GIIN will be issued. The old GIIN will remain on the published FFI list for 90 days to allow the GIIN holder enough time to distribute its new GIIN
- All approved branches will also be issued new GIINs. The old branch GIINs will also remain on the published FFI list for 90 days

1.2 About Foreign Filer(s) and the Foreign Filer Transmitter Control Code (TCC) Registration System

A Foreign Filer is a foreign person required to file information returns that does not have an authorized user (individual person) with either a social security number (SSN) or an individual taxpayer identification number (ITIN), and is therefore unable to complete the more secure authentication process necessary to apply for or maintain a Transmitter Control Code (TCC) required to submit information returns through the newly modernized [Information Returns Intake System \(IRIS\)](#). Accordingly, the [Foreign Filer Transmitter Control Code \(TCC\) Registration System](#) was introduced to assist certain Foreign Filer(s) with securely authenticating and obtaining a Transmitter Control Code Global Intermediary Identification Number (TCC GIIN) and TCC for secure transmissions of Form 1042-S, applicable Forms

1099, and other information returns electronically through IDES.

A Transmitter Control Code (TCC) is a five-character alphanumeric identifier issued by the IRS that authorizes a Foreign Filer or transmitter to electronically transmit information returns. The Foreign Filer TCC Registration System will assist the foreign filer(s) with obtaining the required TCC by first approving the foreign filer registration and issuing a TCC GIIN. The TCC GIIN is a system generated identification number required along with the TCC to successfully enroll in IDES. The Foreign Filer TCC Registration System will also assist the Foreign Filer(s) with establishing authorized users, such as individuals designated by the Foreign Filer(s) as their Responsible Officer and authorized delegates, who will securely enroll in IDES as Administrators or End users, respectively.

1.3 Purpose of Guide

This guide is intended to serve as a tool for FIs, direct reporting NFFE's, sponsoring entities, non-GIIN filers, Foreign Filer(s) and Host Country Tax Authorities (HCTAs) who transmit data through the International Data Exchange Service (IDES). The document assumes that the reader is familiar with the FATCA regulations, for a Foreign Filer, the document assumes the reader is familiar with applicable regulations and instructions for respective information returns and is experienced with extensible markup language (XML) and schema technology. For the purpose of this document, direct reporting NFFE's, sponsoring entities, non-GIIN filers and trustees of trustee-documented trusts should follow the instructions set forth for FIs. Additionally, the term "U.S. withholding agent" includes a territory FI treated as a U.S. person.

The guide will attempt to identify any variation in the users' process(es) that relate specifically to Foreign Filer user(s) in addition to continuing to reflect the respective process(s) for FATCA report transmission users. If there is no specific reference to the Foreign Filer user(s), the Foreign Filer user may assume that the process described in this guide is the same even where the guide references FATCA. Where any additional clarification or information may be needed, IDES account users should reach out to the [IDES Help Desk](#).

Document	Description
FATCA Online Registration User Guide (Publication 5118)	Provides Instructions for the online system to complete an electronic Form 8957, FATCA Registration
FFI List Search and Download Tool User Guide (Publication 5147)	Provides instructions on how to use the FFI List Search and Download Tool to search for an approved GIIN
FATCA XML Schema v2.0 User Guide (Publication 5124)	Explains the information required to be included in each data element of the schema
FATCA Metadata XML Schema v1.2 (Publication 5188)	Explains the XML schema and data elements used in the FATCA metadata file
FATCA Reports Notification XML Schema v2.0 User Guide (Publication 5189)	Explains the schema and elements of FATCA notifications
Instructions for Form 8966, FATCA Report	Provides instructions for the paper Form 8966, FATCA Report
Foreign Filer Transmitter Control Code (TCC) Registration – Quick Steps (Publication 6167)	Summary reference guide of the upcoming Foreign Filer TCC Registration User Guide
Foreign Filer Transmitter Control Code (TCC) Registration User Guide	Provides guidance for certain Foreign Filer(s) on the Foreign Filer TCC Registration System.
The Information Returns Intake System (IRIS) system	Additional Information where applicable for the Information Returns Intake System (IRIS) system for Foreign Filer(s)

Table 1 – FATCA Related Documents

1.4 Comments

We appreciate your feedback on the quality and usefulness of this publication. Please send comments, with a reference to chapter, section, and page number(s), to lbi.fatca.ides@irs.gov.

1.5 Technical Support

IDES technical assistance is available Monday through Friday, 24 hours a day, except for U.S. federal holidays, through the [IDES Help Desk](#). The IDES Help Desk will send a system alert from the help desk portal for planned outages and scheduled maintenance.

2. International Data Exchange Service (IDES)

2.1 About IDES

IDES is a secure managed file transfer service that is available to FIs and HCTAs to facilitate FATCA reporting. IDES is also available to Foreign Filer(s) to securely facilitate the file transfer for certain information returns. This reporting is provided for under U.S. Treasury Regulations, the FFI agreement, Tax Information Exchange Agreements (TIEAs), Intergovernmental Agreements (IGAs), and other guidance issued by the Treasury Department and the IRS. The data collected through IDES will be incorporated into IRS compliance operations.

IDES is accessible to enrolled users over the Internet via Hypertext Transfer Protocol Secure (HTTPS) or Secure File

Transfer Protocol (SFTP). IDES provides for an end-to-end controlled file transfer with enhanced monitoring and security features. The system only accepts encrypted electronic submissions and will allow for the transmission of FATCA reporting in the approved [FATCA XML Schema v2.0](#) (FATCA XML). IDES will also accept encrypted electronic transmissions from Foreign Filer(s) who have obtained the requisite Transmitter Control Code GIIN and Transmitter Control Code, through the [Foreign Filer Transmitter Control Code Registration System](#). Foreign Filer(s) will be provided the approved XML schema through the IDES Gateway to download. The guide will provide more information on the XML Schema for the Foreign Filer(s) in Section 11 [Data Preparation for FATCA XML Report](#). Foreign Filer(s) may use [Publication 6170, Foreign Filer Transmitter Control Code \(TCC\) Registration User Guide](#) to navigate the Foreign Filer Transmitter Control Code Registration System for registering and obtaining the TCC GIIN and TCC that must be obtained prior to enrolling in IDES. The following summary reference guide, [Foreign Filer Transmitter Control Code \(TCC\) Registration - Quick Steps \(Publication 6167\)](#), is also available for Foreign Filer(s).

News and Information regarding the release of additional information for Foreign Filer(s) and FATCA account users will be provided to subscribers of the [FATCA News and Information newsletter](#).

For more information on FATCA regulations, Form 8966 and instructions, FATCA XML, and other related topics, visit the [FATCA Home Page](#), [FATCA information](#) and [FATCA Frequently Asked Questions \(FAQs\)](#). For Foreign Filer(s), visit the [Foreign Filer Transmitter Control Code Registration](#) and [Information returns with IRIS](#).

The main function of IDES is to provide authorized users with secure exchange services for FATCA data and Foreign Filers TCC information return(s) transmissions, with the additional protection of a Public Key Infrastructure (PKI). The primary features of IDES are:

- Enrollment
- Certificate Management
- Account Management
- Secure Data Transmission
- Status of Data Transmission (Alerts and Notifications)



Figure 1 – IDES process overview

2.2 Before You Begin

This material is intended to supplement the contents of online IDES help and is not intended to replace technical documentation to establish and test SFTP connections. Examples shown in this document are based upon a Windows environment and can differ if using other operating systems.

2.3 Authorized Users

Authorized IDES users are FIs, direct reporting NFFEs, sponsoring entities, trustees of trustee-documented trusts, U.S. withholding agents, HCTAs and Foreign Filers. Each authorized user has limited access to the system based on the data flow model described in their agreement with the United States (for example, an IGA or an FFI agreement) or in Treasury regulations. Note that for many IDES users, the IRS is the only valid recipient for files. The table below provides additional information regarding user access based on agreement types.

Type of Agreement	User Type	Access Description
Model 1B IGA (Non-Reciprocal) FFI transmits data directly to its HCTA then the HCTA transmits data to the IRS	FFI	No Access
	HCTA	On behalf of FI under the HCTA jurisdiction: ▪ Upload FATCA reporting for direct transfer to IRS ▪ Download alerts generated by IDES ▪ Download notifications and Competent Authority Requests (CARs) submitted by IRS

Type of Agreement	User Type	Access Description
Model 1A IGA (Reciprocal) FFI transmits data directly to its HCTA then the HCTA transmits data to the IRS. This is a reciprocal model with two-way transmission between the HCTA and the IRS	FFI	No Access
	HCTA	On behalf of FI under the HCTA jurisdiction: ▪ Upload FATCA reporting for direct transfer to IRS ▪ Download alerts generated by IDES ▪ Download notifications and CARs submitted by IRS Reciprocal data will be exchanged with HCTA
Model 1 Option 2 FFI transmits data directly to its HCTA via IDES. The HCTA approves or rejects the FATCA reporting data. If approved, IDES releases the data to the IRS.	FFI	Upload FATCA reporting to IDES for review by HCTA Download alerts generated by IDES Download notifications submitted by IRS (subject to the terms of the country's IGA)
	HCTA	Upload approved or rejected FATCA reporting for direct transfer to IRS Download alerts generated by IDES Download notifications and CARs submitted by IRS
Model 2 IGA and FFI agreement FFI transmits data regarding: ▪ Consenting accountholders directly to the IRS ▪ Aggregate information on non-consenting accountholders and non-consenting, non-participating FFIs directly to IRS ▪ Specific information on non-consenting accountholders and non-consenting, non-participating FFIs directly to HCTA. HCTA can deliver data to IRS after a treaty request	FFI	Upload FATCA reporting for direct transfer to IRS Download alerts generated by IDES Download notifications submitted by IRS (subject to the terms of the country's IGA)
	HCTA	Upload FATCA reporting regarding non-consenting accountholders and non-consenting, non-participating FFIs for direct transfer to IRS (after treaty request) Download alerts generated by IDES Download notifications and CARs submitted by IRS
Non-IGA (FFI agreement) FFI transmits data directly to the IRS	FFI	Upload FATCA reporting for direct transfer to IRS Download alerts generated by IDES Download notifications submitted by IRS
	HCTA	No Access
Non-IGA (no FFI agreement)	Direct Reporting NFFE, U.S. Withholding Agent (USWA), Sponsoring Entity, or Trustee of Trustee-Documented Trust	Upload FATCA reporting for direct transfer to IRS Download alerts generated by IDES Download notifications submitted by IRS

Type of Agreement	User Type	Access Description
Foreign Filer(s) with a Transmitter Control Code GIIN (TCC GIIN) and a Transmitter Control Code (TCC). Foreign Filers transmit certain information returns with a TCC and a TCC GIIN. A TCC is a 5-digit alphanumeric code which can be requested after the issuance of a TCC GIIN. Both the TCC GIIN and TCC can be requested from the Foreign Filer Transmitter Control Code (TCC) Registration System, and both are required to enroll in IDES.	Foreign Filers	Upload Information Returns for direct transfer to IRS Download alerts generated by IDES Download notifications submitted by IRS

Table 2 – Valid User Types and Features

2.4 System Availability

IDES requires a username and password, which can be obtained through the IDES enrollment process. The system will be available 24 hours a day, except for U.S. holidays and regularly scheduled system maintenance periods. All users will be notified of planned outages, as well as unplanned outages that are expected to last more than 8 hours.

IDES work with all major browsers and can be accessed using different Secure Shell (SSH) Protocol clients for Secure File Transfer Protocol (SFTP).

Items	Technical Specifications
Browsers for HTTPS	▪ Apple Safari – only on macOS ▪ Google Chrome ▪ Microsoft Edge ▪ Mozilla Firefox
SSH Clients	▪ Any client that complies with RFCs 4251-4254
File Size	▪ File uploads and downloads are limited to a size of 200 MB compressed.
File Naming Conventions	▪ See Appendix B: File Naming Convention. ▪ Only file extension .zip are authorized for file uploads to IDES in the user Outbox folders ▪ File names are case insensitive ▪ Do not use illegal characters in the name of files, such as colon, backslash, question mark or space

Table 3 – System Requirements

2.5 Data Security

IDES provides secure file data transfers and uses encryption standards established by the United States National Institute of Standards and Technology (NIST). When a supported web browser connects to IDES via HTTPS, the Transport Layer Security (TLS) cryptographic protocol provides communication security over the Internet and the session is encrypted for data confidentiality.

2.6 File Retention

IDES provides secure data transmissions and prohibits long term data storage. Data packets that contain errors, such as files with an unencrypted payload or viruses, will be automatically deleted. Generally, each file transmitted from the U.S. to a receiver remains available for download for a limited number of days, based on the date the file was created.

After a user transmits a data packet, the user receives an IDES Alert or Notification that the transmission is available for download. The file will remain available for download in the receiver's account inbox for 7 days for FFIs/HCTAs and 30 days for Foreign Filers. An inbox folder can contain several different transmitted files at the same time, each with a different payload. For the purpose of this document, the term payload will be used to describe the body of the data packet (e.g. a FATCA XML document or Foreign Filer XML document) that serves the fundamental purpose of the data transmission.

If the receiver does not download the file within a specified period, the file expires and will be automatically deleted. Once deleted, files cannot be retrieved, downloaded, or restored. The file retention period is 7 days for FFIs/HCTAs and 30 days for Foreign Filers. After the receiver initiates the download, the file must be fully downloaded within 24 hours. After 24 hours, the file expires and will be automatically deleted.

The file retention times vary slightly based on model types. Also refer to Section [13.6 Model 1, Option 2 HCTA](#) for more details on file retention times for files sent under Model 1 Option 2.

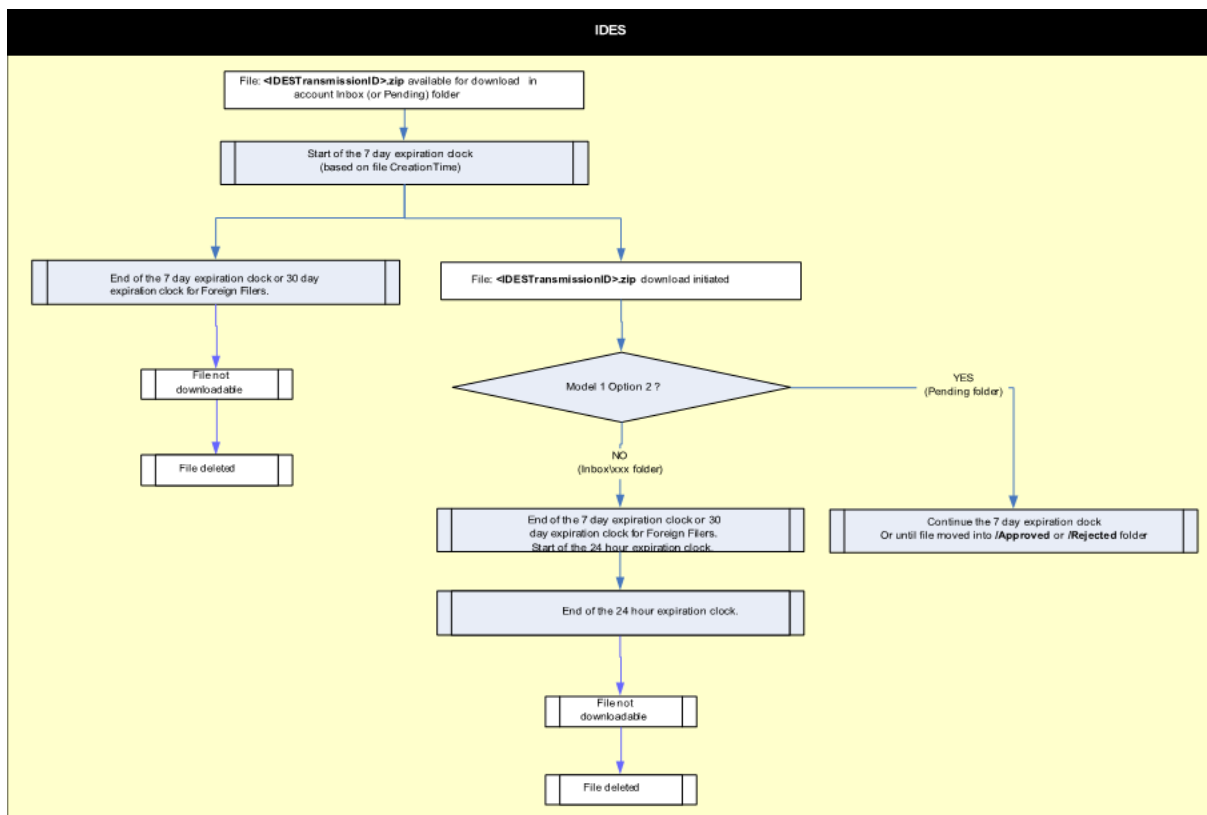


Figure 2 – File retention flow

2.7 Requirements

Certain requirements are needed to create a new account on the IDES Enrollment site. Requirements differ for HCTA, FI, and Foreign Filer(s).

Requirements	Valid User Type		
	HCTA	FI	Foreign Filer
Registered GIIN or No GIIN required* See IRS FFI List for more information	N/A	X	N/A
Foreign Filer Registered TCC GIIN and TCC	N/A	N/A	X
HCTA FATCA Entity ID See Appendix D: HCTA FATCA Entity ID Composition for more information	The IRS provided usernames to your Competent Authority. Contact the IRS for more information	N/A	N/A
Valid certificate issued by an IRS approved certificate authority (CA) See Obtain a Certificate for more information	X	X	X
Public and Private Key	X	X	X
Email addresses for all IDES system users	X	X	X

Table 4 – IDES Enrollment Requirements

*Note: Users that do not have a requirement to obtain a GIIN but are required to report using the FATCA XML (non-GIIN filers), must get a FIN to enroll in and report through IDES. For information on how to obtain a FIN, refer to the [FATCA Identification Number \(FIN\) Enrollment Process webpage](#) and [FATCA IDES technical FAQs](#). Authorized Foreign Filer IDES system users will need to obtain a TCC GIIN and TCC from the [Foreign Filer Transmitter Control Code Registration System](#) to enroll in IDES.

2.8 HCTA Username and Password

All countries under Model 1 IGAs have a pre-assigned username and HCTA FATCA Entity ID. Each HCTA FATCA Entity ID is in the format: **000000.00000.TA.<ISO>**. ISO is the ISO 3166-1 numeric standard country code. Please refer to [Appendix D: HCTA FATCA Entity ID Composition](#) for more information.

The first time a user logs on to IDES, the user is required to change its assigned username and create a password. A letter containing information on the username and enrollment instructions will be sent to an appropriate contact from each country based on their agreement with the United States. For additional information, contact the [IDES Help Desk](#).

IDES Users can change their contact information through the FATCA Foreign Financial Institution (FFI) Registration System found at <https://www.irs.gov/businesses/corporations/fatca-foreign-financial-institution-registration-system>.

3 Obtain a Digital Certificate

3.1 Purpose of a Digital Certificate

Certificates and their related private keys are used to sign and decrypt messages between the sending party and the IRS. A digital certificate binds an identity to a public key. An IRS approved certificate authority (CA) issues a certificate after an identity proofing process to verify the certificate owner. The individual identified in the certificate has possession and control over the private key associated with the public key found in the certificate.

3.2 IRS Approved Certificate Authorities

The IRS only accepts certificates issued by approved certificate authorities (CAs). A published list of CAs and acceptable digital certificate products is available on [IRS.gov](https://www.irs.gov).

IRS Approved Certificate Authority	Type of Certificate	External Website Links
Sectigo	EV SSL	https://www.sectigo.com/ssl-certificates-tls/ev-extended-validation
Digicert [®]	Standard SSL EV SSL	https://www.digicert.com/welcome/ssl-plus.htm
GlobalSign [™]	Organization SSL Extended SSL	https://www.globalsign.com/ssl/organization-ssl/
Go Daddy	EV SSL	https://www.godaddy.com/web-security/ev-ssl-certificate
IdenTrust	Standard Server SSL	http://www.identrust.com/irs/fatca/index.html
	FATCA Organization Certificate	http://www.identrust.com/irs/fatca/index.html

Table 5 – IRS-approved Certificate Authorities

3.3 Digital Certificate Format

Before you begin the IDES enrollment process, each entity should obtain one valid digital certificate issued by an [IRS approved certificate authority \(CA\)](#). Certificates in other formats, such as wildcards, will be rejected. IDES will only accept digital certificates issued by an approved CA.

Supported formats for the digital certificates are:

- Distinguished Encoding Rules (DER) binary X.509
- Privacy Enhanced eMail (PEM) ASCII (Base-64) encoded X.509

IDES will convert digital certificates received in DER format to Base64 for storage and retrieval.

If a digital certificate is not in DER or PEM format, use Windows to convert your digital certificate to DER or PEM as follows:

- Open the digital certificate with a .CRT filename extension
- Select the Details tab
- Select the “Copy to File...” button
- In the Certificate Export Wizard, select the format you want to use as either “DER encoded binary X.509 (.CER)” or “Base-64 encoded X.509 (.CER)”.

3.4 Upload a Digital Certificate to IDES

Only an IDES administrator can upload a digital certificate. After an FI, HCTA, or Foreign Filer obtains a digital certificate, the administrator will provide the certificate to IDES during the enrollment process. After uploading, the certificate is validated with the IRS approved certificate authority (CA) that issued the certificate.

It is the responsibility of IDES users to verify that the certificate is valid at the time they attempt to use it. Please refer to the Upload Digital Certificate sections for HCTAs [\(5.6\)](#), FIs [\(6.6\)](#), and Foreign Filers [\(7.6\)](#) for more information on how to upload a digital certificate to an IDES account.

3.5 Public Key Certificate

A public key certificate, also known as a digital certificate, is an electronic document used to prove ownership of a public key. The IRS public key certificate can be downloaded during the IDES enrollment and is generally valid for one year and reissued annually. The IDES administrator will upload the digital certificate for its FI, HCTA, or Foreign Filer during enrollment.

3.6 Certificate Maintenance

IDES uses a Public Key Infrastructure (PKI) to manage and revoke digital certificates. The CA sets the lifetime of each digital certificate, typically up to one year. IDES require one digital certificate per FI, HCTA or Foreign Filer.

A Certificate Revocation List (CRL) is a list of digital certificates that have been revoked, meaning that they are not trustworthy, and should not be used. CRLs are always issued by the trusted CA and are publicly available. IDES validate all digital certificates against the most current CRL published from each trusted CA to identify any revoked digital certificates. A revoked digital certificate will be deleted from IDES, along with the associated public key contained in the digital certificate. IDES will immediately deactivate the user account associated with a revoked digital certificate.

The Online Certificate Status Protocol (OCSP) is an Internet protocol designed for real-time verification of digital certificates against a database of revoked digital certificates. IDES tests all digital certificates using the OCSP to verify whether the digital certificates are valid. For example, when a transmission uses an expired digital certificate, IDES test the certificate using the OCSP, confirms the certificate is revoked, and deletes the transmitted file. Users cannot transmit the file until a valid digital certificate is resubmitted.

4 IDES Enrollment

4.1 Overview

IDES Enrollment is required for FIs, HCTAs, and Foreign Filers to access the IDES environment. FI and HCTA users must enter a valid GIIN and certificate to enroll. Users with a FIN must select the FI button to enroll. Foreign Filer users must enter a valid TCC GIIN, TCC and valid certificate to enroll (see Section 7 [Foreign Filer Administrators](#) for more on the Foreign Filer IDES enrollment process). FIs, HCTAs or Foreign Filers with invalid or expired certificates cannot enroll. The IDES Enrollment site can be accessed at <https://www.ides-support.com>.

IDES Enrollment Options:

- Add and Update a User
- Update Certificate
- Disable/Enable a User
- Select Alert Preferences
- Create Metadata File

4.2 IDES Enrollment Home Page

The IDES Enrollment site can be accessed through:

- IDES Enrollment Web User Interface
- Secure File Transfer Protocol (SFTP)

The IDES Enrollment site contains links to various IDES resources and includes five main tabs in addition to the Home tab:

- Enrollment
- Knowledge Base
- Support
- IRS Public Key
- IDES Enrollment User Log In

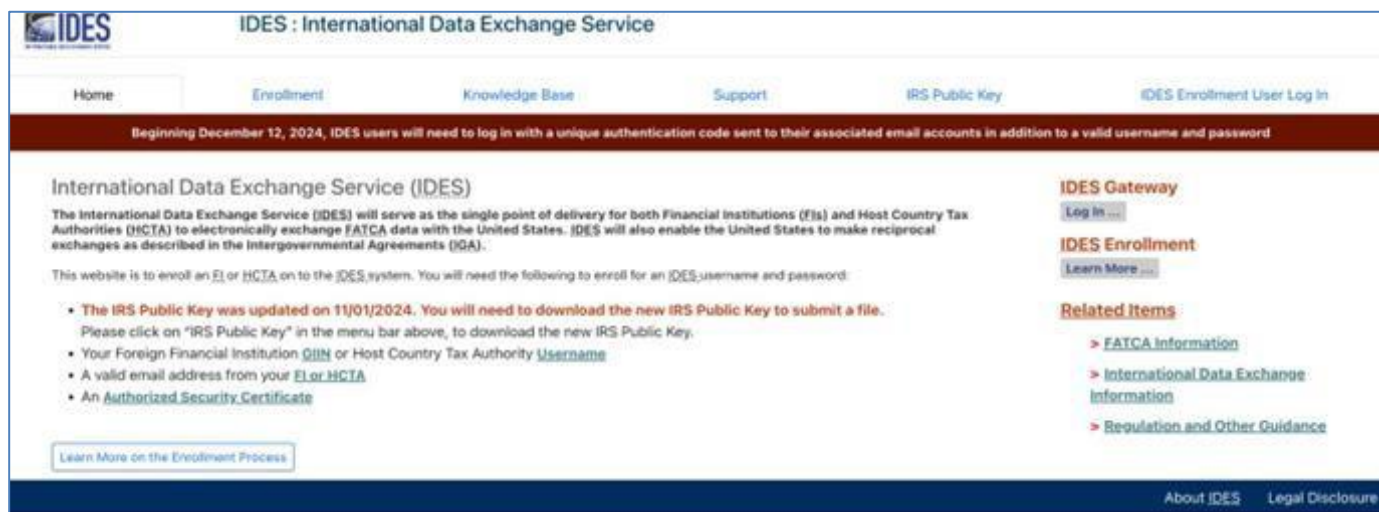


Figure 3 – IDES enrollment home page

4.3 Enrollment

The Enrollment tab describes the IDES enrollment process and provides users with access to create an IDES account. The Enrollment tab also links to the IDES Gateway, a web application that allows enrolled HCTAs, FIs, and Foreign Filer TCC account users to securely upload and download FATCA data over the Internet using both HTTPS and SFTP protocols.

The screenshot displays the IDES website interface. At the top, the IDES logo is on the left, and the title "IDES : International Data Exchange Service" is centered. Below the title is a navigation bar with links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and IDES Enrollment User Log In. The main heading is "International Data Exchange Service (IDES)". Below this, a paragraph states: "Financial Institutions and Host Country Taxing Authorities and Foreign Filer TCC Accounts can enroll users of IDES using this Enrollment tool." The page is divided into three numbered sections: 1. What is it?, 2. What does it do?, and 3. How do I enroll?. Section 1 describes the secure web-based system for FIs, HCTAs, and Foreign Filer TCC Account users, mentioning the need for a GIIN and a Certificate Authority (CA). Section 2 explains that the enrollment tool allows FIs, HCTAs, and Foreign Filer TCC Account users access to the IDES environment, requiring confirmation of the correct GIIN or TCC GIIN and a valid certificate. Section 3 states that the first enrollment will establish user IDs for FIs, HCTAs, or Foreign Filer TCC Accounts, and that the newly registered user will receive an email indicating their ID is ready and their password will need to be changed. A "Begin Enrollment" button is located at the bottom of section 3. On the right side, there is a link to the "IDES Gateway" with a "Log In ..." button, and a "Related Items" section with links to "FATCA Information", "International Data Exchange Information", and "Regulation and Other Guidance". At the bottom right, there are links for "About IDES" and "Legal Disclosure".

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Service (IDES)

Financial Institutions and Host Country Taxing Authorities and Foreign Filer TCC Accounts can enroll users of IDES using this Enrollment tool.

- 1**
What is it?
The IDES Enrollment tool is a secure, web-based system that Financial Institutions (FIs), the Host Country Tax Authorities (HCTAs), and Foreign Filer TCC Account users will use to gain access to the IDES environment.
For the FIs, access will require registering on the FATCA website and receiving a GIIN. A certificate from an approved Certificate Authority (CA) is also required to enroll for the first user. Subsequent enrollments will be handled by the Administrator. For HCTAs, you will need your HCTA Username that was sent to you by the IRS and a certificate from an approved Certificate Authority (CA) is also required for the first user registration. Subsequent registrations will be handled by the first HCTA registrant.
For Foreign Filer TCC Account users, access will require registering on the Foreign Filer TCC Registration System and obtaining a TCC GIIN and a TCC. A certificate from an approved Certificate Authority (CA) is also required to enroll the Responsible Officer (RO) as the first user and Administrator. Subsequent enrollments will be handled by the Administrator.
- 2**
What does it do?
The Enrollment for IDES will allow FIs, HCTAs, and Foreign Filer TCC Account users access to the IDES environment. This will be accomplished by confirming that the correct GIIN or TCC GIIN is entered, and that a valid certificate is provided. Invalid or expired certificates will prevent Enrollment from occurring.
The first enrollment will establish user IDs for the rest of their FI, HCTA or Foreign Filer TCC Account. The newly registered user will receive an email indicating their ID is ready and their password will need to be changed. User security questions will be established during this first-time logging in. Also, user preferences associated with IDES Alerts can be selected.
- 3**
How do I enroll?
Use the Enrollment tool now!
[Begin Enrollment](#)

IDES Gateway
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

About IDES Legal Disclosure

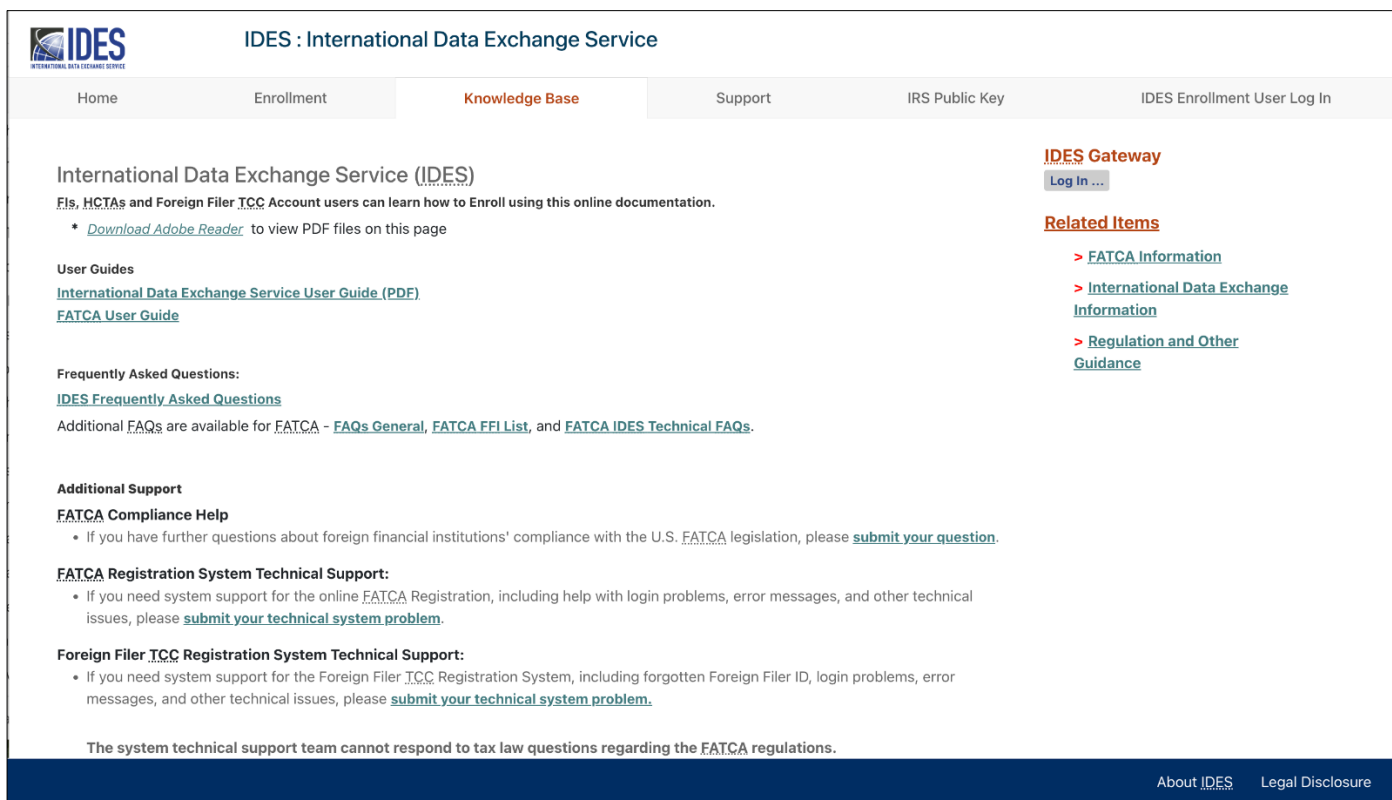
Figure 4 – IDES overview and enrollment tool page

4.4 Knowledge Base

The Knowledge Base tab directs users to important IDES documentation such as user guides and frequently asked questions (FAQs).

Users may access the following resources from the Knowledge Base tab:

- FATCA User Guide
- IDES User Guide
- IDES and FATCA Frequently Asked Questions (FAQs)
- Additional Compliance and Technical support options
- [Foreign Filer Transmitter Control Code \(TCC\) Registration System IRS.gov webpage](#)
- [Foreign Filer Transmitter Control Code Registration System User Guide](#)



The screenshot displays the IDES (International Data Exchange Service) Knowledge Base page. The page features a navigation bar with links to Home, Enrollment, Knowledge Base (highlighted), Support, IRS Public Key, and IDES Enrollment User Log In. The main content area is titled "International Data Exchange Service (IDES)" and provides information for FIs, HCTAs, and Foreign Filer TCC Account users. It includes links to download Adobe Reader, user guides (International Data Exchange Service User Guide (PDF) and FATCA User Guide), frequently asked questions (IDES Frequently Asked Questions), and additional support resources (FATCA Compliance Help, FATCA Registration System Technical Support, and Foreign Filer TCC Registration System Technical Support). A sidebar on the right contains links to the IDES Gateway, Log In, and Related Items (FATCA Information, International Data Exchange Information, and Regulation and Other Guidance). The footer includes links to About IDES and Legal Disclosure.

IDES : International Data Exchange Service

Home Enrollment **Knowledge Base** Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Service (IDES)
FIs, HCTAs and Foreign Filer TCC Account users can learn how to Enroll using this online documentation.
* [Download Adobe Reader](#) to view PDF files on this page

User Guides
[International Data Exchange Service User Guide \(PDF\)](#)
[FATCA User Guide](#)

Frequently Asked Questions:
[IDES Frequently Asked Questions](#)
Additional FAQs are available for FATCA - [FAQs General](#), [FATCA FFI List](#), and [FATCA IDES Technical FAQs](#).

Additional Support
FATCA Compliance Help
• If you have further questions about foreign financial institutions' compliance with the U.S. FATCA legislation, please [submit your question](#).

FATCA Registration System Technical Support:
• If you need system support for the online FATCA Registration, including help with login problems, error messages, and other technical issues, please [submit your technical system problem](#).

Foreign Filer TCC Registration System Technical Support:
• If you need system support for the Foreign Filer TCC Registration System, including forgotten Foreign Filer ID, login problems, error messages, and other technical issues, please [submit your technical system problem](#).

The system technical support team cannot respond to tax law questions regarding the FATCA regulations.

IDES Gateway
[Log In ...](#)

Related Items
> [FATCA Information](#)
> [International Data Exchange Information](#)
> [Regulation and Other Guidance](#)

About IDES Legal Disclosure

Figure 5 – IDES Knowledge Base page

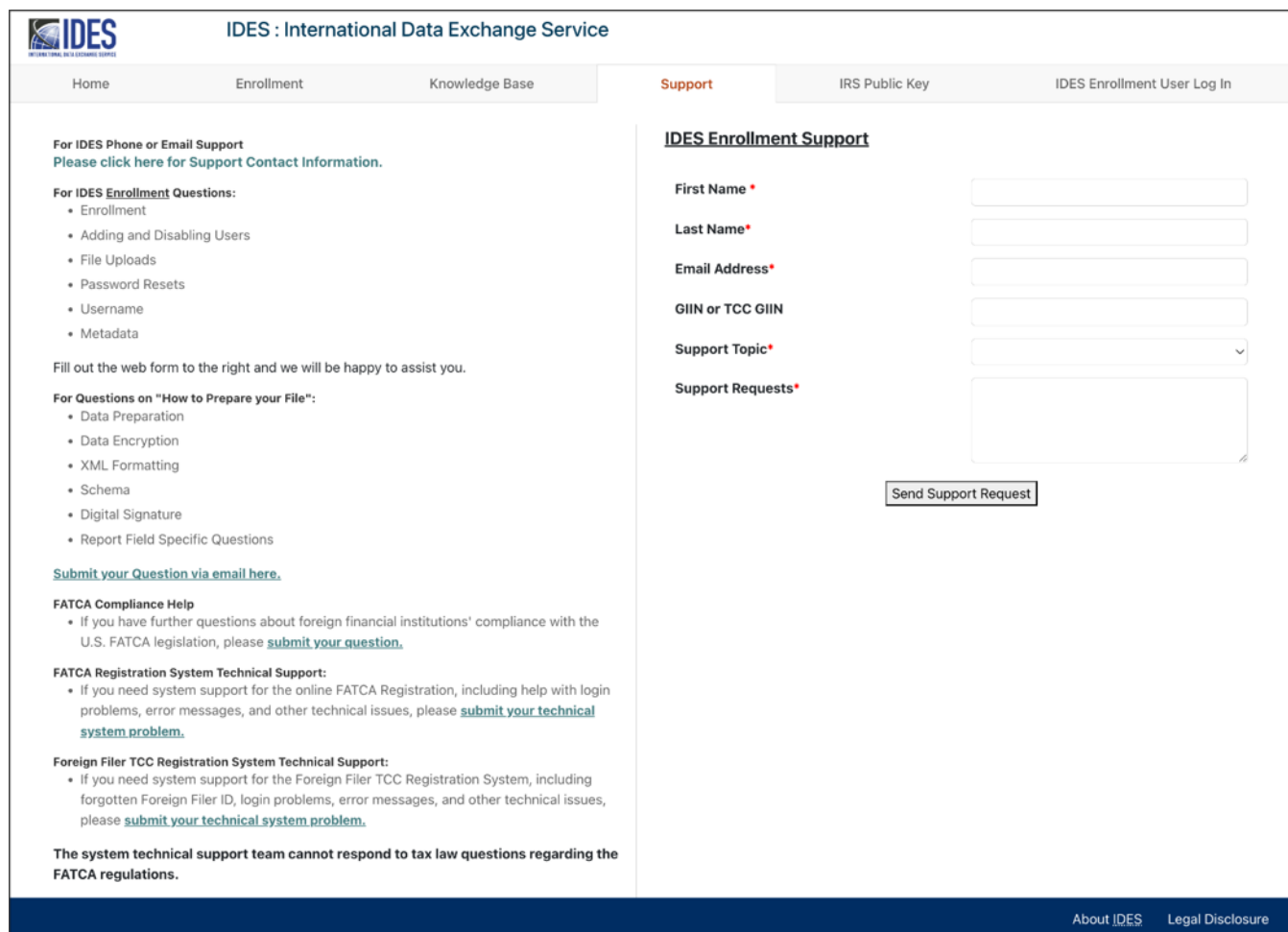
4.5 Support

The [IDES Help Desk](#) is available to assist users, including Foreign Filer(s) with log in problems, error messages, and other technical issues. The Support tab provides contact information for the help desk and hours of operation. The help desk can be contacted by phone or via an online form which allows users to submit technical system problems. Please note that the help desk is available in English only.

Users can access the following resources from the Support tab:

- Email Support
- Phone Support
- Help Desk Hours of Operation
- Submit Technical System Problems

The [Financial Institution Technical Support team](#) is available to assist Foreign Filer(s) with technical support for registering and obtaining a TCC GIIN and TCC with the [Foreign Filer Transmitter Control Code Registration system](#).



The screenshot shows the IDES (International Data Exchange Service) website's Support page. The header includes the IDES logo and navigation tabs: Home, Enrollment, Knowledge Base, Support (selected), IRS Public Key, and IDES Enrollment User Log In. The main content area is titled "IDES Enrollment Support" and contains a form for submitting support requests. The form fields are: First Name*, Last Name*, Email Address*, GIIN or TCC GIIN, Support Topic* (a dropdown menu), and Support Requests* (a text area). A "Send Support Request" button is located below the form. On the left side of the page, there is a sidebar with links to "For IDES Phone or Email Support", "For IDES Enrollment Questions" (with sub-links for Enrollment, Adding and Disabling Users, File Uploads, Password Resets, Username, and Metadata), "For Questions on 'How to Prepare your File'" (with sub-links for Data Preparation, Data Encryption, XML Formatting, Schema, Digital Signature, and Report Field Specific Questions), "FATCA Compliance Help", "FATCA Registration System Technical Support", and "Foreign Filer TCC Registration System Technical Support". A footer bar at the bottom contains links for "About IDES" and "Legal Disclosure".

Figure 6 – IDES support page

4.6 IRS Public Key

The IRS Public Key is a certificate that can be downloaded from the IDES Enrollment site. This certificate should be included in the FATCA data packet or Foreign Filer data packet transmitted to the IRS.

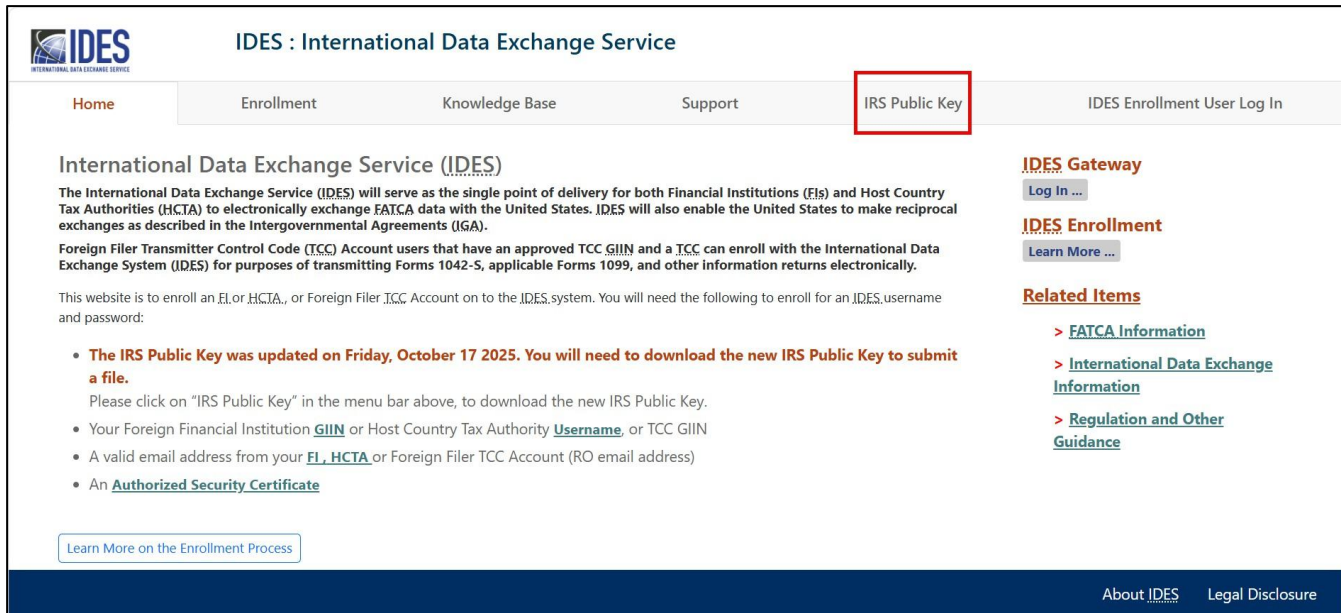


Figure 7 – Access the IRS public key

1. From the IDES Support home page, click the **IRS Public Key** tab.
2. Download and save the IRS Public Key Certificate to your computer.
3. The certificate should be included in the transmission archive .zip file transmitted to the IRS via the IDES Gateway.

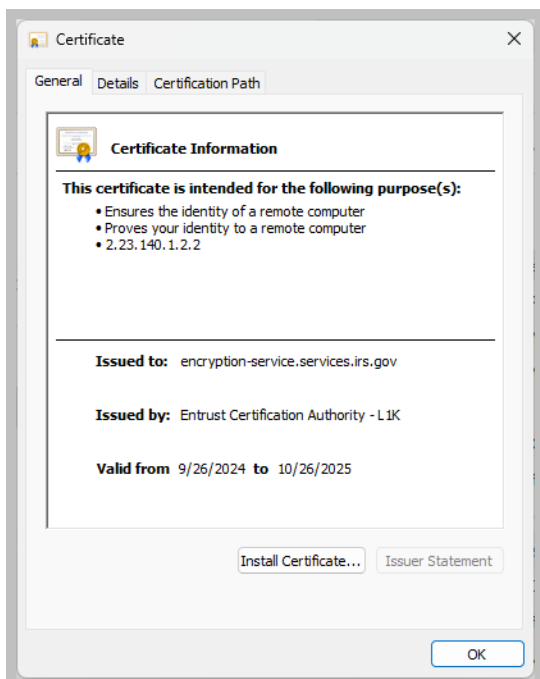


Figure 8 – IRS public key certificate information

4.7 IDES Enrollment User Log In

The IDES Enrollment User Log In tab allows returning users to access the IDES Enrollment site. HCTA administrators, FI administrators, Foreign Filer administrators, and end users can log in after they have created an IDES account.

End User: A registered user who has access to IDES under an FI (Foreign Financial Institution) or HCTA (Host Country Tax Authority), or Foreign Filer administrator account. End Users can log in, manage files, and receive notifications, but their access is controlled by an administrator.

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key **IDES Enrollment User Log In**

International Data Exchange Service (IDES) - Log In

Log in to your account here.

- Download the Metadata File
- Update Your Personal User Alert Preferences
- Update Your Password

*** REQUIRED FIELDS**

Username * [Forgot Username?](#)

Password * [Forgot Password?](#)

IDES Gateway
[Log In ...](#)

IDES Enrollment
[Learn More ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

About IDES Legal Disclosure

Figure 9 – IDES enrollment user log in

5 HCTA Administrators

5.1 Overview

HCTA administrators have the following roles under the IGAs:

- **Model 1 IGA HCTA:** The partner jurisdiction agrees to report to the IRS specified information about the U.S. accounts maintained by all relevant FIs located in the jurisdiction.
- **Model 2 IGA HCTA:** The partner jurisdiction agrees to direct and enable all relevant FIs located in the jurisdiction to report specified information about their U.S. accounts directly to the IRS.

HCTAs will need their IRS assigned username to create an IDES account. The first user that registers for an IDES account, on behalf of their HCTA, is considered the administrator. HCTA administrators can add end users, disable and enable end users, update the certificate, update alert notifications, create a metadata file, reset passwords, and download the IRS Public Key.

When an administrator makes changes to an End User, the End User receives an email about the changes.

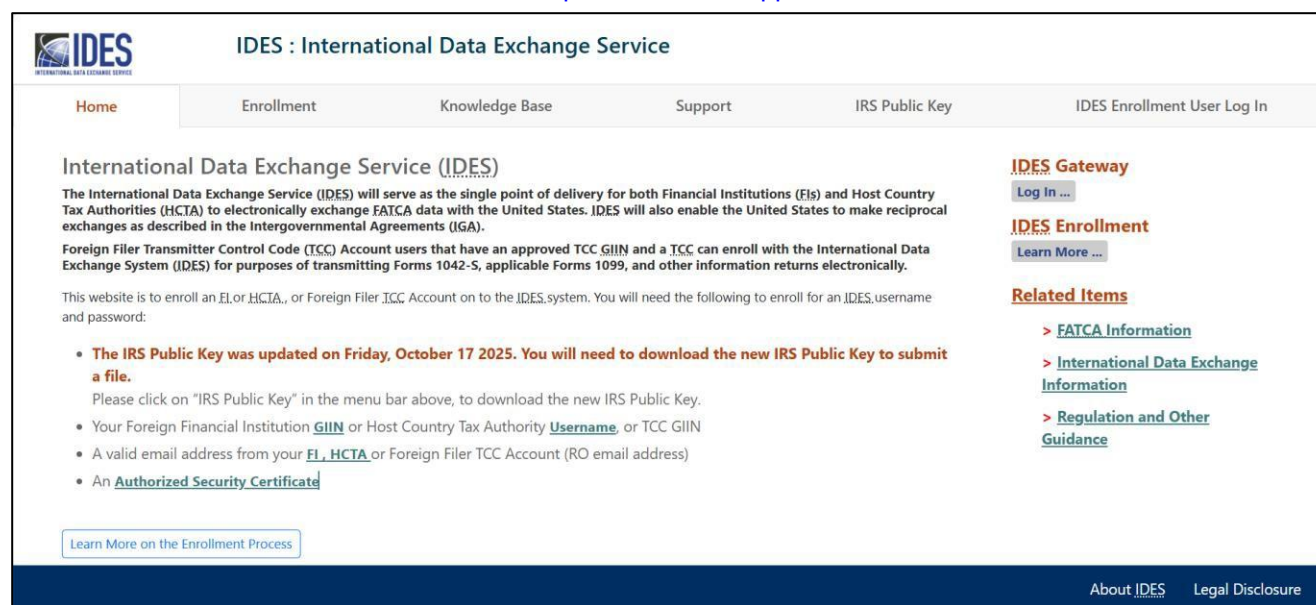
Authorized end users (users under the HCTA administrator) have limited capabilities and can update their alert notifications, create a metadata file, and reset their password.

To create an account, the HCTA administrator will create challenge questions and a password. The HCTA administrator will then upload their digital certificate received from an [IRS approved certificate authority \(CA\)](#).

Note: You can have more than one IDES administrator on your account. To replace an existing administrator, please contact the [IDES Help Desk](#).

5.2 Begin Enrollment

The IDES Enrollment site can be accessed at <https://www.ides-support.com>.



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Service (IDES)

The International Data Exchange Service (IDES) will serve as the single point of delivery for both Financial Institutions (FIs) and Host Country Tax Authorities (HCTA) to electronically exchange FATCA data with the United States. IDES will also enable the United States to make reciprocal exchanges as described in the Intergovernmental Agreements (IGA).

Foreign Filer Transmitter Control Code (TCC) Account users that have an approved TCC GIIN and a TCC can enroll with the International Data Exchange System (IDES) for purposes of transmitting Forms 1042-S, applicable Forms 1099, and other information returns electronically.

This website is to enroll an FI or HCTA, or Foreign Filer TCC Account on to the IDES system. You will need the following to enroll for an IDES username and password:

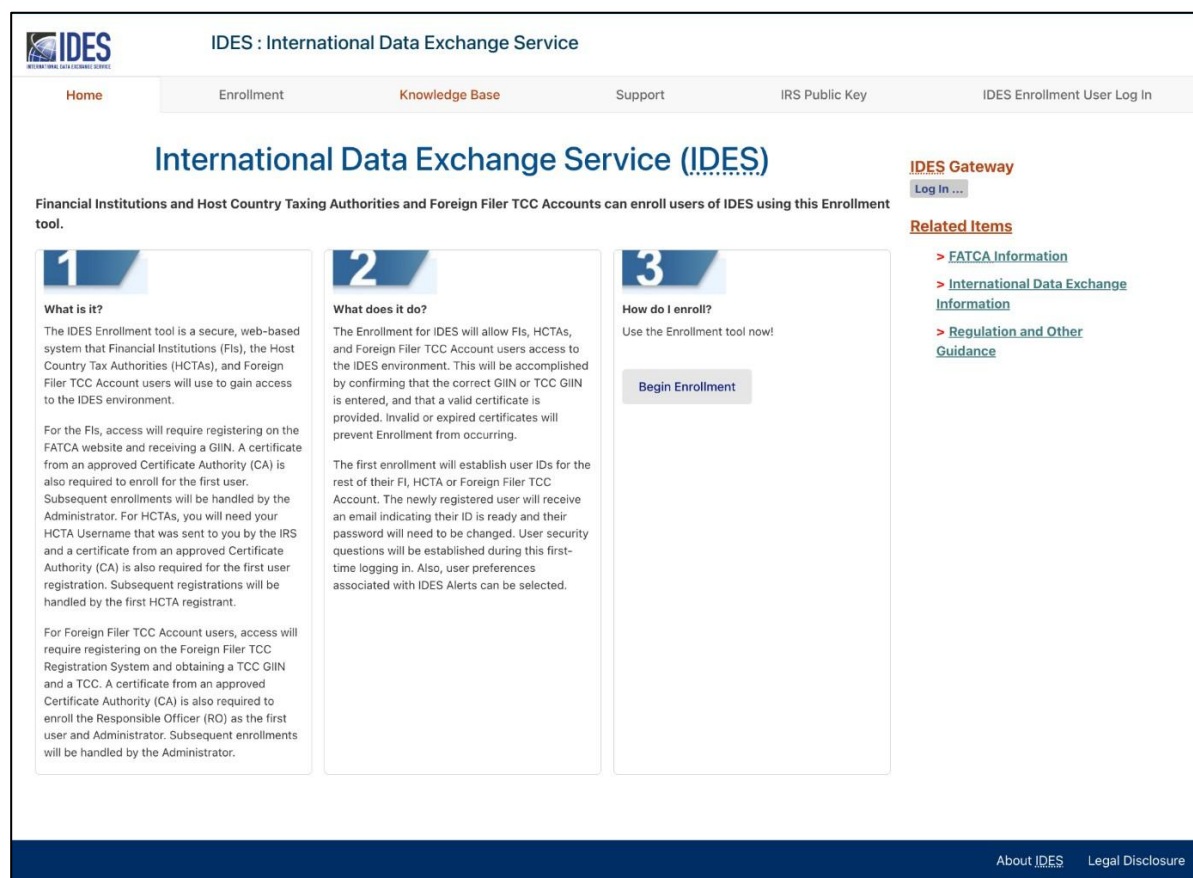
- The IRS Public Key was updated on Friday, October 17 2025. You will need to download the new IRS Public Key to submit a file.
Please click on "IRS Public Key" in the menu bar above, to download the new IRS Public Key.
- Your Foreign Financial Institution GIIN or Host Country Tax Authority Username, or TCC GIIN
- A valid email address from your FI, HCTA or Foreign Filer TCC Account (RO email address)
- An Authorized Security Certificate

[Learn More on the Enrollment Process](#)

About IDES Legal Disclosure

Figure 10 – Access IDES enrollment

1. Click **Learn More** under IDES Enrollment or select the **Enrollment** tab.



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Service (IDES)

Financial Institutions and Host Country Taxing Authorities and Foreign Filer TCC Accounts can enroll users of IDES using this Enrollment tool.

1

What is it?

The IDES Enrollment tool is a secure, web-based system that Financial Institutions (FIs), the Host Country Tax Authorities (HCTAs), and Foreign Filer TCC Account users will use to gain access to the IDES environment.

For the FIs, access will require registering on the FATCA website and receiving a GIIN. A certificate from an approved Certificate Authority (CA) is also required to enroll for the first user. Subsequent enrollments will be handled by the Administrator. For HCTAs, you will need your HCTA Username that was sent to you by the IRS and a certificate from an approved Certificate Authority (CA) is also required for the first user registration. Subsequent registrations will be handled by the first HCTA registrant.

For Foreign Filer TCC Account users, access will require registering on the Foreign Filer TCC Registration System and obtaining a TCC GIIN and a TCC. A certificate from an approved Certificate Authority (CA) is also required to enroll the Responsible Officer (RO) as the first user and Administrator. Subsequent enrollments will be handled by the Administrator.

2

What does it do?

The Enrollment for IDES will allow FIs, HCTAs, and Foreign Filer TCC Account users access to the IDES environment. This will be accomplished by confirming that the correct GIIN or TCC GIIN is entered, and that a valid certificate is provided. Invalid or expired certificates will prevent Enrollment from occurring.

The first enrollment will establish user IDs for the rest of their FI, HCTA or Foreign Filer TCC Account. The newly registered user will receive an email indicating their ID is ready and their password will need to be changed. User security questions will be established during this first-time logging in. Also, user preferences associated with IDES Alerts can be selected.

3

How do I enroll?

Use the Enrollment tool now!

[Begin Enrollment](#)

About IDES Legal Disclosure

Figure 11 – Begin the enrollment process

- Click on **Begin Enrollment** to start the enrollment process as an HCTA administrator.

The screenshot shows the IDES: International Data Exchange Service homepage. The navigation bar includes Home, Enrollment (highlighted), Knowledge Base, Support, IRS Public Key, and IDES Enrollment User Log In. The main content area is titled 'International Data Exchange Service (IDES)' and prompts the user to enter search criteria based on institution type (FI, HCTA, or Foreign Filer TCC Account). A reminder states that the first username enrolled will be the Administrator for the FI or HCTA. A list of roles includes Single, Lead of an Expanded Affiliated Group, Member (not Lead) of an Expanded Affiliated Group, and Sponsoring Entity. A note specifies that for Foreign Filer TCC Account users, the Responsible Officer (RO) should enroll first as the Administrator. The 'Institution Type' section has radio buttons for FI, HCTA (selected), and Foreign Filer TCC, with a 'What's this?' link. Below, the 'REQUIRED FIELDS' section includes a text input for 'HCTA Username*' and a 'Next' button. A footer contains 'About IDES' and 'Legal Disclosure' links.

Figure 12 – Log in as an HCTA administrator

- Select **HCTA**.
- In **HCTA Username**, enter your username assigned by the IRS. If you have not received an HCTA username, contact your local Competent Authority or the [IDES Help Desk](#).
- Click **Next** to continue.

The screenshot shows the IDES: International Data Exchange Service 'GIIN found' page. The navigation bar is the same as in Figure 12. The main content area is titled 'International Data Exchange Service (IDES) - GIIN Found' and states 'Your GIIN has been found. You may continue the enrollment process.' Below this is a table with three columns: GIIN, FI or HCTA, and Country. The table contains one row with the values: FCL3C4D.99999.SL.840, Testing Account, and United States Of America. A link 'Not your FI or HCTA?' is provided. At the bottom left are 'Back' and 'Next' buttons. On the right, there is an 'IDES Gateway' section with a 'Log In ...' button and a 'Related Items' section with links to 'FATCA Information', 'International Data Exchange Information', and 'Regulation and Other Guidance'. The footer contains 'About IDES' and 'Legal Disclosure' links.

GIIN	FI or HCTA	Country
FCL3C4D.99999.SL.840	Testing Account	United States Of America

Figure 13 – IDES GIIN found page

- Confirm information and verify **GIIN**, **Financial Institution/HCTA** and **Country** are correct. Note that the Financial Institution name and GIIN must exactly match the name and GIIN as shown on the IRS FFI List.
- Click **Next** to continue and set up **Challenge Questions**.

5.3 Create Challenge Questions

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Service (IDES) - Challenge Questions
Please provide the challenge questions and answers for the user.

Challenge Question #1

Question 1 What year was your mother born?

Answer 1

Challenge Question #2

Question 2 In what city did you live at age 16?

Answer 2

IDES Gateway
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

[Back](#) [Next](#)

About IDES Legal Disclosure

Figure 14 – Create IDES challenge questions

1. **Challenge Question #1**
 - a. Question: Select the drop-down arrow to view a list of questions. Select a challenge question.
 - b. Answer: Type a response to the challenge question.
2. **Challenge Question #2**
 - a. Question: Select the drop-down arrow to view a list of questions. Select a challenge question.
 - b. Answer: Type a response to the challenge question.
3. Click **Next** to continue and set up a **Username**

5.4 Create User Profile

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Services (IDES) - User Info

Please provide the user profile information

* REQUIRED FIELDS

Username* First Name* Last Name* Email Address* Verify Email* Password* Verify Password*

Select Alerts

☐ Check All/None

☐ Receive System Availability Alerts ☐ Receive Transmission Alerts

☐ Receive Transmission Failed Alerts ☐ Receive File Uploaded Alerts

☐ Receive File Available for Download Alerts ☐ Receive File Posted for Review Alerts

☐ Receive File Rejected Alerts ☐ Receive File Approved Alerts

Back Next

IDES Gateway Log In ...

IDES Enrollment Learn More ...

Related Items

- > FATCA Information
- > International Data Exchange Information
- > Regulation and Other Guidance

About IDES Legal Disclosure

Figure 15 – Submit user profile information

1. **Username** – Enter your new username. We recommend first initial and last name. If the username is already taken, you will receive an error message.
 - a. The username should contain letters and numbers only. Special characters and non-English letters will not be accepted. There is no maximum character length.
 - b. The username cannot be in use by anyone else or previously used.
2. **First Name** – Enter your first name.
3. **Last Name** – Enter your last name.
4. **Email** – Enter your email address. The email address can be a personal email address or a shared mailbox address.
5. **Verify Email** – Enter your email address again (must match the previous entry). If it does not match, you will receive an error message.
6. **Password** – Create a valid password.
 - a. The password must be 8-20 characters and include at least one uppercase and lowercase letter, one number, and one of the designated special characters (~ ! @ # % ^ * () ? , .).
 - b. If you enter a password that does not meet the guidelines, you will receive an error message.
7. **Verify Password** – Re-type your password (must match the previous entry). If it does not match, you will receive an error message.

5.5 Select Alert Preferences

All IDES system alerts and notifications can be viewed using IDES Reports. This feature allows you to receive emails regarding the status of your transmission.

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Services (IDES) - User Info

Please provide the user profile information

*** REQUIRED FIELDS**

Username*

First Name*

Last Name*

Email Address*

Verify Email*

Password*

Verify Password*

Select Alerts

☐ Check All/None

☐ Receive System Availability Alerts ☐ Receive Transmission Alerts

☐ Receive Transmission Failed Alerts ☐ Receive File Uploaded Alerts

☐ Receive File Available for Download Alerts ☐ Receive File Posted for Review Alerts

☐ Receive File Rejected Alerts ☐ Receive File Approved Alerts

Back Next

About IDES Legal Disclosure

IDES Gateway
Log In ...

IDES Enrollment
Learn More ...

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

Figure 16 – Select IDES alert preferences

1. **Select Alert Preferences** – Click on the box next to the alerts you wish to receive by email. You can click the **Check All/None** box to choose all alerts or to remove all alerts. You must select user preferences to receive alerts. There are eight Alert Preferences.

Alert Preference	Description
a. System Availability Alert	IDES Enrollment and/or IDES Gateway are unavailable.
b. Transmission Failed Alert	Transmission uploaded via the IDES Gateway failed for one of several reasons (e.g., virus, encryption validation, naming convention, package content). The email will have an alert code that you will need to look up on the IDES Gateway to determine the reason the transmission failed.
c. File Available for Download Alert	The user has a file to download on the IDES Gateway.
d. File Rejected Alert (Model 1 Option 2)	Transmission upload was rejected by the HCTA. The email will have an alert code that you will need to look up on the IDES Gateway to determine the reason the transmission was rejected.
e. Transmission Alert	Receive all IDES Alerts (See Alerts b,c,d,f,g,h).
f. File Uploaded Alert	Received transmission is uploaded to the IRS for review.
g. File Posted for Review Alert (Model 1 Option 2)	Sent to the HCTA when an FI uploads a report.
h. File Approved Alert (Model 1 Option 2)	Sent after HCTA has approved the FI file.

Table 6 – HCTA IDES Alert Preferences

Note that Alert Preferences can be modified at a later date.

2. Click **Next** to continue to upload digital certificate.

5.6 Upload Digital Certificate

Each entity should obtain a digital certificate issued by an approved CA. The digital certificates should be in a DER or PEM format. It is the responsibility of IDES users to verify that the certificate is valid. For more information, refer to Section [3 Obtain a Digital Certificate](#).

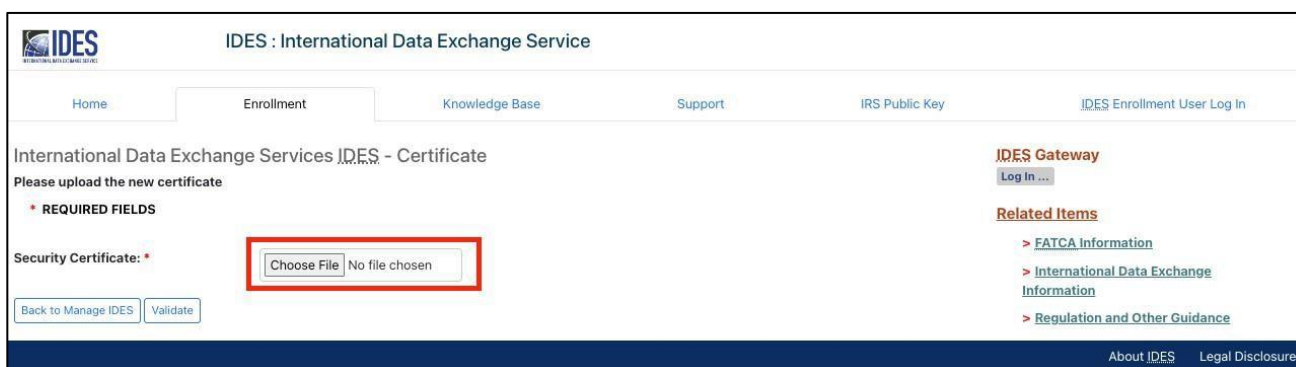


Figure 17 – Upload a digital certificate

1. Click **Browse** to search for the certificate located on your computer.

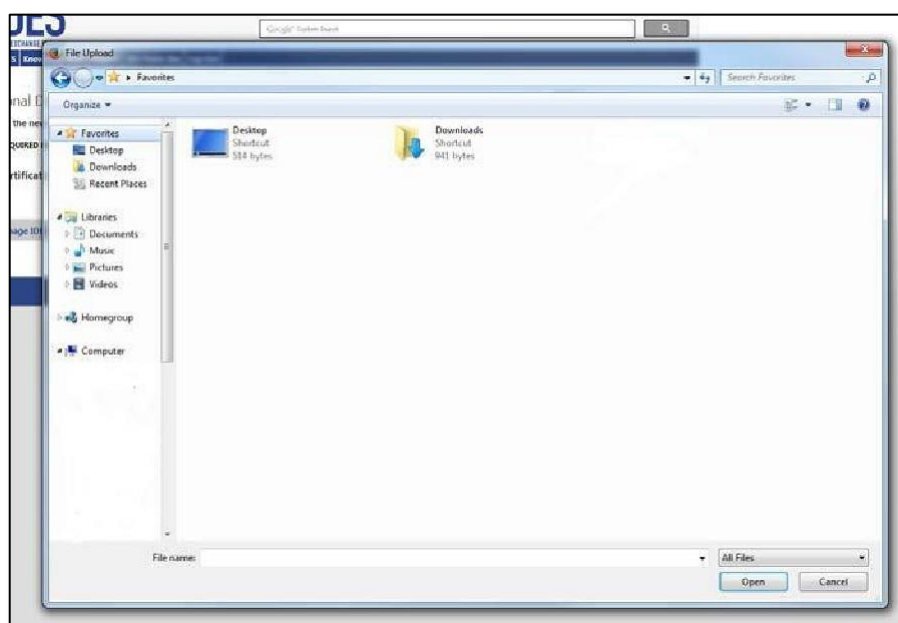


Figure 18 – Select a digital certificate

2. Select the Active/Valid certificate file from your computer.
3. Click **Open**. Click **Validate**.
4. If you receive an error message, refer to [Appendix C: Certificate Upload Error Messages](#) or contact the [IDES Help Desk](#) for assistance.

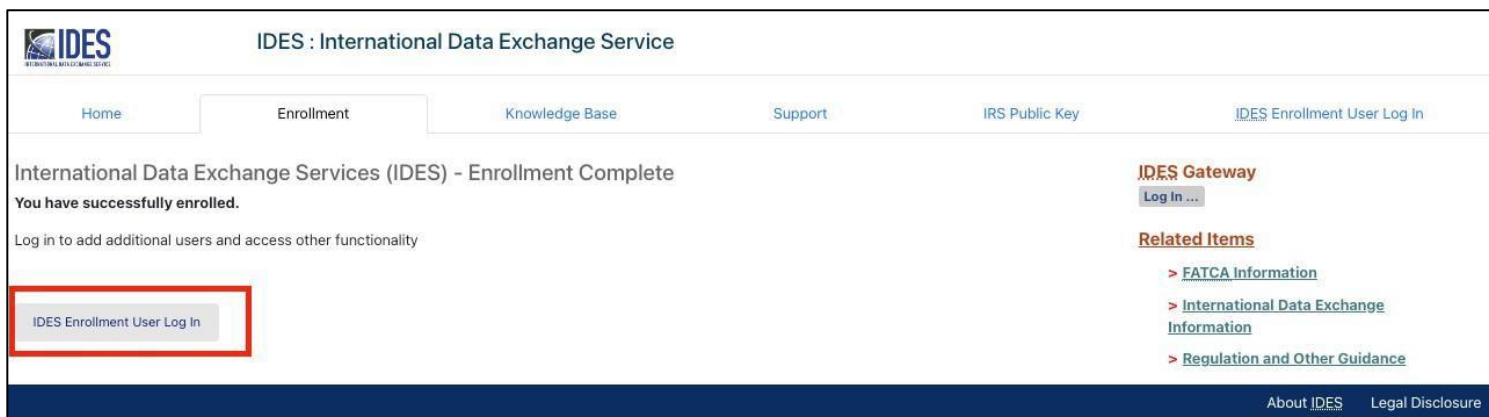


Figure 19 – Enrollment confirmed

5. After you have validated your certificate, the enrollment process is complete. You will receive an email from the IDES help support desk that verifies your access to the IDES Gateway.
6. Click **IDES Enrollment User Log In** to log in as the HCTA administrator.

For further details on verifying your certificate as well as accessing the list of trusted Certificate Authorities and associated intermediate certificates, please reference: [Appendix I: Validate Digital Certificate Chain](#).

6. FI Administrators

6.1 Overview

Only registered FIs and third parties that have a valid GIIN or FIN can create an IDES account. The first user that registers for an IDES account, on behalf of their FI, is considered the administrator. The FI administrator can add, disable and enable end users, update the certificate, update alert preferences, create a metadata file, reset passwords, and download the IRS Public Key.

When an administrator makes changes to an End User, the End User receives an email about the changes.

Financial Institutions include, but are not limited to:

- Depository institutions (for example, banks).
- Custodial institutions (for example, mutual funds).
- Investment entities (for example, hedge funds or private equity funds).
- Certain types of insurance companies that have cash value products or annuities.
- USWA, TFI, third party preparers, and independent software vendors.

End users (users under the FI administrator) will be able to update their alert preferences, create a metadata file, and reset their password. To create an account, the FI administrator will create challenge questions and a password. The FI administrator will also upload the digital certificate received from an [IRS approved certificate authority \(CA\)](#).

Note: You can have more than one IDES administrator on your account. To replace an existing administrator, please contact the [IDES Help Desk](#).

IDES Users can change their contact information and GIIN composition through the Registration Portal. The Registration Portal is found at <https://www.irs.gov/businesses/corporations/fatca-foreign-financial-institution-registration-system>.

6.2 Begin Enrollment

The IDES enrollment site can be accessed at <https://www.ides-support.com>.

1. Click **Learn More** under IDES Enrollment or select **Enrollment** tab.

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Service (IDES)

The International Data Exchange Service (IDES) will serve as the single point of delivery for both Financial Institutions (FIs) and Host Country Tax Authorities (HCTA) to electronically exchange FATCA data with the United States. IDES will also enable the United States to make reciprocal exchanges as described in the Intergovernmental Agreements (IGA).

Foreign Filer Transmitter Control Code (TCC) Account users that have an approved TCC GIIN and a TCC can enroll with the International Data Exchange System (IDES) for purposes of transmitting Forms 1042-S, applicable Forms 1099, and other information returns electronically.

This website is to enroll an FI or HCTA, or Foreign Filer TCC Account on to the IDES system. You will need the following to enroll for an IDES username and password:

- **The IRS Public Key was updated on Friday, October 17 2025. You will need to download the new IRS Public Key to submit a file.**
Please click on "IRS Public Key" in the menu bar above, to download the new IRS Public Key.
- Your Foreign Financial Institution GIIN or Host Country Tax Authority Username, or TCC GIIN
- A valid email address from your FI, HCTA or Foreign Filer TCC Account (RO email address)
- An [Authorized Security Certificate](#)

[Learn More on the Enrollment Process](#)

IDES Gateway
[Log In ...](#)

IDES Enrollment
[Learn More ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

About IDES Legal Disclosure

Figure 20 – Access IDES enrollment

2. Click **Begin Enrollment** to start the enrollment process as an FI administrator.

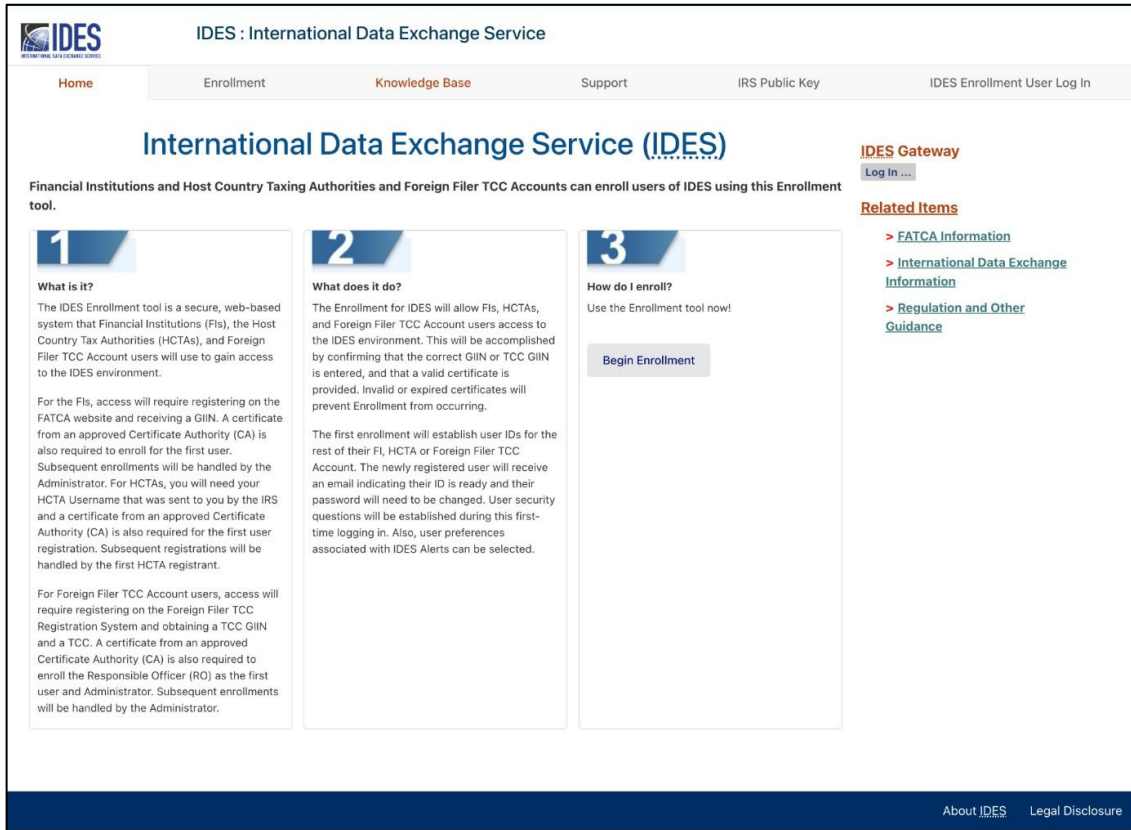


Figure 21 – Begin the enrollment process

3. Select Institution Type, click FI.

The screenshot shows the IDES login page for FI administrators. The navigation bar includes links for Home, Enrollment, Knowledge Base, Support, IRS Public Key, and IDES Enrollment User Log In. The main content area is titled "International Data Exchange Service (IDES)" and includes a sub-header: "Enter the search criteria based on your institution type (FI, HCTA, or Foreign Filer TCC Account):". Below this, there is a "Reminder: The first username that is enrolled on the IDES system will be the Administrator for the FI or HCTA." and a list of institution types: Single, Lead of an Expanded Affiliated Group, Member (not Lead) of an Expanded Affiliated Group, and Sponsoring Entity. For Foreign Filer TCC Account users, the Responsible Officer (RO) should enroll first as the Administrator. Below this, there is a "Institution Type" section with three radio buttons: FI (selected), HCTA, and Foreign Filer TCC. A "What's this?" link is next to the Foreign Filer TCC option. Below this, there is a "REQUIRED FIELDS" section with a "GIIN*" field and a "Don't know your GIIN?" link. A "Next" button is at the bottom left. On the right side, there is an "IDES Gateway" section with a "Log In ..." button and a "Related Items" section with links to "FATCA Information", "International Data Exchange Information", and "Regulation and Other Guidance". At the bottom right, there are links for "About IDES" and "Legal Disclosure".

Figure 22 – Log in as an FI administrator

4. **GIIN** – Enter the FI's GIIN in the 19-character format XXXXXX.XXXXXX.XX.XXX.

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Service (IDES) - GIIN Found

Your GIIN has been found. You may continue the enrollment process.

GIIN	FI or HCTA	Country
N63SMK.99999.SL.840	Testing Account	United States Of America

[Not your FI or HCTA?](#)

[Back](#) [Next](#)

IDES Gateway
Log In ...

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

About IDES Legal Disclosure

Figure 23 – IDES GIIN verification page

5. Click **Next**.
6. Confirm information and verify the **GIIN**, **Financial Institution** and **Country** are correct.
7. Click **Next** to continue and set up **Challenge Questions**.

6.3 Create Challenge Questions

The screenshot displays the IDES (International Data Exchange Service) website. The header includes the IDES logo and navigation links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and IDES Enrollment User Log In. The main heading is "International Data Exchange Service (IDES) - Challenge Questions" with a sub-instruction: "Please provide the challenge questions and answers for the user." The form contains two sections, "Challenge Question #1" and "Challenge Question #2". Each section has a "Question" dropdown menu and an "Answer" text box. In the first section, the question is "What year was your mother born?". In the second section, the question is "In what city did you live at age 16?". To the right of the form, there is a sidebar with "IDES Gateway" (containing a "Log In ..." link) and "Related Items" (containing links for "FATCA Information", "International Data Exchange Information", and "Regulation and Other Guidance"). At the bottom left of the form are "Back" and "Next" buttons. At the bottom right of the page are links for "About IDES" and "Legal Disclosure". Red annotations highlight the "Question" dropdowns and the "Next" button, with red arrows pointing from the "Log In ..." link to the question dropdowns.

Figure 24 – Create IDES challenge questions

1. **Challenge Question #1**
 - a. **Question:** Select the drop-down arrow to view a list of questions. Select a challenge question.
 - b. **Answer:** Type a response to the challenge question.
2. **Challenge Question #2**
 - a. **Question:** Select the drop-down arrow to view a list of questions. Select a challenge question.
 - b. **Answer:** Type a response to the challenge question.
3. Click **Next** to continue and set up a **Username**.

6.4 Create User Profile

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Services (IDES) - User Info
Please provide the user profile information.

*** REQUIRED FIELDS**

Username*
First Name*
Last Name*
Email Address*
Verify Email*
Password*
Verify Password*

Select Alerts
☐ Check All/None

☐ Receive System Availability Alerts
☐ Receive Transmission Failed Alerts
☐ Receive File Available for Download Alerts
☐ Receive File Rejected Alerts

☐ Receive Transmission Alerts
☐ Receive File Uploaded Alerts
☐ Receive File Posted for Review Alerts
☐ Receive File Approved Alerts

IDES Gateway
[Log In ...](#)

IDES Enrollment
[Learn More ...](#)

Related Items
[> FATCA Information](#)
[> International Data Exchange Information](#)
[> Regulation and Other Guidance](#)

[Back](#) [Next](#)

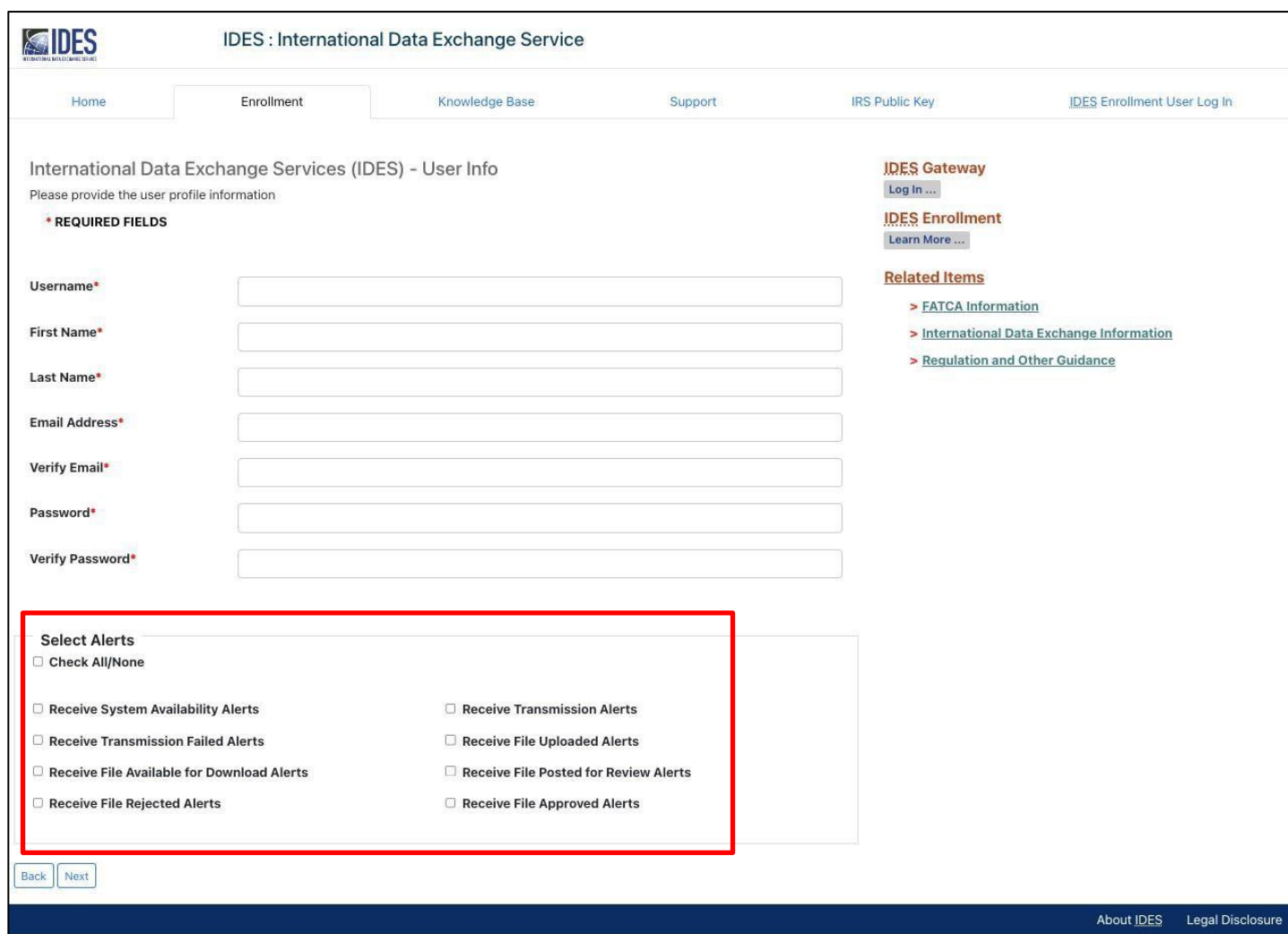
About IDES Legal Disclosure

Figure 25 – Submit user profile information

1. **Username** – Enter your new username. We recommend first initial and last name. If the username is already taken you will receive an error message.
2. **First Name** – Enter your first name.
3. **Last Name** – Enter your last name.
4. **Email** – Enter your email address. The email address can be a personal email address or a shared mailbox address.
5. **Verify Email** – Enter your email address again (must match the previous entry). If it does not match, you will receive an error message.
6. **Password** – Create a valid password.
 - a. The password must be 8-20 characters and include at least one uppercase and lowercase letter, one number, and one of the designated special characters (~ ! @ # % ^ * () ? , .).
 - b. If you enter a password that does not meet the guidelines, you will receive an error message.
7. **Verify Password** – Re-type your password (must match the previous entry). If it does not match, you will receive an error message.

6.5 Select Alert Preferences

All IDES system alerts and notifications can be viewed using IDES Reports. This feature allows you to receive emails regarding the status of your transmission.



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Services (IDES) - User Info

Please provide the user profile information

*** REQUIRED FIELDS**

Username*

First Name*

Last Name*

Email Address*

Verify Email*

Password*

Verify Password*

Select Alerts

☐ Check All/None

☐ Receive System Availability Alerts ☐ Receive Transmission Alerts

☐ Receive Transmission Failed Alerts ☐ Receive File Uploaded Alerts

☐ Receive File Available for Download Alerts ☐ Receive File Posted for Review Alerts

☐ Receive File Rejected Alerts ☐ Receive File Approved Alerts

Back Next

About IDES Legal Disclosure

Figure 26 – Select IDES alert preferences

1. **Select Alert Preferences** – Click on the box next to the alerts you wish to receive by email. You can click the **Check All/None** box to choose all alerts or to remove all alerts. There are eight Alert Preferences

Alert Preference	Description
a. System Availability Alert	IDES Enrollment and/or IDES Gateway are unavailable.
b. Transmission Failed Alert	Transmission uploaded via the IDES Gateway failed for several reasons (e.g., virus, encryption validation, naming convention, package content). The email will have an alert code that you will need to look up on the IDES Gateway to determine the reason the transmission failed.
c. File Available for Download Alert	The user has a file to download on the IDES Gateway.
d. File Rejected Alert (for Model 1 Option 2 countries)	Transmission upload was rejected by the HCTA. The email will have an alert code that you will need to look up on the IDES Gateway to determine the reason the transmission was rejected.
e. Transmission Alert	Receive all IDES Alerts (See Alerts b,c,d,f,g,h).
f. File Uploaded Alert	Received transmission is uploaded to the IRS for review.
g. File Posted for Review Alert (for Model 1 Option 2 countries)	Sent to the HCTA when an FI uploads a report.
h. File Approved Alert (for Model 1 Option 2 countries)	Sent after HCTA has approved the FI file.

Table 7 – FI IDES Alert Preferences

2. Click **Next** to continue to upload digital certificate.

6.6 Upload Digital Certificate

Figure 27 – Upload a digital certificate

1. Click **Browse** to search for the security certificate located on computer.

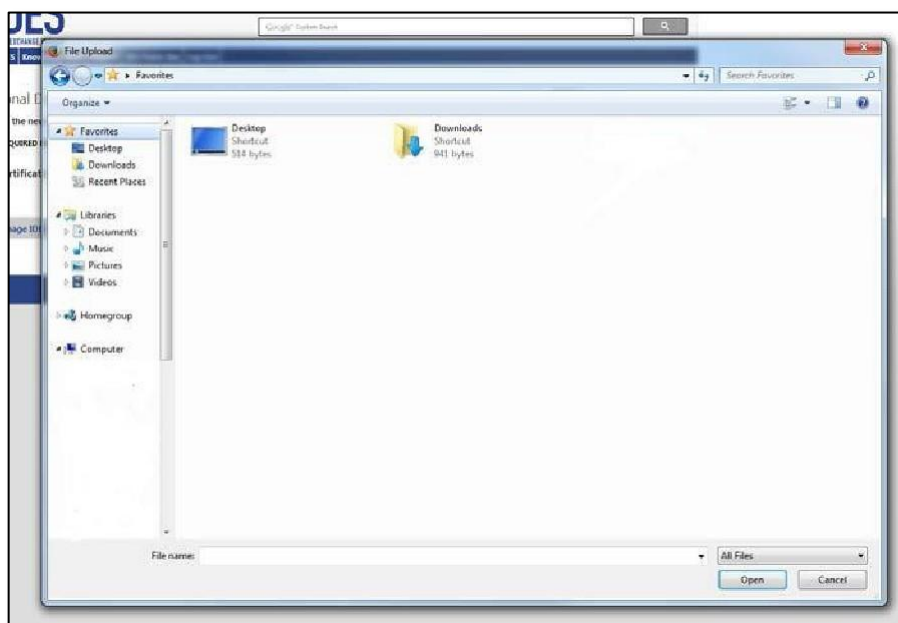


Figure 28 – Select a digital certificate

2. Select the Active/Valid certificate file from your computer.
3. Click **Open**. Click **Validate**.
4. It is the responsibility of IDES users to verify that the certificate is valid. If you receive an error message, refer to [Appendix C: Certificate Upload Error Messages](#) or contact the [IDES Help Desk](#) for assistance.

Important: Each entity should obtain a digital certificate issued by an approved CA. The digital certificates should be in a DER or PEM format.

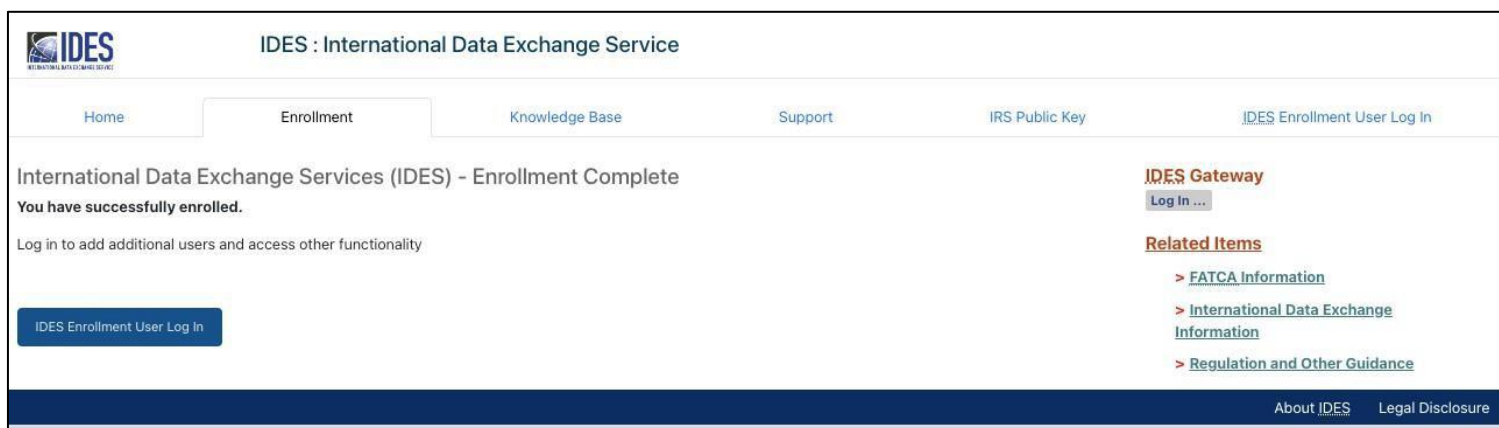


Figure 29 – Enrollment confirmed

5. After you have validated your certificate, the enrollment process is complete. You will receive an email from the IDES Help Desk that verifies your authorization to access IDES Gateway.
6. Click **IDES Enrollment User Log In** to log in as the FI administrator.

For further details on verifying your certificate as well as accessing the list of trusted Certificate Authorities and associated intermediate certificates, please reference: [Appendix I: Validate Digital Certificate Chain](#).

7 Foreign Filer Administrators

7.1 Overview

Foreign Filer(s) that have an approved Foreign Filer TCC GIIN and a TCC, through the Foreign Filer TCC Registration system, can enroll with the International Data Exchange System (IDES) for purposes of transmitting Forms 1042-S, applicable Forms 1099, and other information returns electronically.

The Responsible Officer (RO) who first registers for an IDES account for the Foreign Filer is considered and must be the IDES administrator to enroll in IDES. The Foreign Filer administrator can add, disable and enable end users, update the certificate, update alert preferences, create a metadata file, reset passwords, and download the IRS Public Key.

When an administrator makes changes to an End User, the End User receives an email about the changes.

End users (users under the Foreign Filer administrator) will be able to update their alert preferences, create a metadata file, and reset their password. To create an account, the Foreign Filer administrator will create challenge questions and a password. The Foreign Filer administrator will also upload the digital certificate received from an [IRS approved certificate authority \(CA\)](#).

Note: You can have more than one Foreign Filer administrator on your account in IDES. To replace an existing administrator, please contact the [IDES Help Desk](#).

Foreign Filers can change their contact information through [the Foreign Filer Transmitter Controller Code Registration System](#).

7.2 Begin Enrollment

The IDES enrollment site can be accessed at <https://www.ides-support.com>.

1. Click **Learn More** under IDES Enrollment or select the **Enrollment** tab

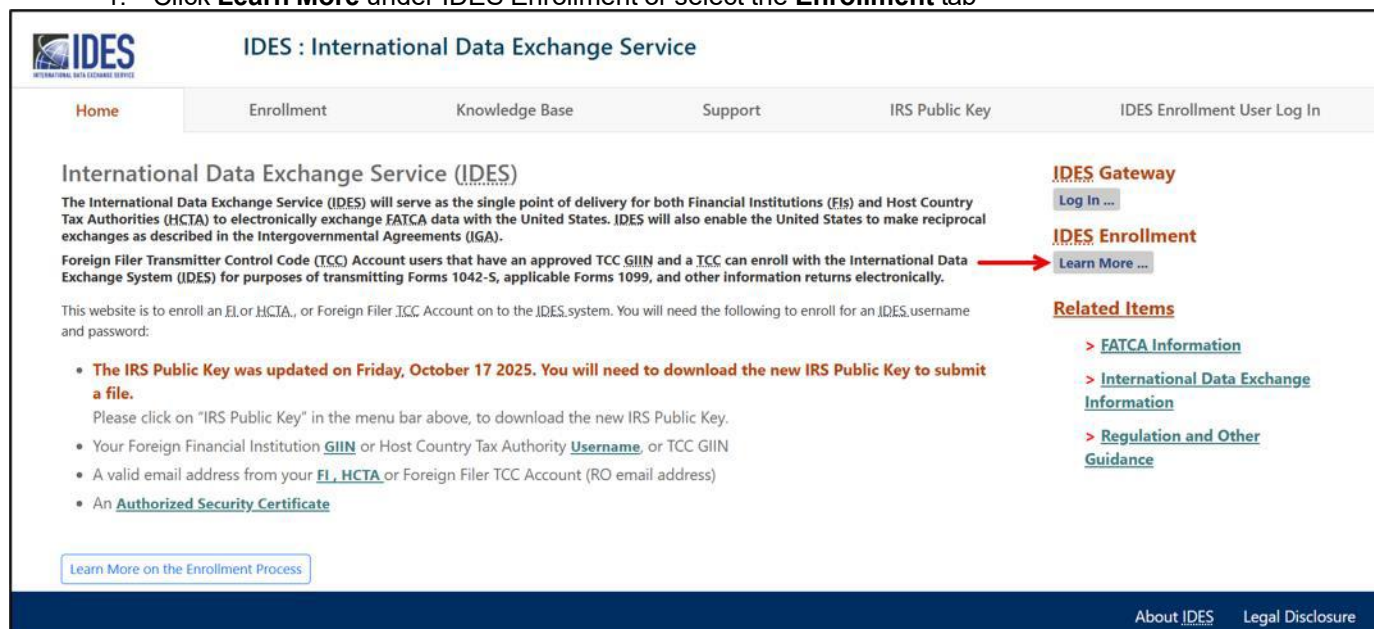


Figure 30 – Access IDES enrollment

2. Click **Begin Enrollment** to start the enrollment process as a Foreign Filer administrator. This initial process must be completed by the Responsible Officer (RO) of the Foreign Filer to ensure (s)he is designated as the IDES Foreign Filer administrator.

The screenshot displays the IDES (International Data Exchange Service) website. The header includes the IDES logo and navigation links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and IDES Enrollment User Log In. The main heading is "International Data Exchange Service (IDES)". Below this, a subheading states: "Financial Institutions and Host Country Taxing Authorities and Foreign Filer TCC Accounts can enroll users of IDES using this Enrollment tool." The page is divided into three numbered sections:

- 1 What is it?**
The IDES Enrollment tool is a secure, web-based system that Financial Institutions (FIs), the Host Country Tax Authorities (HCTAs), and Foreign Filer TCC Account users will use to gain access to the IDES environment.
For the FIs, access will require registering on the FATCA website and receiving a GIIN. A certificate from an approved Certificate Authority (CA) is also required to enroll for the first user. Subsequent enrollments will be handled by the Administrator.
For HCTAs, you will need your HCTA Username that was sent to you by the IRS and a certificate from an approved Certificate Authority (CA) is also required for the first user registration. Subsequent registrations will be handled by the first HCTA registrant.
For Foreign Filer TCC Account users, access will require registering on the Foreign Filer TCC Registration System and obtaining a TCC GIIN and a TCC. A certificate from an approved Certificate Authority (CA) is also required to enroll the Responsible Officer (RO) as the first user and Administrator. Subsequent enrollments will be handled by the Administrator.
- 2 What does it do?**
The Enrollment for IDES will allow FIs, HCTAs, and Foreign Filer TCC Account users access to the IDES environment. This will be accomplished by confirming that the correct GIIN or TCC GIIN is entered, and that a valid certificate is provided. Invalid or expired certificates will prevent Enrollment from occurring.
The first enrollment will establish user IDs for the rest of their FI, HCTA or Foreign Filer TCC Account. The newly registered user will receive an email indicating their ID is ready and their password will need to be changed. User security questions will be established during this first-time logging in. Also, user preferences associated with IDES Alerts can be selected.
- 3 How do I enroll?**
Use the Enrollment tool now!
[Begin Enrollment](#)

On the right side, there is a section for **IDES Gateway** with a [Log In ...](#) button, and a **Related Items** section with links to [FATCA Information](#), [International Data Exchange Information](#), and [Regulation and Other Guidance](#). The footer contains links for [About IDES](#) and [Legal Disclosure](#).

Figure 31 – Begin the enrollment process

3. Select **Institution Type**, click Foreign Filer TCC.

IDES : International Data Exchange Service

Home **Enrollment** Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Service (IDES)
Enter the search criteria based on your institution type (FI, HCTA, or Foreign Filer TCC Account):

Reminder: The first username that is enrolled on the IDES system will be the Administrator for the FI or HCTA.

- Single
- Lead of an Expanded Affiliated Group
- Member (not Lead) of an Expanded Affiliated Group
- Sponsoring Entity

For Foreign Filer TCC Account users, the Responsible Officer (RO) should enroll first as the Administrator.

Institution Type

☐ FI ☐ HCTA ☒ Foreign Filer TCC [What's this?](#)

*** REQUIRED FIELDS**

TCC GIIN*

[Don't know your GIIN?](#)

[Next](#)

[About IDES](#) [Legal Disclosure](#)

Figure 32 – Log in as the Foreign Filer administrator

4. **TCC GIIN** – Enter the TCC's GIIN in the 19-character format (XXXXXX.XXXXX.SL.998).

IDES : International Data Exchange Service

Home **Enrollment** Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Service (IDES) - GIIN Found

Your GIIN has been found. You may continue the enrollment process.

GIIN	Foreign Filer TCC	Country
999999.99999.FF.998	FOREIGN FILER	FOREIGN FILER

[Not your FI or HCTA or Foreign Filer TCC?](#)

[Back](#) [Next](#)

IDES Gateway
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

[About IDES](#) [Legal Disclosure](#)

Figure 33 – IDES GIIN verification page

5. Click **Next**.
6. Confirm information and verify the **GIIN**, **Foreign Filer TCC** and **Country** are correct.
7. Click **Next** to continue and set up **Challenge Questions**.

7.3 Create Challenge Questions

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Service (IDES) - Challenge Questions

Please provide the challenge questions and answers for the user.

Challenge Question #1

Question 1 What year was your mother born?

Answer 1

Challenge Question #2

Question 2 In what city did you live at age 16?

Answer 2

Back Next

IDES Gateway
Log In ...

Related Items

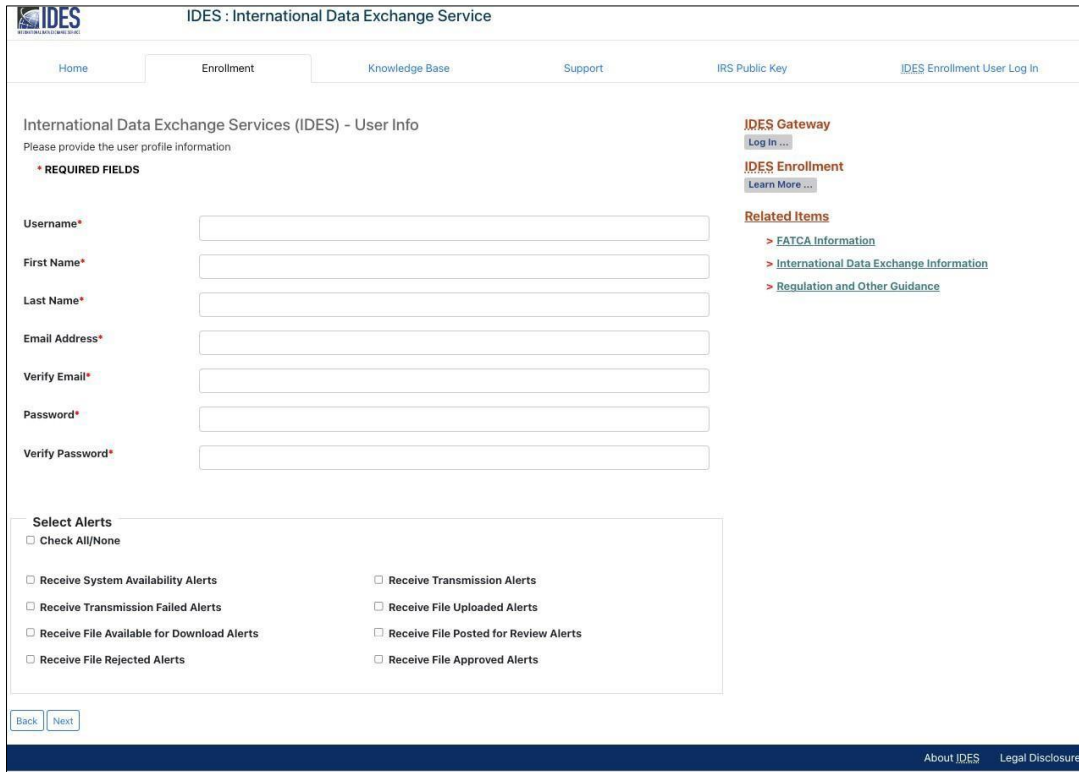
- > FATCA Information
- > International Data Exchange Information
- > Regulation and Other Guidance

About IDES Legal Disclosure

Figure 34 – Create IDES challenge questions

1. Challenge Question #1
 - a. **Question:** Select the drop-down arrow to view a list of questions. Select a challenge question.
 - b. **Answer:** Type a response to the challenge question.
2. Challenge Question #2
 - a. **Question:** Select the drop-down arrow to view a list of questions. Select a challenge question.
 - b. **Answer:** Type a response to the challenge question.
3. Click **Next** to continue and set up a **Username**.

7.4 Create User Profile



The screenshot shows the 'IDES : International Data Exchange Service' website. The main heading is 'International Data Exchange Services (IDES) - User Info'. Below this, it says 'Please provide the user profile information'. A red asterisk indicates 'REQUIRED FIELDS'. The form includes input fields for Username, First Name, Last Name, Email Address, Verify Email, Password, and Verify Password. Below these is a 'Select Alerts' section with a 'Check All/None' checkbox and a grid of checkboxes for various alert types: Receive System Availability Alerts, Receive Transmission Alerts, Receive Transmission Failed Alerts, Receive File Uploaded Alerts, Receive File Available for Download Alerts, Receive File Posted for Review Alerts, Receive File Rejected Alerts, and Receive File Approved Alerts. On the right side, there are links for 'IDES Gateway' (Log In), 'IDES Enrollment' (Learn More), and 'Related Items' (FATCA Information, International Data Exchange Information, Regulation and Other Guidance). At the bottom left are 'Back' and 'Next' buttons. At the bottom right are 'About IDES' and 'Legal Disclosure' links.

Figure 35 – Submit user profile information

1. **Username** – Enter your new username. We recommend first initial and last name. If the username is already taken you will receive an error message.
2. **First Name** – Enter your first name.
3. **Last Name** – Enter your last name.
4. **Email** – Enter your email address. The email address can be a personal email address or a shared mailbox address.
5. **Verify Email** – Enter your email address again (must match the previous entry). If it does not match, you will receive an error message.
6. **Password** – Create a valid password.
 - a. The password must be 8-20 characters and include at least one uppercase and lowercase letter, one number, and one of the designated special characters (~ ! @ # % ^ * () ? , .).
 - b. If you enter a password that does not meet the guidelines, you will receive an error message.
7. **Verify Password** – Re-type your password (must match the previous entry). If it does not match, you will receive an error message.

7.5 Select Alert Preferences

All IDES system alerts and notifications can be viewed using IDES Reports. This feature allows you to receive emails regarding the status of your transmission.

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key IDES Enrollment User Log In

International Data Exchange Services (IDES) - User Info
Please provide the user profile information

REQUIRED FIELDS

Username*
First Name*
Last Name*
Email Address*
Verify Email*
Password*
Verify Password*

Select Alerts
☐ Check All/None

☐ Receive System Availability Alerts	☐ Receive Transmission Alerts
☐ Receive Transmission Failed Alerts	☐ Receive File Uploaded Alerts
☐ Receive File Available for Download Alerts	☐ Receive File Posted for Review Alerts
☐ Receive File Rejected Alerts	☐ Receive File Approved Alerts

Back Next

About IDES Legal Disclosure

IDES Gateway
Log In ...

IDES Enrollment
Learn More ...

Related Items
> [FATCA Information](#)
> [International Data Exchange Information](#)
> [Regulation and Other Guidance](#)

Figure 36 – Select IDES alert preferences

1. **Select Alert Preferences** – Click on the box next to the alerts you wish to receive by email. You can click the **Check All/None** box to choose all alerts or to remove all alerts. There are eight Alert Preferences.
2. Click **Next** to continue to upload digital certificate.

Alert Preference	Description
a. System Availability Alert	IDES Enrollment and/or IDES Gateway are unavailable.
b. Transmission Failed Alert	Transmission uploaded via the IDES Gateway failed for one of several reasons (e.g., virus, encryption validation, naming convention, package content). The email will have an alert code that you will need to look up on the IDES Gateway to determine the reason the transmission failed.
c. File Available for Download Alert	The user has a file to download on the IDES Gateway.
d. Transmission Alert	Receive all IDES Alerts (See Alerts b,c,d,e,f,g).
e. File Uploaded Alert	Received transmission is uploaded to the IRS for review.

Table 8 – Foreign Filer TCC Account Alert Preferences

7.6 Upload Digital Certificate

Figure 37 - Upload a digital certificate

1. Click **Browse** to search for the security certificate located on computer.

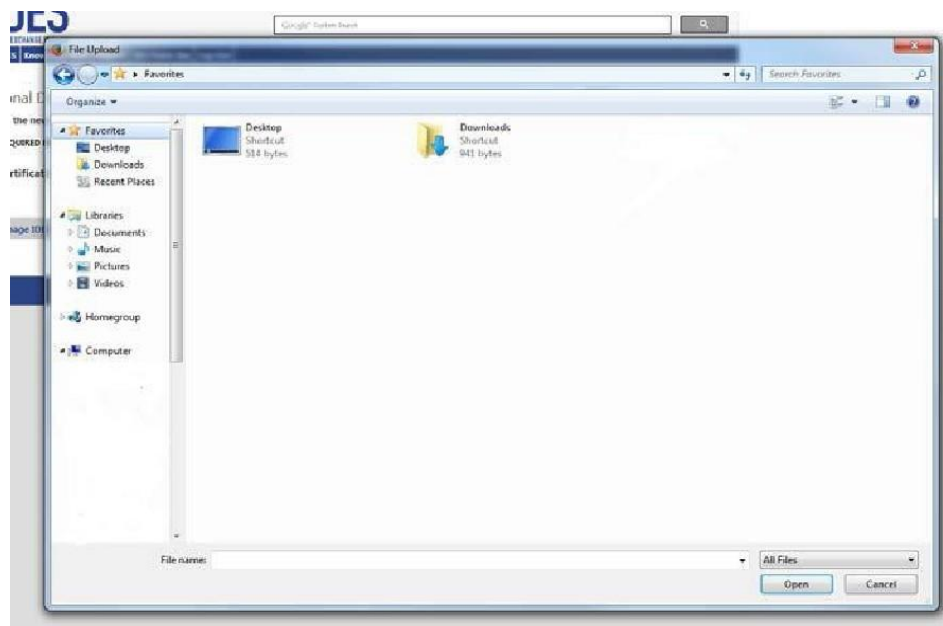


Figure 38 – Select a digital certificate

2. Select the Active/Valid certificate file from your computer.
3. Click **Open**. Click **Validate**.
4. It is the responsibility of IDES users to verify that the certificate is valid. If you receive an error message, refer to [Appendix C: Certificate Upload Error Messages](#) or contact the [IDES Help Desk](#) for assistance.

Important: Each entity should obtain a digital certificate issued by an approved Certificate Authority (CA). The digital certificates should be in a DER or PEM format.

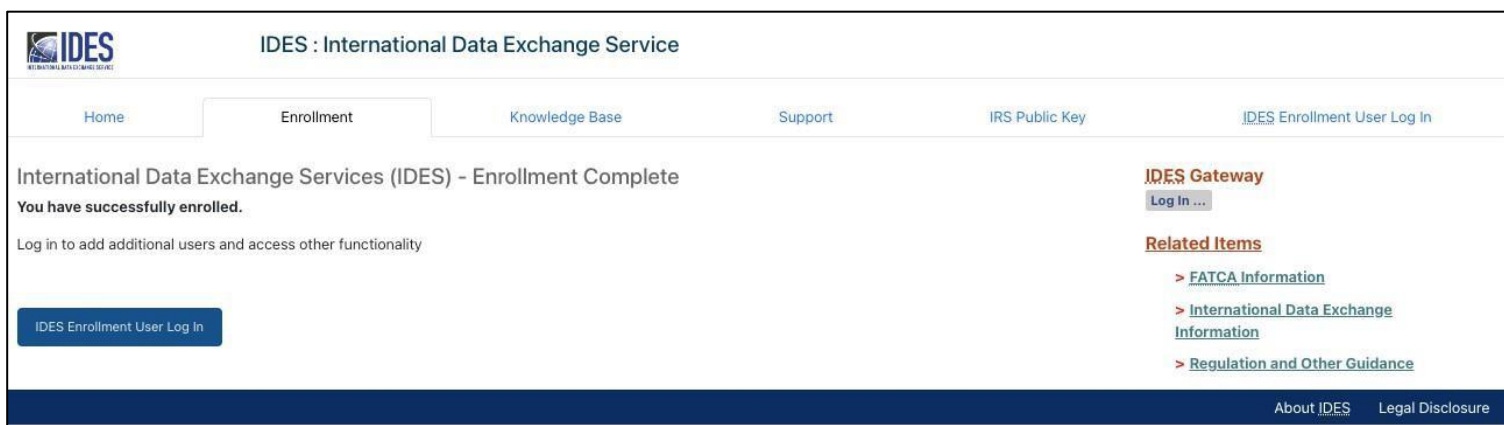


Figure 39 – Enrollment confirmed

5. After you have validated your certificate, the enrollment process is complete. You will receive an email from the IDES Help Desk that verifies your authorization to access IDES Gateway.
6. The Responsible Officer of the Foreign Filer should select the **IDES Enrollment User Log In** to log in as the IDES account administrator.

For further details on verifying your certificate as well as accessing the list of trusted Certificate Authorities (CAs) and associated intermediate certificates, please reference: [Appendix I: Validate Digital Certificate Chain](#).

8 Existing Administrators (HCTA and FI)

8.1 Overview

HCTA and FI administrators can add end users, disable and enable end users, update the certificate, update alert preferences, create a metadata file, reset passwords, and download the [IRS Public Key](#). Foreign Filer(s) should see Section 9, for more information on [Existing Administrators \(Foreign Filers\)](#) account options.

Note: You can have more than one IDES administrator on your account. To replace an existing administrator, either the FATCA Registered Responsible Officer (RO) or Point of Contact (POC) must request the change by emailing the [IDES help desk support](#). The requestor must be the same person that is listed in the registration "RO or POC Name", otherwise the request will be rejected.

Note: Your entity's RO and POC was set-up during the registration of your entity on the IRS website. You can determine who your entity's RO / POC is by logging into the [FATCA Registration system](#) on the IRS website.

In the email from your RO/POC we will need the following information:

RO or POC Name:

FI Name:

GIIN:

RO or POC Email:

We will also need the following:

Name of the New Admin:

Email of the New Admin:

Once we receive this information, an invitation to enroll in IDES will be sent to the email address provided to begin the process (the emailed invitation does expire after 48 hours). After the end-user completes the enrollment process, the account will be elevated to the role of IDES administrator for the organization.

The change request email should be sent to the Help Desk at questions@ides-support.com.

8.2 Add a User

End users added under FI and HCTA administrator accounts are able to perform the following functions:

- Create a Metadata File.
- Update Alert Notifications.
- Reset Password.
- Download the IRS Public Key.

Before performing the steps below, ensure that you are logged in to the IDES Enrollment system as an FI administrator or HCTA administrator.

All screen captures in this section assume the administrator has already logged in.



IDES : International Data Exchange Service

[Home](#)[Enrollment](#)[Knowledge Base](#)[Support](#)[IRS Public Key](#)[Logout](#)

International Data Exchange Service (IDES) - FI or HCTA Certified

You have logged into IDES to manage your FI or HCTA.

GIIN	FI or HCTA	Country
0A1B2C.77777.SL.084	Tester Account	United States Of America
Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024		

[Not your FI or HCTA?](#)

[Create Metadata File](#)[Update Alert Preferences](#)[Change Password](#)[Add User](#)[Enable User](#)[Disable User](#)[Update Certificate](#)[Edit User Role](#)

IDES Gateway

[Log In ...](#)

Related Items

[> FATCA Information](#)[> International Data Exchange Information](#)[> Regulation and Other Guidance](#)[About IDES](#)[Legal Disclosure](#)

Figure 40 – Add an end user

1. Click **Add User**.
2. **Email** - Type in email address of new end user
3. Click **Send Enrollment Invitation**



IDES : International Data Exchange Service

[Home](#)[Enrollment](#)[Knowledge Base](#)[Support](#)[IRS Public Key](#)[Logout](#)

International Data Exchange Service (IDES) - Add User

Please provide the email for the new user and click on submit to send the user an invitation to enroll.

When you click Send:

- An email will be sent to the address indicated below.
- The email will contain instructions on what the user should do next.
- The user will only have 48 hours to complete the login sequence.

* Required Fields

Email Address *

[Send Enrollment Invitation](#)[Back](#)[About IDES](#)[Legal Disclosure](#)

Figure 41 – Send an enrollment invitation

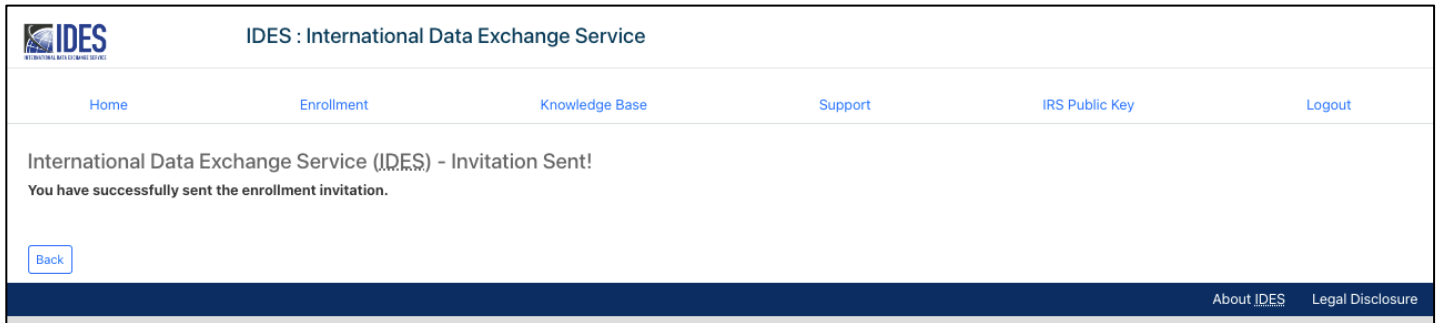


Figure 42 – New user added

4. The new end user will receive an email to register. The link in the email is valid for 48 hours.
5. Confirmation of End User **Enrollment Invitation** email has been sent.

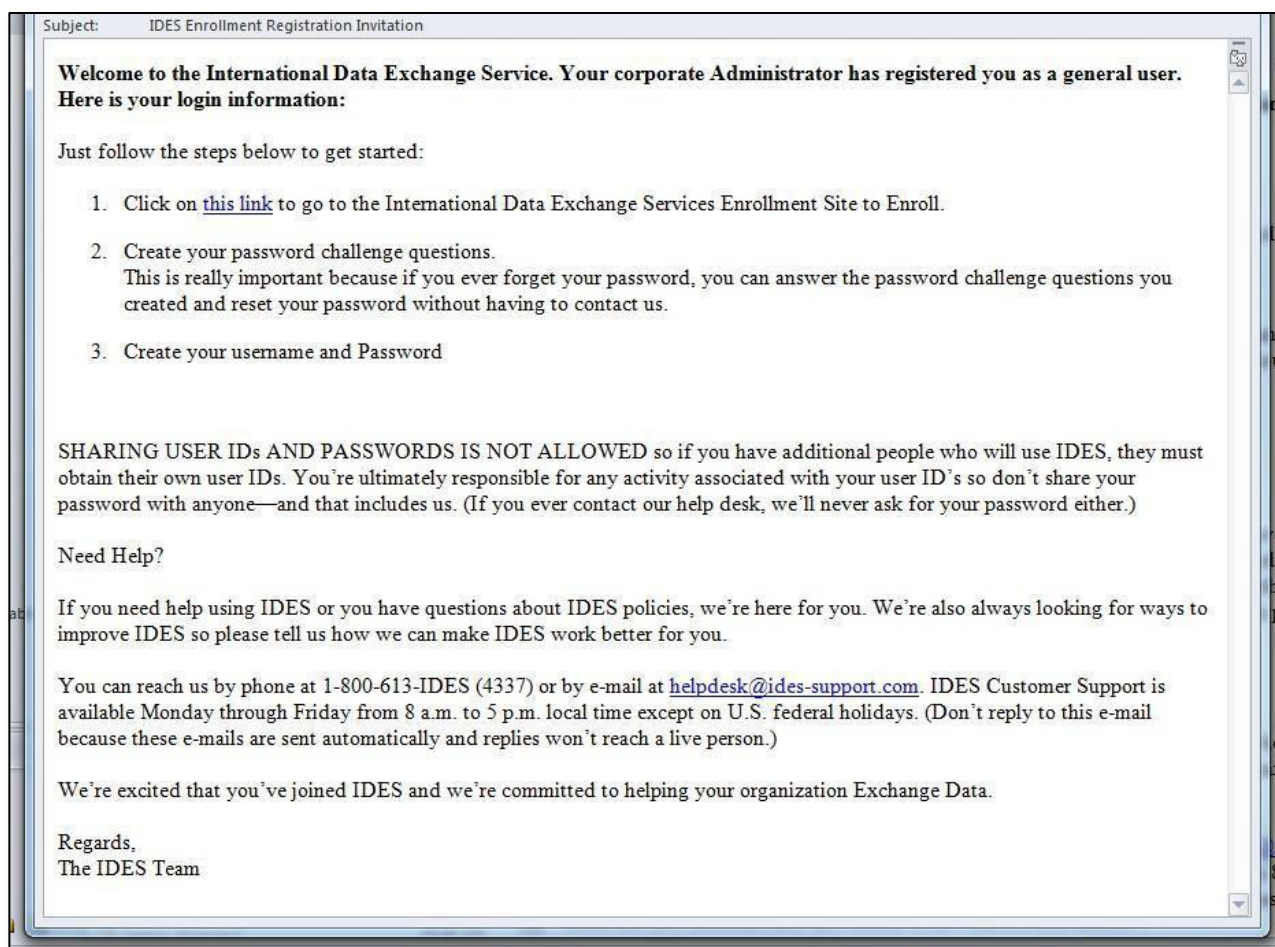


Figure 43 – IDES welcome email

6. The new end user will receive a copy of the above email. If the end user does not receive this email, contact the [IDES Help Desk](#) for assistance.

8.3 Disable a User

Administrators can disable an end user at any time. Administrators are not authorized to delete accounts, but disabling an end user account will prevent the end user from accessing their IDES account. Administrators can enable this end user later.



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - FI or HCTA Certified
You have logged into IDES to manage your FI or HCTA.

GIIN	FI or HCTA	Country
0A1B2C.77777.SL.084	Testing Account	United States Of America
Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024		

Not your FI or HCTA?

Create Metadata File Update Alert Preferences Change Password

Add User Enable User **Disable User** Update Certificate Edit User Role

About IDES Legal Disclosure

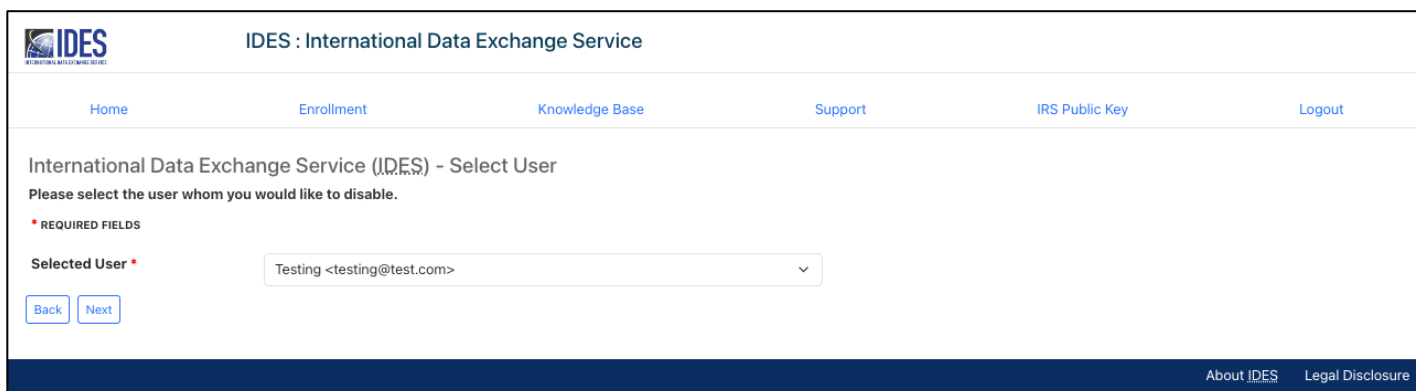
IDES Gateway
Log In ...

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

Figure 44 – Disable a user

1. Click **Disable User**.



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Select User
Please select the user whom you would like to disable.

* REQUIRED FIELDS

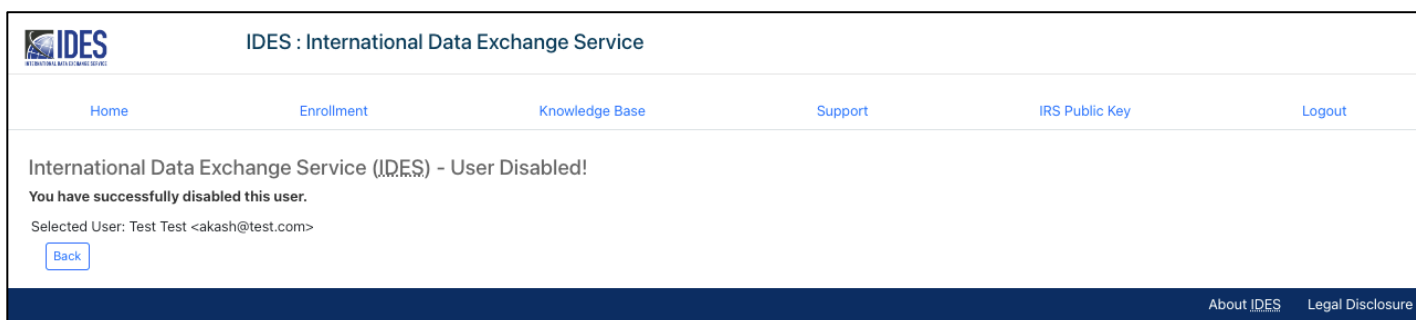
Selected User * Testing <testing@test.com>

Back Next

About IDES Legal Disclosure

Figure 45 – Select a user to disable

2. **Selected User** – Select the end user that you want to disable from the drop-down box by clicking the arrow.
3. Click **Next**.
4. Receive confirmation that the end user has been disabled



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - User Disabled!
You have successfully disabled this user.

Selected User: Test Test <akash@test.com>

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About IDES Legal Disclosure

Figure 46 – User disabled confirmation

8.4 Enable a User

Administrators can only use the Enable User option to enable end users that were previously disabled. To add a new end user, administrators must follow the process for [Add a User](#).

After the administrator has enabled the end user, the account and previous password will be active again. If the end user does not remember his or her password, the administrator can reset the password. A temporary password will be emailed to the email address we have on file or the end user can follow the [Forgot Password](#) process at the IDES Gateway webpage <https://www.idesgateway.com/> to regain access. User should input the User ID and select the Forgot Your Password link.

The Responsible Officer or a Point of Contact must contact the [IDES Help Desk](#) and speak with a representative to regain access to accounts where the password cannot be reset.

If you selected the [Forgot Password](#) and are still unable to login, the password reset process may have been successful, but the old, failed login webpage is being displayed. We advise users to clear their internet browsing application's cache before selecting the Forgot Password link on the IDES login webpage. The "cache" is a tool used by your internet browser to speed up the webpage loading process. However, sometimes the cache can cause a problem when websites are updated, completing forms, logging into an account, etc.



Figure 47 – Enable a user

1. Click **Enable User**.

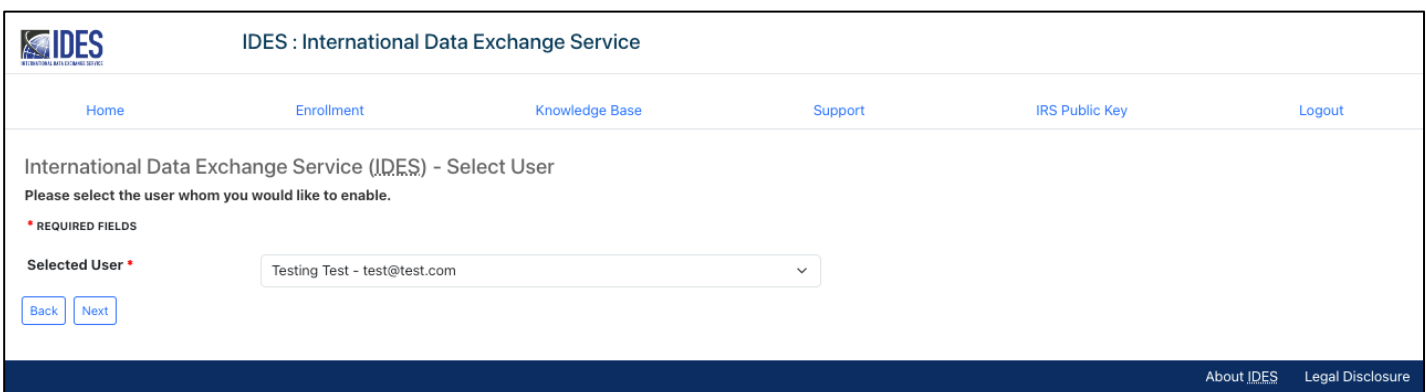


Figure 48 – Select a user to enable

2. **Selected User** – Select the end user that you want to enable from the drop-down box by clicking the arrow.
3. **Click Next** to confirm.
4. Receive confirmation that the end user has been enabled.

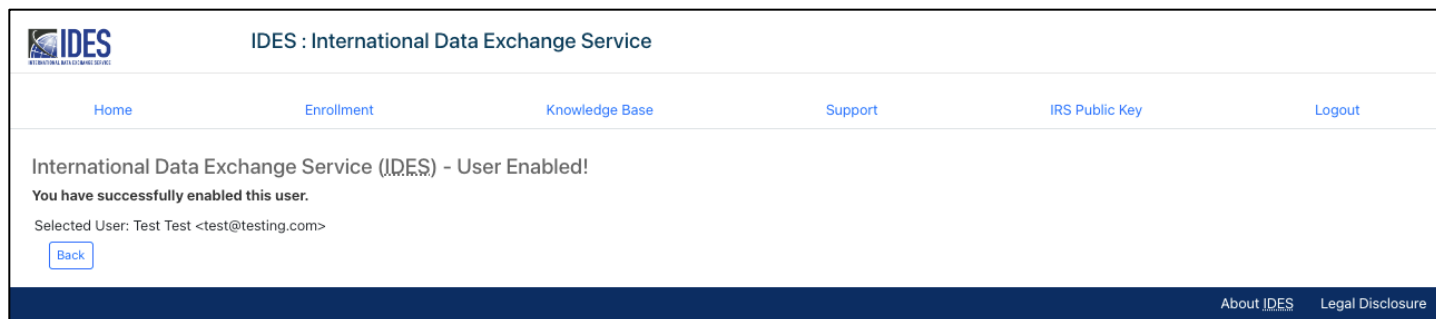


Figure 49 – User enabled confirmation

8.5 Update the Certificate

It is the responsibility of IDES users to verify that the certificate is valid. Administrators will need to update invalid or expired certificates.



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - FI or HCTA Certified
You have logged into IDES to manage your FI or HCTA.

GIIN	FI or HCTA	Country
0A1B2C.77777.SL.084	Testing Account	United States Of America

Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024

Not your FI or HCTA?

Create Metadata File Update Alert Preferences Change Password

Add User Enable User Disable User **Update Certificate** Edit User Role

About IDES Legal Disclosure

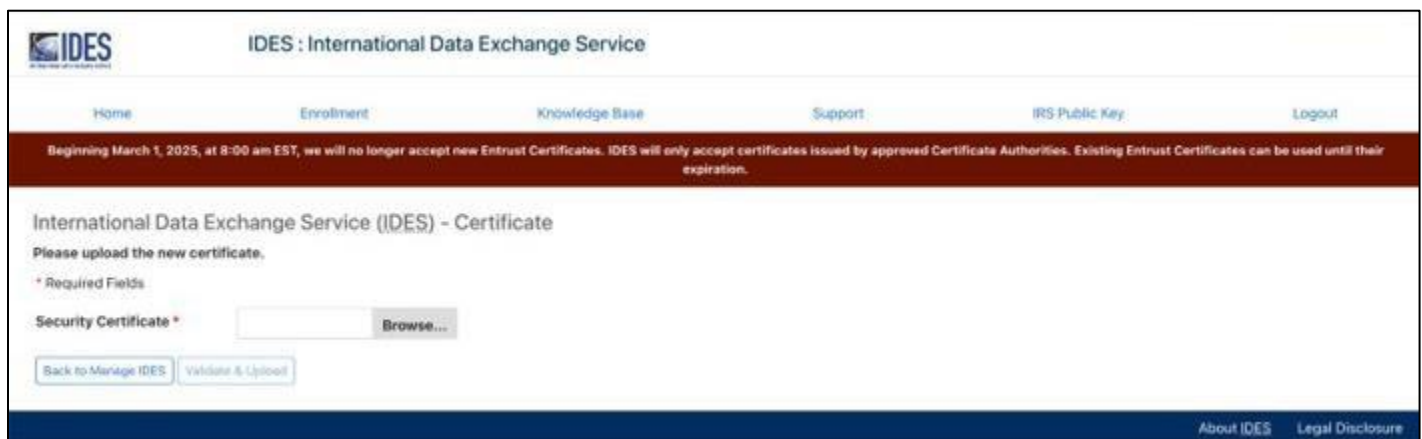
IDES Gateway
Log In ...

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

Figure 50 – Update a user certificate

1. Click **Update Certificate**.



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

Beginning March 1, 2025, at 8:00 am EST, we will no longer accept new Entrust Certificates. IDES will only accept certificates issued by approved Certificate Authorities. Existing Entrust Certificates can be used until their expiration.

International Data Exchange Service (IDES) - Certificate

Please upload the new certificate.

* Required Fields

Security Certificate * Browse...

Back to Manage IDES Validate & Upload

About IDES Legal Disclosure

Figure 51 – Upload a digital certificate

2. Click **Browse** to upload the new certificate from your computer.

Figure 52 – Select a digital certificate

3. Click on the certificate file then click **Open** to load the file.

Figure 53 – Updated digital certificate confirmation

4. Click **Validate** to complete the upload of the new certificate. If you receive a certificate error message, refer to [Appendix C: Certificate Upload Error Messages](#) for a complete list or contact [IDES Help Desk](#).
5. Review confirmation screen of successful certificate update.

8.6 Update Alert Preferences

The screenshot shows the IDES International Data Exchange Service dashboard. At the top, there is a navigation bar with links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. Below the navigation bar, the main heading is "International Data Exchange Service (IDES) - FI or HCTA Certified". A sub-heading states: "You have logged into IDES to manage your FI or HCTA." Below this, there is a table with three columns: GIIN, FI or HCTA, and Country. The table contains one row with the following data: GIIN: 0A1B2C.77777.SL.084, FI or HCTA: Testing Account, Country: United States Of America. Below the table, it says "Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024". To the right of the table, there is a section titled "IDES Gateway" with a "Log In ..." button. Below that, there is a section titled "Related Items" with three links: "> FATCA Information", "> International Data Exchange Information", and "> Regulation and Other Guidance". At the bottom of the dashboard, there is a row of buttons: "Create Metadata File", "Update Alert Preferences" (highlighted in blue), "Change Password", "Add User", "Enable User", "Disable User", "Update Certificate", and "Edit User Role". The footer of the dashboard contains links for "About IDES" and "Legal Disclosure".

GIIN	FI or HCTA	Country
0A1B2C.77777.SL.084	Testing Account	United States Of America

Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024

Not your FI or HCTA?

Create Metadata File Update Alert Preferences Change Password

Add User Enable User Disable User Update Certificate Edit User Role

About IDES Legal Disclosure

Figure 54 – Update alert preferences

1. Click **Update Alert Preferences**.

The screenshot shows the IDES International Data Exchange Service "Select User" screen. At the top, there is a navigation bar with links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. Below the navigation bar, the main heading is "International Data Exchange Service (IDES) - Select User". A sub-heading states: "Please select the user whom you would like to update their email alert preferences." Below this, there is a section titled "* REQUIRED FIELDS". Below that, there is a "Selected User *" label and a dropdown menu with the text "test test - test@test.com". Below the dropdown menu, there are two buttons: "Back" and "Next". The footer of the screen contains links for "About IDES" and "Legal Disclosure".

Selected User *

test test - test@test.com

Back Next

About IDES Legal Disclosure

Figure 55 – Select the user profile to update

2. **Select User** – Select the User to update their email alert preferences.
3. Click **Next**.

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - User Alert Preferences

Select Alerts

☐ Select All	☐ System Availability Alert Is Locked By Administrator
☒ Receive System Availability Alerts	☐ Transmission Alert Is Locked By Administrator
☐ Receive Transmission Alerts	☒ Transmission Failed Alert Is Locked By Administrator
☐ Receive Transmission Failed Alerts	☒ File Uploaded Alert Is Locked By Administrator
☐ Receive File Uploaded Alerts	☒ File Available for Download Alert Is Locked By Administrator
☒ Receive File Available for Download Alerts	☒ File Posted For Review for Download Alert Is Locked By Administrator
☐ Receive File Posted for Review Alerts	☐ File Rejected Alert Is Locked By Administrator
☐ Receive File Rejected Alerts	☐ File Approved Alert Is Locked By Administrator
☒ Receive File Approved Alerts	

Back Next

About IDES Legal Disclosure

Figure 56 – Select new alert preferences

- User** – Verify the username to update the alert preferences.
- Select the **Select All** checkbox to choose all alerts or to remove all alerts. Click the checkbox next to the Alert(s) to receive via email.
- Select the checkbox next to the item description to lock the setting for each alert. The user cannot make changes to their alert preferences. The administrator will need to make any future changes to the alert preferences and or unlock user alert preferences. There are eight Alert Preferences. Refer to [10.4 Select Alert Preferences](#) for full instructions.

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - User Alert Preferences

Select Alerts

☒ Select All	☒ System Availability Alert Is Locked By Administrator
☒ Receive System Availability Alerts	☒ Transmission Alert Is Locked By Administrator
☒ Receive Transmission Alerts	☒ Transmission Failed Alert Is Locked By Administrator
☒ Receive Transmission Failed Alerts	☒ File Uploaded Alert Is Locked By Administrator
☒ Receive File Uploaded Alerts	☒ File Available for Download Alert Is Locked By Administrator
☒ Receive File Available for Download Alerts	☒ File Posted For Review for Download Alert Is Locked By Administrator
☒ Receive File Posted for Review Alerts	☒ File Rejected Alert Is Locked By Administrator
☒ Receive File Rejected Alerts	☒ File Approved Alert Is Locked By Administrator
☒ Receive File Approved Alerts	

Back Next

About IDES Legal Disclosure

Figure 57 – User alert preferences updated

- Click **Next**. Alert preferences have been saved.

Account Update Notice

This notice is to inform you that details of your account in the IDES enrollment site have recently been updated.

Here is your login information:

IDES Support: <http://www.ides-support.com>

Your username : [XXXXXXXXXX](#)

Need Help?

If you need help using IDES or you have questions about IDES policies, we're here for you. We're also always looking for ways to improve IDES so please tell us how we can make IDES work better for you.

You can reach us by phone at 1-800-613-IDES (4337) or by e-mail at helpdesk@ides-support.com. IDES Customer Support is available Monday through Friday from 8 a.m. to 5 p.m. local time except on U.S. Federal Holidays. (Don't reply to this e-mail because these e-mails are sent automatically and replies won't reach a live person.)

We're excited that you've joined IDES and we're committed to helping your Financial Institution or Country ensure an easy Data Exchange.

Regards,
The IDES Team

Figure 58 – Email confirmation for updated user alert preference

8. The User will receive an email stating that their preferences have been updated.

8.7 Create a Metadata File

Metadata is a collection of data about the content and characteristics of the FATCA reporting files. It is used to ensure the transmission archives are correctly processed. The metadata file will be included in the transmission archive and can also be created during the data preparation phase. HCTAs and FIs should create and validate metadata files using the [FATCA IDES Metadata XML Schema v2.0.1](#).

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - FI or HCTA Certified

You have logged into IDES to manage your FI or HCTA.

GIIN	FI or HCTA	Country
0A1B2C.77777.SL.084	Testing Account	United States Of America

Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024

[Not your FI or HCTA?](#)

[Create Metadata File](#) [Update Alert Preferences](#) [Change Password](#)

[Add User](#) [Enable User](#) [Disable User](#) [Update Certificate](#) [Edit User Role](#)

[About IDES](#) [Legal Disclosure](#)

IDES Gateway
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

Figure 59 – Create a metadata file

1. Click **Create Metadata File**

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Metadata

Please update the metadata information before downloading the file.

* Required Fields

Sender (FI/HCTA) *
GIIN of Sender Submitting this Report

Receiver (IRS GIIN) *
GIIN of Recipient receiving this Report (IRS GIIN)

Transmission Type *
Transmission is a FATCA Report (RPT) or Notification (NTF) Communication.
FATCA Report (Default)

Notification File Format *
Notification file format.
XML - Extensible markup language (Default)

Notification Binary Encoding *
Notification binary encoding.
NONE - No special encoding (Default)

Transmission Filename *
File name created by sender for this report.

Transmission Timestamp *
Timestamp created by the sender transmission.

Tax Year *
Indicates Tax Year for this Report.

☐ Is this a Revised

Original File Transmission ID
IDES Transmission ID Referencing an update to an earlier Transmission.

Sender Email *
User's Email Address

Download File As: *
You can download this file as an XML or Text file.
Select Format

[Back](#) [Download](#)

[About IDES](#) [Legal Disclosure](#)

Figure 60 – Enter metadata file information

2. **FI/HCTA Sender GIIN** – Enter the FATCAEntitySenderId, such as a GIIN, FIN or HCTA FATCA Entity ID.
3. **Receiver (IRS) GIIN** – Enter the FATCAEntityReceiverId or recipient receiving the data.
 - a. For example, the U.S. HCTA FATCA Entity ID: 000000.00000.TA.840
4. **Transmission Type** – Select the transmission type:
 - b. **RPT** = FATCA Report (Default)
 - c. NTF = FATCA Notification
 - d. CAR = Competent Authority Request (Reserved. Do not use)
 - e. REG = FATCA Registration Data (Reserved. Do not use)
 - f. TEI = Traditional Exchange of Information
5. **File Format (Optional)** – Select the file format of the message transmitted:
 - g. **XML** – Extensible markup language (Default)
 - h. PDF – Portable document format (IRS use only)
 - i. TXT – Plain text (Reserved. Do not use)
 - j. RTF – Rich text format (Reserved. Do not use)
 - k. JPG – Joint photographic group format (Reserved. Do not use)

6. **Binary Encoding (Optional)** – Enter the binary encoding scheme code type:

- l. NONE – No special encoding (Default)
- m. BASE64 – Base64 encoding (IRS use only)

Note: User must comply with the file format types below and binary encoding pairing types:

File Type	Binary Encoding Type
XML	NONE
PDF	Base64
TXT	NONE or Base64
RTF	Base64
JPG	Base64

Table 9 – Metadata File Type and Binary Encoding Type Pairing

- 7. **Transmission Filename** – Enter the transmission file name of the file being uploaded.
- 8. **Transmission Timestamp** – Reference the timestamp created by the sender transmission.
- 9. **Tax Year** – Enter the FATCA reporting data tax year.
- 10. **Is This a Revised** – Select checkbox if the report is a revision to a previously uploaded file.
- 11. **Original File Transmission ID (Optional)** – Enter the file name of the original file.
- 12. **Sender Email (Optional)** – Enter your email address.
- 13. **Download File As:** The default is to download as XML; you can also choose to download as TXT format.
- 14. Click **Download**.

```
<?xml version="1.0" encoding="UTF-8"?>
<FATCAIDESenderFileMetadata xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xmlns="urn:fatca:idesenderfilemetadata">
  <FATCAEntitySenderId>000000.00000.TA.124</FATCAEntitySenderId>
  <FATCAEntityReceiverId>000000.00000.TA.840</FATCAEntityReceiverId>
  <FATCAEntCommunicationTypeCd>RPT</FATCAEntCommunicationTypeCd>
  <SenderFileId>000000.00000.TA.124_Payload.xml</SenderFileId>
  <FileFormatCd>XML</FileFormatCd>
  <BinaryEncodingSchemeCd>NONE</BinaryEncodingSchemeCd>
  <FileCreateTs>2015-06-30T00:00:00Z</FileCreateTs>
  <TaxYear>2014</TaxYear>
  <FileRevisionInd>true</FileRevisionInd>
  <OriginalIDESTransmissionId>c19d4f557daf461fbb6d601b74c821a2</OriginalIDESTransmissionId>
</FATCAIDESenderFileMetadata>
```

Figure 61 – Metadata sample image

- 15. **Save** the Metadata File. The file name for the FATCA XML metadata file is **FATCAEntitySenderId_Metadata.xml**.

8.8 Reset Password

FI and HCTA administrators can reset the passwords of all end users under the administrator account.

The screenshot shows the IDES dashboard. At the top, there's a navigation bar with links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. Below the navigation bar, the main heading is "International Data Exchange Service (IDES) - FI or HCTA Certified". A message states: "You have logged into IDES to manage your FI or HCTA." Below this is a table with columns: GIIN, FI or HCTA, and Country. The table contains one row: 7G8H9L7777.SL.826, HMRC, United Kingdom. Below the table, it says "Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024". To the right of the table, there's a section titled "IDES Gateway" with a "Log In ..." button. Below that is a "Related Items" section with links: > FATCA Information, > International Data Exchange Information, and > Regulation and Other Guidance. At the bottom of the main content area, there's a row of buttons: "Create Metadata File", "Update Alert Preferences", "Change Password" (highlighted in blue), "Add User", "Enable User", "Disable User", "Update Certificate", and "Edit User Role". At the very bottom, there's a footer with "About IDES" and "Legal Disclosure".

GIIN	FI or HCTA	Country
7G8H9L7777.SL.826	HMRC	United Kingdom

Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024

Buttons: Create Metadata File, Update Alert Preferences, **Change Password**, Add User, Enable User, Disable User, Update Certificate, Edit User Role

Figure 62 – Reset a password

1. Click **Change Password**.

The screenshot shows the "Select User" page in the IDES dashboard. The heading is "International Data Exchange Service (IDES) - Select User". Below the heading, it says "Please select the user whom you would like to edit." There's a section titled "REQUIRED FIELDS" with a red asterisk. Below that is a "Selected User" label and a drop-down menu. The drop-down menu shows "test test - test@test.com" with a downward arrow. Below the drop-down menu are two buttons: "Back" and "Next". At the bottom of the page, there's a footer with "About IDES" and "Legal Disclosure".

Selected User *

test test - test@test.com

Buttons: Back, Next

Figure 63 – Select the user to update

2. **Select User** – Click on the drop-down box to select the end user.
3. Click **Next**.



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Change Password

Please provide updated information for this user. Please remember:

- You cannot change a password within 24 hours of your last change or creation.
- A password should be 8-15 characters, have one capital, one number, and one special character: !, @, #, \$, %, ^, &, * , ?

Selected User: test test <test@test.com>

Password

Verify Password

[Back](#) [Next](#)

[About IDES](#) [Legal Disclosure](#)

Figure 64 – Create a new password for the selected user

4. **User** – Verify the correct user.
5. **Password** – Enter the new password.
 - a. **Password Guidelines:** The password must be a minimum of 14 characters and include at least one uppercase and lowercase letter, one number, and one of the designated special characters (~! @# % ^ * () ? , .). If you enter a password that does not meet the guidelines, you will receive an error message.
 - b. Once a password has been reset, it cannot be reset again for 24 hours.
 - c. You cannot reuse any of your last 24 passwords
6. **Verify Password** – Re-type your password (must match previous entry). If it does not match, you will receive an error message.
7. Click **Next** to complete password update.

8.9 Edit User Role



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - FI or HCTA Certified

You have logged into IDES to manage your FI or HCTA.

GIIN	FI or HCTA	Country
7G8H9I.77777.SL.826	HMRC	United Kingdom

Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024

[Not your FI or HCTA?](#)

[Create Metadata File](#) [Update Alert Preferences](#) [Change Password](#)

[Add User](#) [Enable User](#) [Disable User](#) [Update Certificate](#) [Edit User Role](#)

[About IDES](#) [Legal Disclosure](#)

IDES Gateway

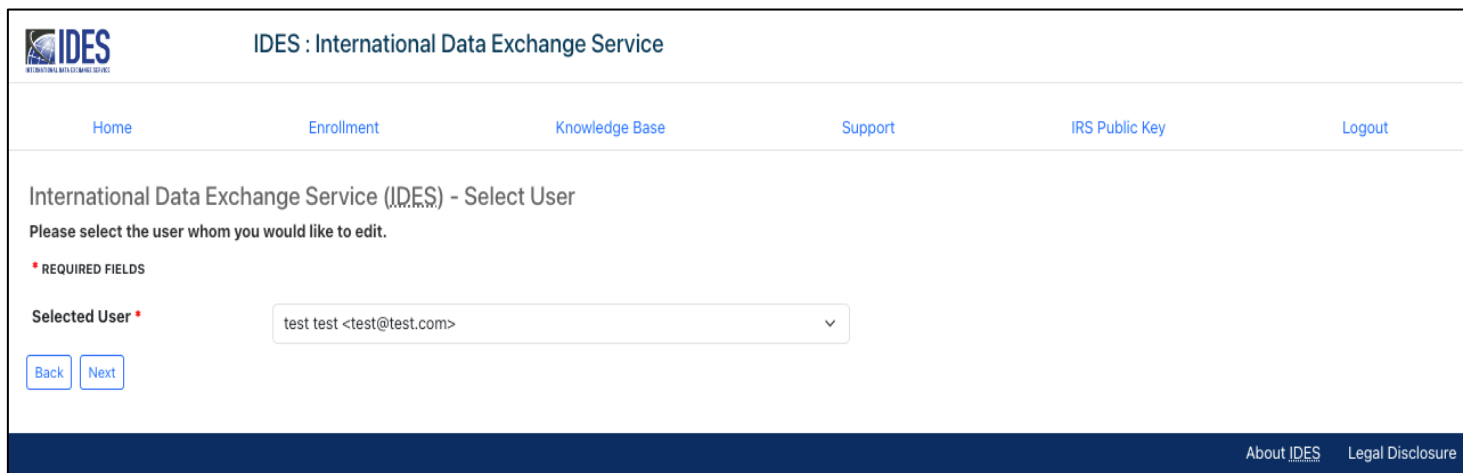
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

Figure 65 – Edit user role

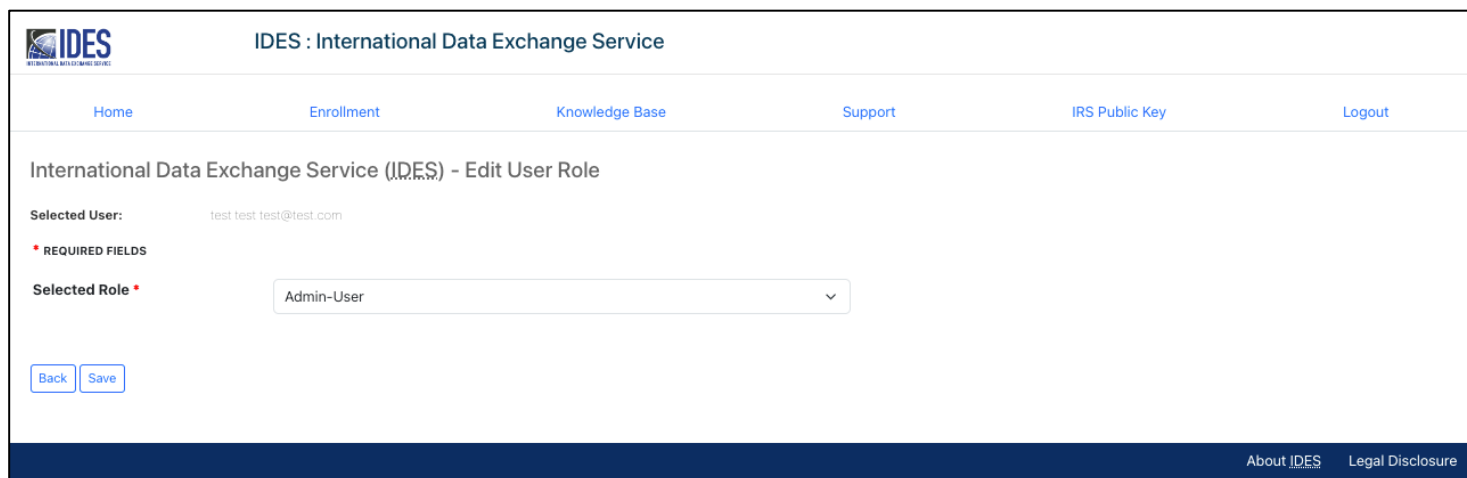
1. Click **Edit User Role**.



The screenshot shows the 'Select User' page of the IDES application. The header includes the IDES logo and navigation links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. The main content area is titled 'International Data Exchange Service (IDES) - Select User' and instructs the user to 'Please select the user whom you would like to edit.' Below this, a 'REQUIRED FIELDS' section contains a 'Selected User' dropdown menu with the text 'test test <test@test.com>'. At the bottom left are 'Back' and 'Next' buttons. The footer contains 'About IDES' and 'Legal Disclosure' links.

Figure 66 – Select user to update

2. Select the User to be updated from the drop-down box.
3. Click **Next**.



The screenshot shows the 'Edit User Role' page of the IDES application. The header is identical to Figure 66. The main content area is titled 'International Data Exchange Service (IDES) - Edit User Role'. It displays the 'Selected User' as 'test test test@test.com'. Below this, a 'REQUIRED FIELDS' section contains a 'Selected Role' dropdown menu with 'Admin-User' selected. At the bottom left are 'Back' and 'Save' buttons. The footer contains 'About IDES' and 'Legal Disclosure' links.

Figure 67 – Select new role for user

4. Select the applicable User role from the drop-down box.
5. Admin: User: Allows user changes to the account with no restrictions.
6. End User: Allows user to reset password, update Alert Preferences (if not locked by the administrator), download the metadata file and download the IRS public key.
7. Click **Save**.

8.10 Download the IRS Public Key

The IRS Public Key should be included in the transmission archive .zip file that is uploaded through the IDES Gateway.

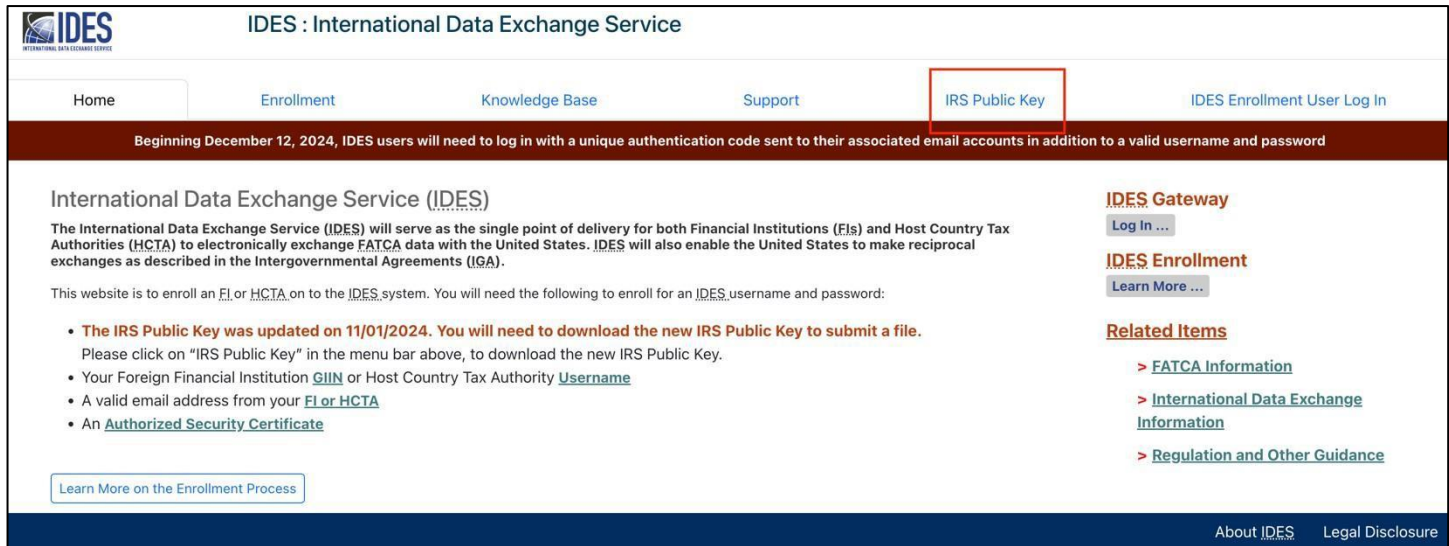


Figure 68 – Download the IRS public key

1. From the [IDES Enrollment home page](#), click the **IRS Public Key** tab to download the IRS Public Key certificate to your computer.

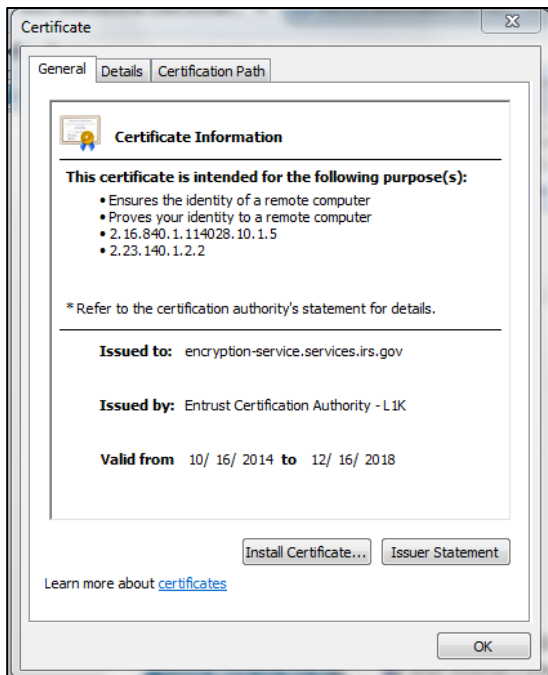


Figure 69 – General certificate information

2. This certificate should be included in the FATCA reporting transmission archive you upload and transmit to the IRS via the IDES Gateway.

9 Existing Administrators (Foreign Filers)

9.1 Overview

Only Foreign Filer administrators can add end users, disable and enable end users, update the certificate, update alert preferences, create a metadata file, reset passwords, and download the [IRS Public Key](#).

Note: You can have more than one Foreign Filer administrator on your IDES account. To replace an existing administrator, the Foreign Filer Registered Responsible Officer (RO) must request the change by emailing the [IDES help desk support](#). The requestor must be the same person that is listed in the [Foreign Filer TCC Registration System](#) as the RO, otherwise the request will be rejected.

Note: Your entity's RO was set-up during the registration of your entity on the Foreign Filer Transmitter Control Code Registration System. You can determine who your entity's RO is by logging into the [Foreign Filer Transmitter Control Code Registration System](#) on the IRS website.

In the email from your RO, we will need the following information:

RO Name:
Foreign Filer Name:
TCC GIIN:
RO Email:

We will also need the following:

Name of the New Admin:
Email of the New Admin:

Once we receive this information, an invitation to enroll in IDES will be sent to the email address provided to begin the process (the emailed invitation does expire after 48 hours). After the end-user completes the enrollment process, the account will be elevated to the role of IDES administrator for the organization.

The change request email should be sent to the Help Desk at questions@ides-support.com.

9.2 Add a User

End users added under Foreign Filer administrator accounts are able to perform the following functions:

- Create a Metadata File.
- Update Alert Notifications.
- Reset Password.
- Download the IRS Public Key.

Before performing the steps below, ensure that you are logged in to the IDES Enrollment system as a Foreign Filer administrator.

All screen captures in this section assume the administrator has already logged in.

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Foreign Filer TCC Certified
 You have logged into IDES to manage your Foreign Filer TCC.

GIIN	Foreign Filer TCC	Country
999999.99999.FF.998	FOREIGN FILER	FOREIGN FILER

Certificate Effective Dates: Fri Sep 26 00:00:00 UTC 2025 to Sat Sep 26 23:59:59 UTC 2026

FATCA IDES User Certificate Status

Status	Valid
Expiration Date	Sep 26, 2026
Action Required	None

[Not your Foreign Filer TCC?](#)

Quick Actions

Create Metadata File Update Alert Preferences Change Password Register for MFA

Admin Actions

Add User Enable User Disable User Update Certificate Edit User Role

Foreign Filer Resources

IRIS Foreign Filer Schema

IDES Gateway
[Log In...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

Figure 70 – Add an end user

1. Click **Add User**.
2. **Email** - Type in email address of new end user
3. **Click Send Enrollment Invitation**

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Add User

Please provide the email for the new user and click on submit to send the user an invitation to enroll.
 When you click Send:

- An email will be sent to the address indicated below.
- The email will contain instructions on what the user should do next.
- The user will only have 48 hours to complete the login sequence.

* Required Fields

Email Address *

About IDES Legal Disclosure

Figure 71 – Send an enrollment invitation

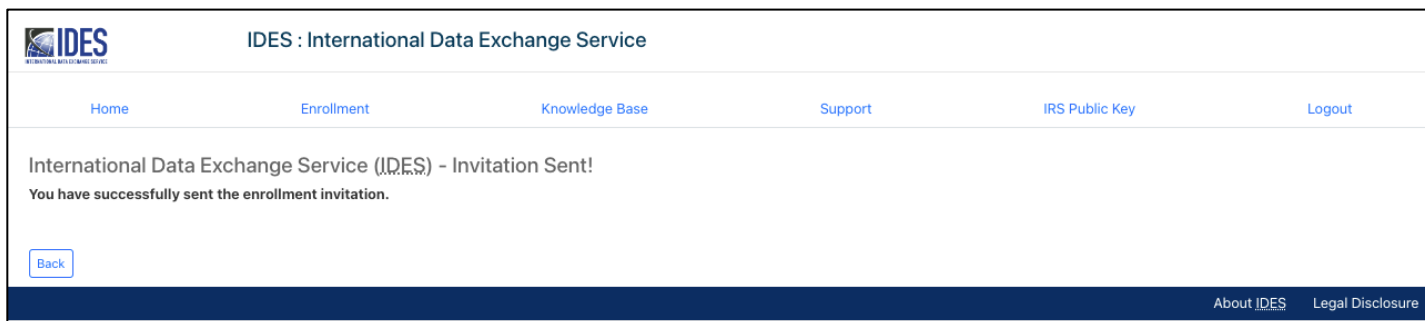


Figure 72 – New user added

4. The new end user will receive an email to register. The link in the email is valid for 48 hours.
5. Confirmation of End User **Enrollment Invitation** email has been sent.

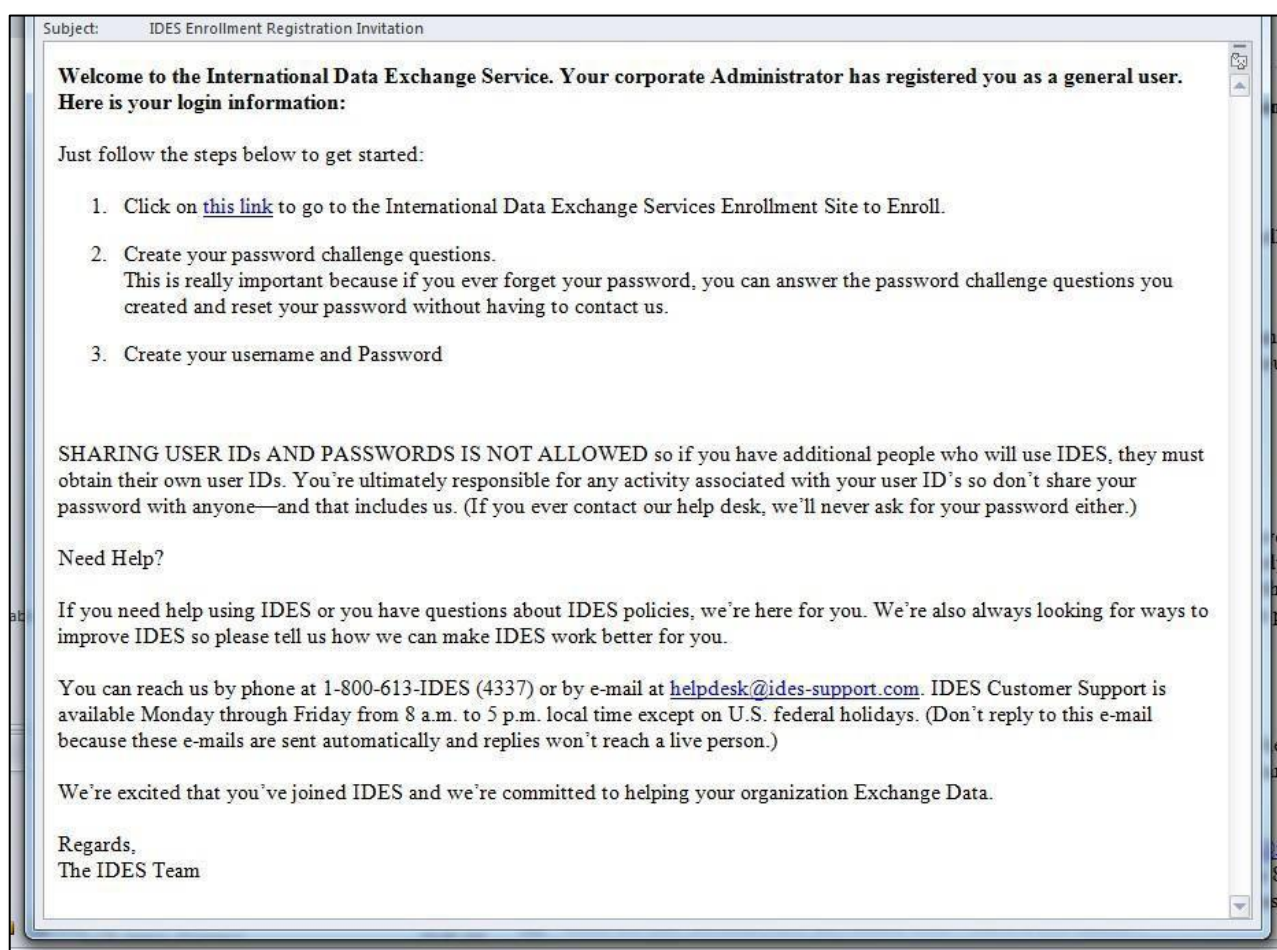


Figure 73 – IDES welcome email

6. The new end user will receive a copy of the above email. If the end user does not receive this email, contact the [IDES Help Desk](#) for assistance.

9.3 Disable a User

Administrators can disable an end user at any time. Administrators are not authorized to delete accounts, but disabling an end user account will prevent the end user from accessing their IDES account. Administrators can enable this end user later.

1. Click **Disable User**

The screenshot shows the IDES International Data Exchange Service dashboard. At the top, there's a navigation bar with links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. Below the navigation bar, the main heading is "International Data Exchange Service (IDES) - Foreign Filer TCC Certified". A sub-header says "You have logged into IDES to manage your Foreign Filer TCC." On the right side, there's a section for "IDES Gateway" with a "Log In ..." button and a "Related Items" section with links to "FATCA Information", "International Data Exchange Information", and "Regulation and Other Guidance". The main content area has a table with columns: GIIN, Foreign Filer TCC, and Country. The table shows a single row with GIIN 999999.99999.FF.998, Foreign Filer TCC FOREIGN FILER, and Country FOREIGN FILER. Below the table, there's a section for "FATCA IDES User Certificate Status" with fields for Status (Valid), Expiration Date (Sep 26, 2026), and Action Required (None). At the bottom, there's a "Quick Actions" section with buttons for "Create Metadata File", "Update Alert Preferences", "Change Password", and "Register for MFA". Below that, there's an "Admin Actions" section with buttons for "Add User", "Enable User", "Disable User", "Update Certificate", and "Edit User Role". At the very bottom, there's a "Foreign Filer Resources" section with a link to "IRIS Foreign Filer Schema".

Figure 74 – Disable a user

2. **Selected User** – Select the end user that you want to disable from the drop-down box by clicking the arrow

The screenshot shows the IDES International Data Exchange Service "Select User" page. At the top, there's a navigation bar with links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. Below the navigation bar, the main heading is "International Data Exchange Service (IDES) - Select User". A sub-header says "Please select the user whom you would like to disable." Below that, there's a "REQUIRED FIELDS" section. The "Selected User" field is a drop-down menu with the text "Testing <testing@test.com>" and a downward arrow. Below the drop-down menu, there are "Back" and "Next" buttons. At the bottom right, there's a footer with links to "About IDES" and "Legal Disclosure".

Figure 75 – Select a user to disable

3. Click **Next**.
4. Receive confirmation that the end user has been disabled

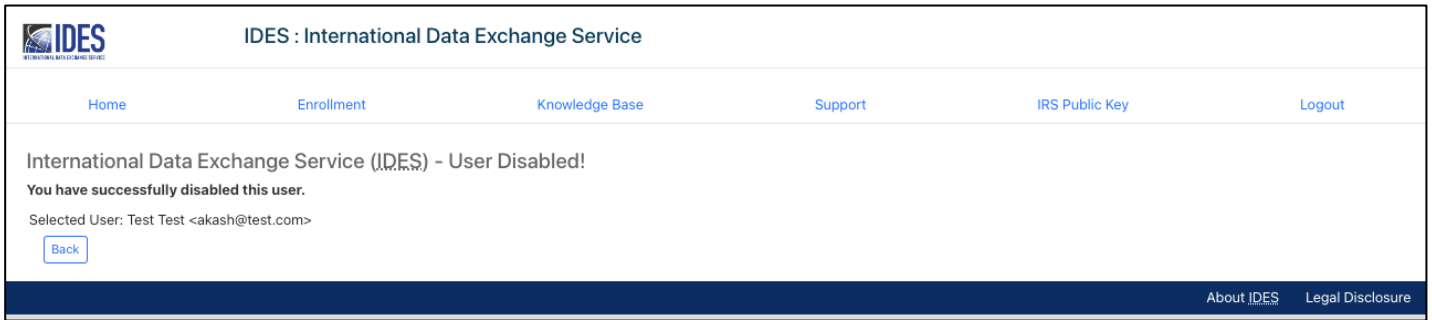


Figure 76 – User disabled confirmation

9.4 Enable a User

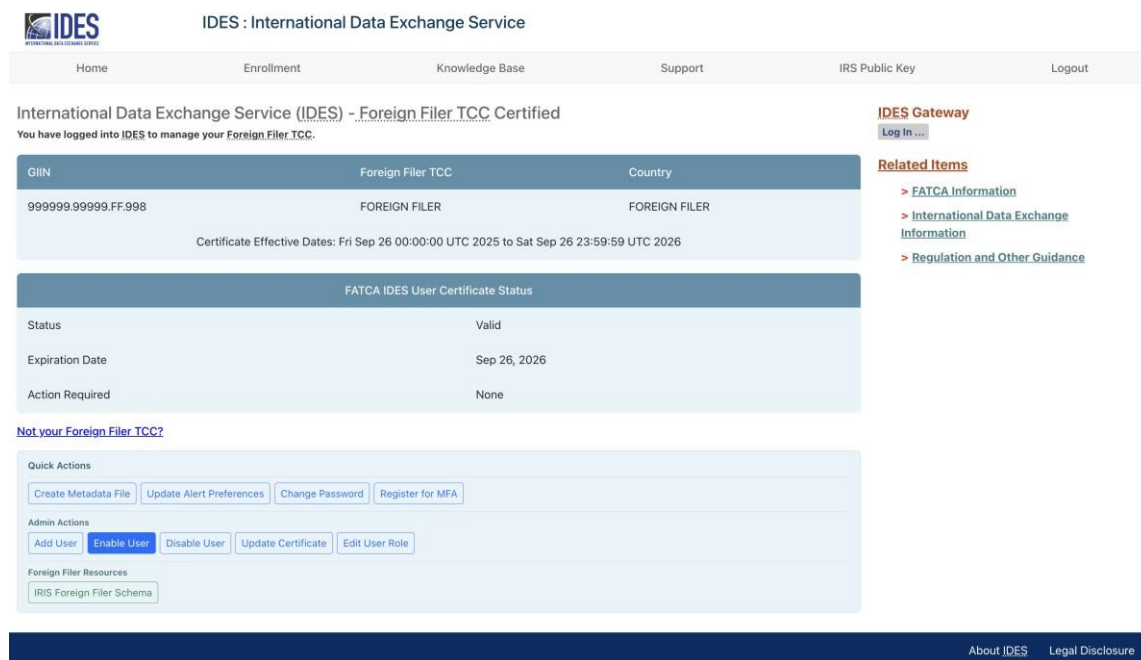
Administrators can only use the Enable User option to enable end users that were previously disabled. To add a new end user, administrators must follow the process for [Add a User](#).

After the administrator has enabled the end user, the account and previous password will be active again. If the end user does not remember his or her password, the administrator can reset the password, or the end user can follow the [Forgot Password](#) process.

The Responsible Officer must contact the [IDES Help Desk](#) and speak with a representative to have the reset code reset if you are unable to utilize Reset code link on the IDES Login webpage at <https://www.idesgateway.com> to regain access. Input the User ID and select the Forgot Your Password link. A temporary password will be emailed to the email address we have on file.

If you selected the [Forgot Password](#) and are still unable to login, the password reset process may have been successful, but the previous, failed login webpage is being displayed. We advise users to please clear their internet browsing application's cache before selecting the Forgot Password link on the IDES login webpage. The "cache" is a tool used by your internet browser to speed up the webpage loading process. However, sometimes the cache can cause a problem when websites are updated, completing forms, logging into an account, etc.

1. Click **Enable User**



The screenshot displays the IDES (International Data Exchange Service) user management interface. At the top, the IDES logo and title are visible. Below the navigation bar, the user's status is shown as 'Valid'. The 'Admin Actions' section contains buttons for 'Add User', 'Enable User' (highlighted in blue), 'Disable User', 'Update Certificate', and 'Edit User Role'. The 'Quick Actions' section includes buttons for 'Create Metadata File', 'Update Alert Preferences', 'Change Password', and 'Register for MFA'. The 'Foreign Filer Resources' section includes a link to 'IRIS Foreign Filer Schema'. The 'Related Items' section lists links for 'FATCA Information', 'International Data Exchange Information', and 'Regulation and Other Guidance'. The 'IDES Gateway' section includes a 'Log In' button.

GIIN	Foreign Filer TCC	Country
999999.99999.FF.998	FOREIGN FILER	FOREIGN FILER

Certificate Effective Dates: Fri Sep 26 00:00:00 UTC 2025 to Sat Sep 26 23:59:59 UTC 2026

FATCA IDES User Certificate Status	
Status	Valid
Expiration Date	Sep 26, 2026
Action Required	None

Quick Actions

Create Metadata File Update Alert Preferences Change Password Register for MFA

Admin Actions

Add User **Enable User** Disable User Update Certificate Edit User Role

Foreign Filer Resources

IRIS Foreign Filer Schema

Related Items

- > FATCA Information
- > International Data Exchange Information
- > Regulation and Other Guidance

IDES Gateway

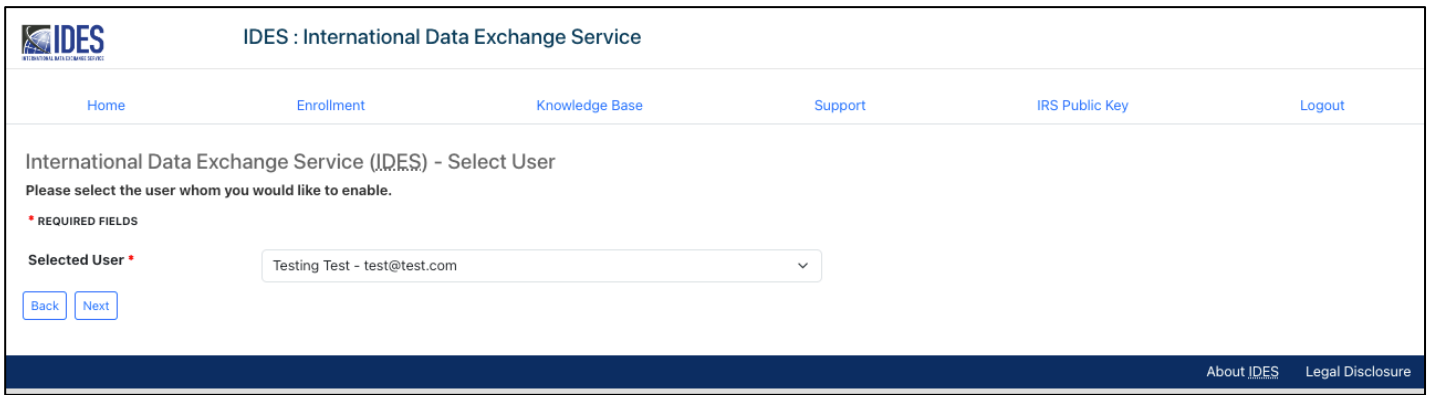
Log In

Not your Foreign Filer TCC?

About IDES Legal Disclosure

Figure 77 – Enable a user

2. **Select User** – Select the end user that you want to enable from the drop-down box by clicking the arrow



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Select User

Please select the user whom you would like to enable.

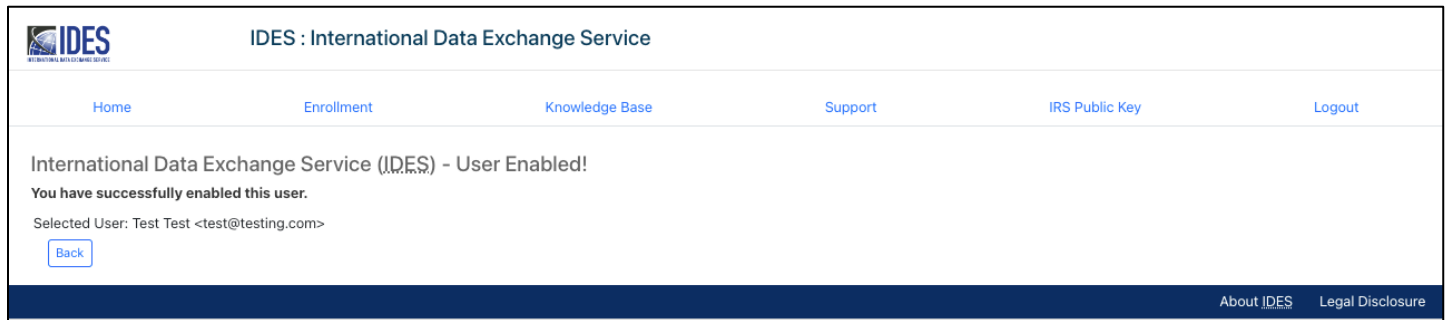
• REQUIRED FIELDS

Selected User *

About IDES Legal Disclosure

Figure 78 – Select a user to enable

3. **Click Next** to confirm.
4. Receive confirmation that the end user has been enabled.



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - User Enabled!

You have successfully enabled this user.

Selected User: Test Test <test@testing.com>

About IDES Legal Disclosure

Figure 79 – User enabled confirmation

9.5 Update the Certificate

It is the responsibility of IDES users to verify that the certificate is valid. Administrators will need to update invalid or expired certificates.

1. Click **Update Certificate**

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Foreign Filer TCC Certified
You have logged into IDES to manage your Foreign Filer TCC.

GIIN	Foreign Filer TCC	Country
999999.99999.FF.998	FOREIGN FILER	FOREIGN FILER

Certificate Effective Dates: Fri Sep 26 00:00:00 UTC 2025 to Sat Sep 26 23:59:59 UTC 2026

FATCA IDES User Certificate Status	
Status	Valid
Expiration Date	Sep 26, 2026
Action Required	None

[Not your Foreign Filer TCC?](#)

Quick Actions

Create Metadata File Update Alert Preferences Change Password Register for MFA

Admin Actions

Add User Enable User Disable User **Update Certificate** Edit User Role

Foreign Filer Resources

IRIS Foreign Filer Schema

[IDES Gateway](#)
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

About IDES Legal Disclosure

Figure 80 – Update a user certificate

2. Click **Browse** to upload the new certificate from your computer.

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

Beginning March 1, 2025, at 8:00 am EST, we will no longer accept new Entrust Certificates. IDES will only accept certificates issued by approved Certificate Authorities. Existing Entrust Certificates can be used until their expiration.

International Data Exchange Service (IDES) - Certificate

Please upload the new certificate.

* Required Fields

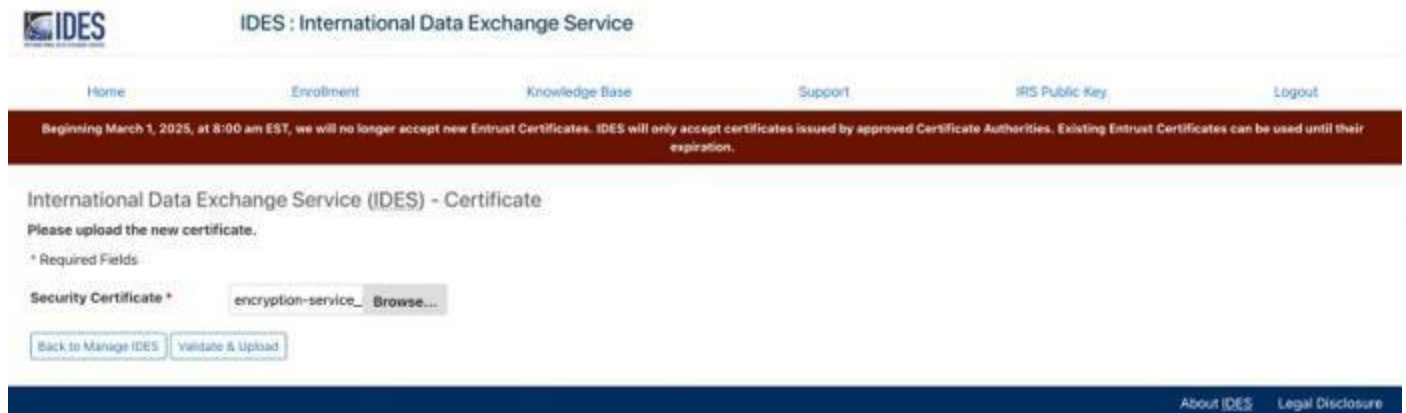
Security Certificate * **Browse...**

[Back to Manage IDES](#) [Validate & Upload](#)

About IDES Legal Disclosure

Figure 81 – Upload a digital certificate

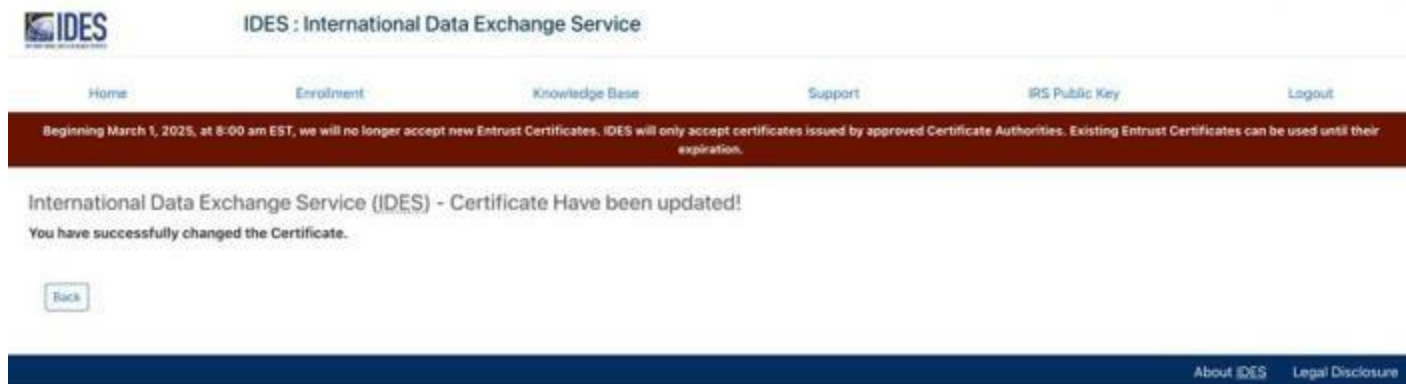
3. Click on the certificate file then click **Open** to load the file.



The screenshot shows the IDES (International Data Exchange Service) website. The header includes the IDES logo and navigation links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. A red banner at the top states: "Beginning March 1, 2025, at 8:00 am EST, we will no longer accept new Entrust Certificates. IDES will only accept certificates issued by approved Certificate Authorities. Existing Entrust Certificates can be used until their expiration." The main content area is titled "International Data Exchange Service (IDES) - Certificate" and says "Please upload the new certificate." Below this, it lists "* Required Fields:" and shows a "Security Certificate*" field with a file named "encryption-service_" and a "Browse..." button. At the bottom of the form are two buttons: "Back to Manage IDES" and "Validate & Upload". The footer contains links for "About IDES" and "Legal Disclosure".

Figure 82 – Select a digital certificate

4. Click **Validate** to complete the upload of the new certificate. If you receive a certificate error message, refer to [Appendix C: Certificate Upload Error Messages](#) for a complete list or contact [IDES Help Desk](#).
5. Review confirmation screen of successful certificate update



The screenshot shows the IDES website after a successful certificate update. The header and red banner are identical to Figure 82. The main content area is titled "International Data Exchange Service (IDES) - Certificate Have been updated!" and says "You have successfully changed the Certificate." Below this is a single "Back" button. The footer contains links for "About IDES" and "Legal Disclosure".

Figure 83 – Updated digital certificate confirmation

9.6 Update Alert Preferences

1. Click Update Alert **P**references.

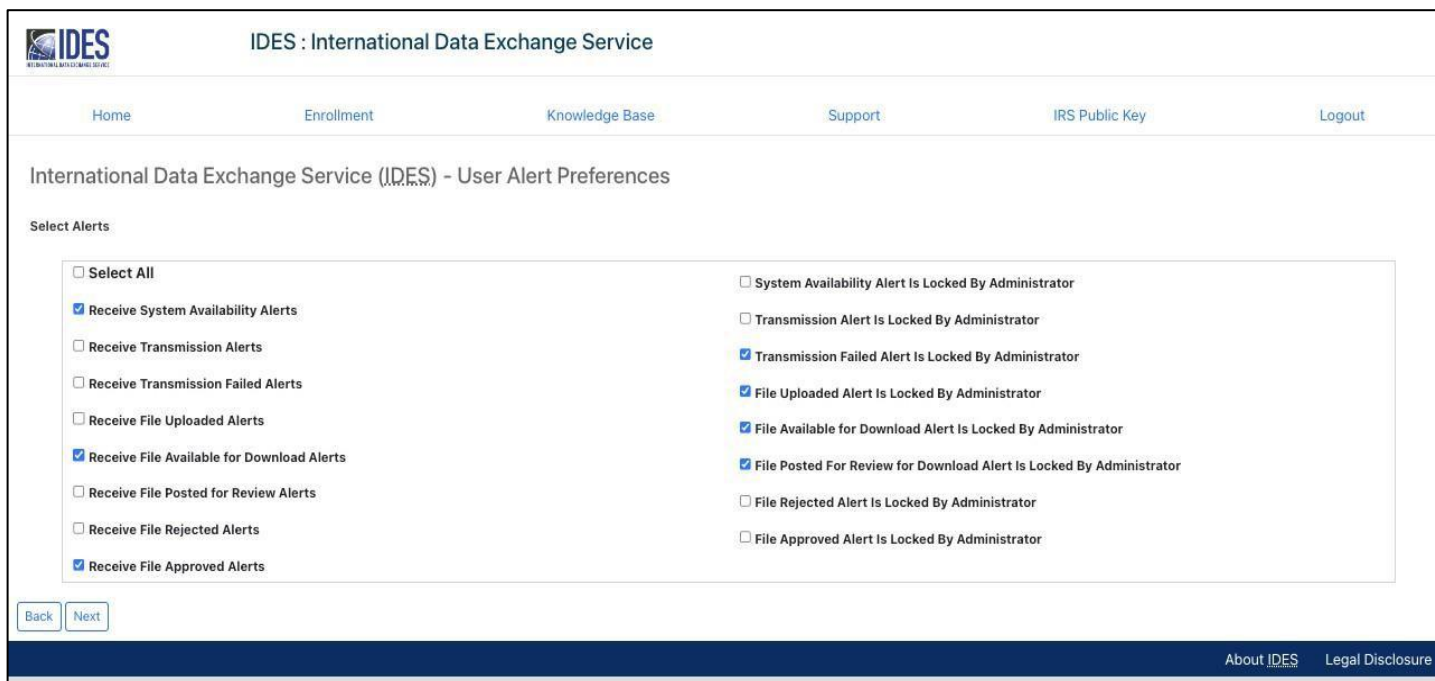
The screenshot shows the IDES : International Data Exchange Service dashboard. The header includes the IDES logo and navigation links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. The main content area displays the user's role as 'Foreign Filer TCC Certified' and provides a table with user details: GIIN (999999.99999.FF.998), Foreign Filer TCC (FOREIGN FILER), and Country (FOREIGN FILER). Below this, the 'FATCA IDES User Certificate Status' is shown as 'Valid' with an expiration date of 'Sep 26, 2026'. A 'Quick Actions' section contains buttons for 'Create Metadata File', 'Update Alert Preferences' (highlighted), 'Change Password', and 'Register for MFA'. Other sections include 'Admin Actions' (Add User, Enable User, Disable User, Update Certificate, Edit User Role) and 'Foreign Filer Resources' (IRIS Foreign Filer Schema). A footer bar contains 'About IDES' and 'Legal Disclosure' links.

Figure 84 – Update alert preferences

2. **Selected User** – Select the User to update their email alert preferences.
3. Click **N**ext.

The screenshot shows the 'Select User' page in the IDES : International Data Exchange Service. The header is identical to Figure 84. The main content area is titled 'International Data Exchange Service (IDES) - Select User' and instructs the user to 'Please select the user whom you would like to update their email alert preferences.' A 'REQUIRED FIELDS' section contains a 'Selected User *' dropdown menu with the text 'test test - test@test.com' and a downward arrow. Below the dropdown are 'Back' and 'Next' buttons. The footer bar contains 'About IDES' and 'Legal Disclosure' links.

Figure 85 – Select the user profile to update



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - User Alert Preferences

Select Alerts

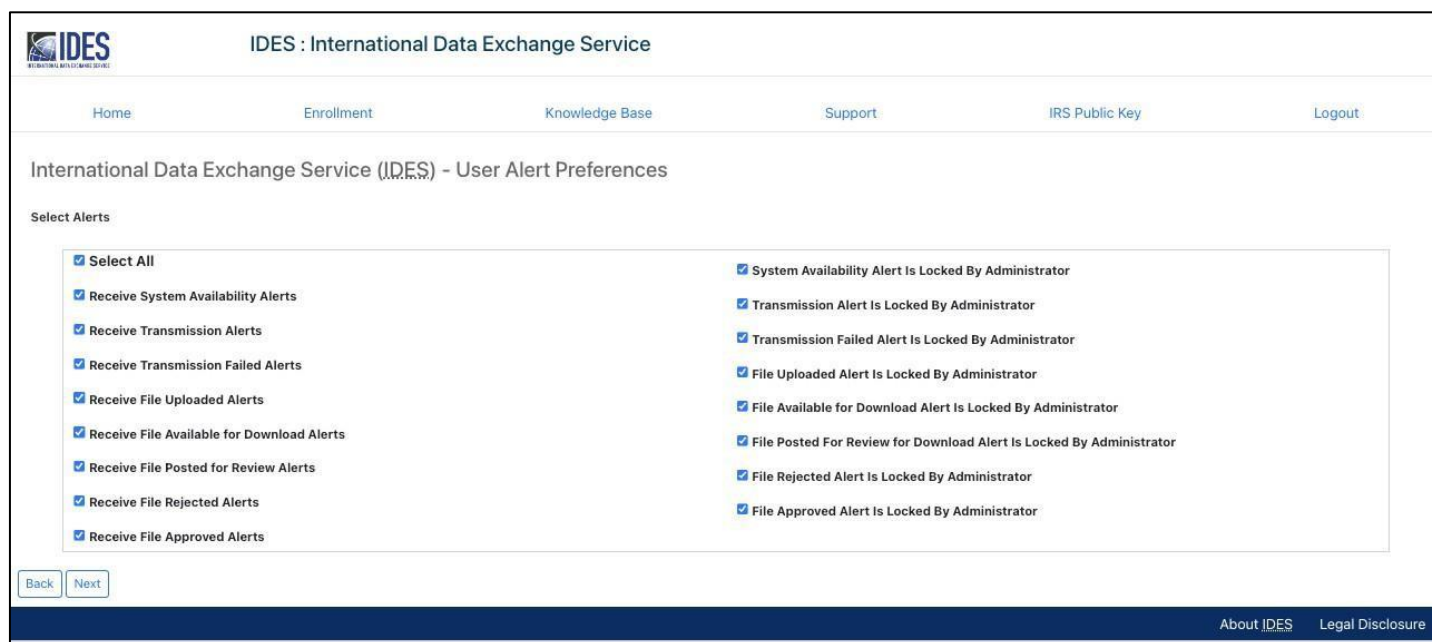
☐ Select All	☐ System Availability Alert Is Locked By Administrator
☒ Receive System Availability Alerts	☐ Transmission Alert Is Locked By Administrator
☐ Receive Transmission Alerts	☒ Transmission Failed Alert Is Locked By Administrator
☐ Receive Transmission Failed Alerts	☒ File Uploaded Alert Is Locked By Administrator
☐ Receive File Uploaded Alerts	☒ File Available for Download Alert Is Locked By Administrator
☒ Receive File Available for Download Alerts	☒ File Posted For Review for Download Alert Is Locked By Administrator
☐ Receive File Posted for Review Alerts	☐ File Rejected Alert Is Locked By Administrator
☐ Receive File Rejected Alerts	☐ File Approved Alert Is Locked By Administrator
☒ Receive File Approved Alerts	

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About IDES Legal Disclosure

Figure 86 – Select new alert preferences

- User** – Verify the username to update the alert preferences.
- Select the **Select All** checkbox to choose all alerts or to remove all alerts. Click the checkbox next to the Alert(s) to receive via email.
- Select the checkbox next to the item description to lock the setting for each alert. The user cannot make changes to their alert preferences. The administrator will need to make any future changes to the alert preferences and or unlock user alert preferences. There are eight Alert Preferences. Refer to [10.4 Select Alert Preferences](#) for full instructions.



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - User Alert Preferences

Select Alerts

☒ Select All	☒ System Availability Alert Is Locked By Administrator
☒ Receive System Availability Alerts	☒ Transmission Alert Is Locked By Administrator
☒ Receive Transmission Alerts	☒ Transmission Failed Alert Is Locked By Administrator
☒ Receive Transmission Failed Alerts	☒ File Uploaded Alert Is Locked By Administrator
☒ Receive File Uploaded Alerts	☒ File Available for Download Alert Is Locked By Administrator
☒ Receive File Available for Download Alerts	☒ File Posted For Review for Download Alert Is Locked By Administrator
☒ Receive File Posted for Review Alerts	☒ File Rejected Alert Is Locked By Administrator
☒ Receive File Rejected Alerts	☒ File Approved Alert Is Locked By Administrator
☒ Receive File Approved Alerts	

Back Next

About IDES Legal Disclosure

Figure 87 – User alert preferences updated

- Click **Next**. Alert preferences have been saved.

Account Update Notice

This notice is to inform you that details of your account in the IDES enrollment site have recently been updated.

Here is your login information:

IDES Support: <http://www.ides-support.com>

Your username :

Need Help?

If you need help using IDES or you have questions about IDES policies, we're here for you. We're also always looking for ways to improve IDES so please tell us how we can make IDES work better for you.

You can reach us by phone at 1-800-613-IDES (4337) or by e-mail at helpdesk@ides-support.com. IDES Customer Support is available Monday through Friday from 8 a.m. to 5 p.m. local time except on U.S. Federal Holidays. (Don't reply to this e-mail because these e-mails are sent automatically and replies won't reach a live person.)

We're excited that you've joined IDES and we're committed to helping your Financial Institution or Country ensure an easy Data Exchange.

Regards,
The IDES Team

Figure 88 – Email confirmation for updated user alert preference

8. The User will receive an email stating that their preferences have been updated.

9.7 Create a Metadata File

Metadata is a collection of data about the content and characteristics of the Foreign Filer transmission files. It is used to ensure the transmission archives are correctly processed. The metadata file will be included in the transmission archive and can also be created during the data preparation phase. Foreign Filer TCC account users should create and validate metadata files using the IRIS Foreign Filer Schema available for download under the Foreign Filer Resources once logged in and enrolled in IDES (see Section [7 Foreign Filer Administrators](#)).

1. Click **Create Metadata File**

The screenshot displays the IDES (International Data Exchange Service) user interface. At the top, the IDES logo and name are shown, along with navigation links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. Below the navigation bar, the user is logged in as a Foreign Filer TCC Certified user. The main content area is divided into several sections:

- International Data Exchange Service (IDES) - Foreign Filer TCC Certified**: A message stating the user is logged in to manage their Foreign Filer TCC.
- Foreign Filer TCC Table**: A table with columns GIIN, Foreign Filer TCC, and Country. The first row shows GIIN 999999.9999.FF.998, Foreign Filer TCC FOREIGN FILER, and Country FOREIGN FILER. Below the table, the Certificate Effective Dates are listed: Fri Sep 26 00:00:00 UTC 2025 to Sat Sep 26 23:59:59 UTC 2026.
- FATCA IDES User Certificate Status**: A table with columns Status, Expiration Date, and Action Required. The first row shows Status Valid, Expiration Date Sep 26, 2026, and Action Required None.
- Not your Foreign Filer TCC?**: A link to the user's profile.
- Quick Actions**: A section with buttons for **Create Metadata File**, Update Alert Preferences, Change Password, and Register for MFA.
- Admin Actions**: A section with buttons for Add User, Enable User, Disable User, Update Certificate, and Edit User Role.
- Foreign Filer Resources**: A section with a link to the IRIS Foreign Filer Schema.
- Related Items**: A section with links to FATCA Information, International Data Exchange Information, and Regulation and Other Guidance.

At the bottom of the page, there are links for About IDES and Legal Disclosure.

Figure 89 – Create a metadata file



International Data Exchange Service (IDES) - Metadata

Please update the metadata information before downloading the file.

* Required Fields

Sender (Foreign Filer TCC) *

GIIN of Sender Submitting this Report.

Receiver (IRS GIIN) *

GIIN of Recipient receiving this Report (IRS GIIN)

Transmission Type *

Transmission is a FATCA Report (RPT) or Notification (NTF) Communication.

FATCA Report (Default) **Notification File Format ***

Notification file format.

XML – Extensible markup language (Default) **Notification Binary Encoding ***

Notification binary encoding.

NONE - No special encoding (Default) **Transmission Filename ***

File name created by sender for this report.

Transmission Timestamp *

Timestamp created by the sender transmission.

Tax Year *

Indicates Tax Year for this Report.

☐ Is this a Revised**Original File Transmission ID**

IDES Transmission ID Referencing an update to an earlier Transmission.

Sender Email *

User's Email Address

Download File As: *

You can download this file as an XML or Text file.

Select Format [Back](#) [Download](#)

Figure 90 – Enter metadata file information

2. **Sender (Foreign Filer TCC)** – Enter the TCC GIIN of Sender Submitting Report.
3. **Receiver (IRS) GIIN** – Enter the GIIN of Recipient receiving Report.
4. **Transmission Type** – Select the transmission type (for Foreign Filer(s), the transaction type(s) are still applicable):
 - a. **RPT** = FATCA Report (Default)(also applicable for Foreign Filer(s))
 - b. **NTF** = FATCA Notification
5. **Notification File Format** – Select the file format of the message transmitted:
 - a. **XML** – Extensible markup language (Default)
 - b. **PDF** – Portable document format (IRS use only)
 - c. **TXT** – Plain text (Reserved. Do not use)
 - d. **RTF**– Rich text format (Reserved. Do not use)
 - e. **JPG** – Joint photographic group format (Reserved. Do not use)

6. **Notification Binary Encoding (Optional)** – Enter the binary encoding scheme code type:

- a. NONE – No special encoding (Default)
- b. BASE64 – Base64 encoding (IRS use only)

Note: User must comply with the file format types below and binary encoding pairing types:

File Type	Binary Encoding Type
XML	NONE
PDF	Base64
TXT	NONE or Base64
RTF	Base64
JPG	Base64

Table 10 – Metadata File Type and Binary Encoding Type Pairing

7. **Transmission Filename** – Enter the transmission file name of the file being uploaded.
8. **Transmission Timestamp** – Reference the timestamp created by the sender transmission.
9. **Tax Year** – Enter the reporting data tax year.
10. **Is This a Revised** – Select checkbox if the report is a revision to a previously uploaded file.
11. **Original File Transmission ID (Optional)** – Enter the file name of the original file.
12. **Sender Email (Optional)** – Enter your email address.
13. **Download File As:** The default is to download as XML; you can also choose to download as TXT format.
14. Click **Download**.

```
<?xml version="1.0" encoding="UTF-8"?>
<FATCAIDESSenderFileMetadata xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xmlns="urn:fatca:idesenderfilemetadata">
  <FATCAEntitySenderId>000000.00000.TA.124</FATCAEntitySenderId>
  <FATCAEntityReceiverId>000000.00000.TA.840</FATCAEntityReceiverId>
  <FATCAEntCommunicationTypeCd>RPT</FATCAEntCommunicationTypeCd>
  <SenderFileId>000000.00000.TA.124_Payload.xml</SenderFileId>
  <FileFormatCd>XML</FileFormatCd>
  <BinaryEncodingSchemeCd>NONE</BinaryEncodingSchemeCd>
  <FileCreateTs>2015-06-30T00:00:00Z</FileCreateTs>
  <TaxYear>2014</TaxYear>
  <FileRevisionInd>true</FileRevisionInd>
  <OriginalIDESTransmissionId>c19d4f557daf461fbb6d601b74c821a2</OriginalIDESTransmissionId>
</FATCAIDESSenderFileMetadata>
```

Figure 91 – Metadata sample image

15. **Save** the Metadata File. The file name for the FATCA XML metadata file is **FATCAEntitySenderId_Metadata.xml**. Note: Foreign Filers should use their Foreign Filer TCC GIIN as the "FATCAEntitySenderId".

9.8 Reset Password

Foreign Filer administrators can reset the passwords of all end users under the administrator account.

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Foreign Filer TCC Certified
You have logged into IDES to manage your Foreign Filer TCC.

GIIN	Foreign Filer TCC	Country
999999.99999.FF.998	FOREIGN FILER	FOREIGN FILER

Certificate Effective Dates: Fri Sep 26 00:00:00 UTC 2025 to Sat Sep 26 23:59:59 UTC 2026

FATCA IDES User Certificate Status

Status	Valid
Expiration Date	Sep 26, 2026
Action Required	None

[Not your Foreign Filer TCC?](#)

Quick Actions

Create Metadata File Update Alert Preferences **Change Password** Register for MFA

Admin Actions

Add User Enable User Disable User Update Certificate Edit User Role

Foreign Filer Resources

IRIS Foreign Filer Schema

IDES Gateway
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

About IDES Legal Disclosure

Figure 92 – Reset a password

1. Click **Change Password**.

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Select User
Please select the user whom you would like to edit.

* REQUIRED FIELDS

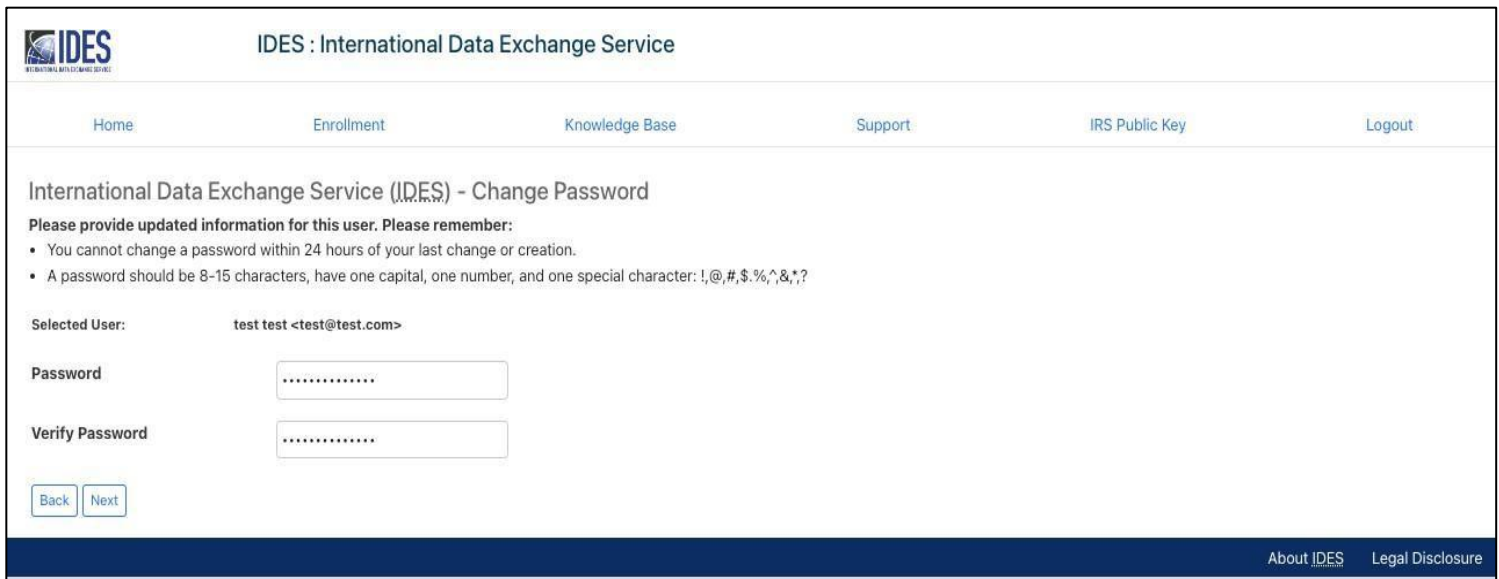
Selected User * test test - test@test.com

Back Next

About IDES Legal Disclosure

Figure 93 – Select the user to update

2. **Select User** – Click on the drop-down box to select the end user.
3. Click **Next**.

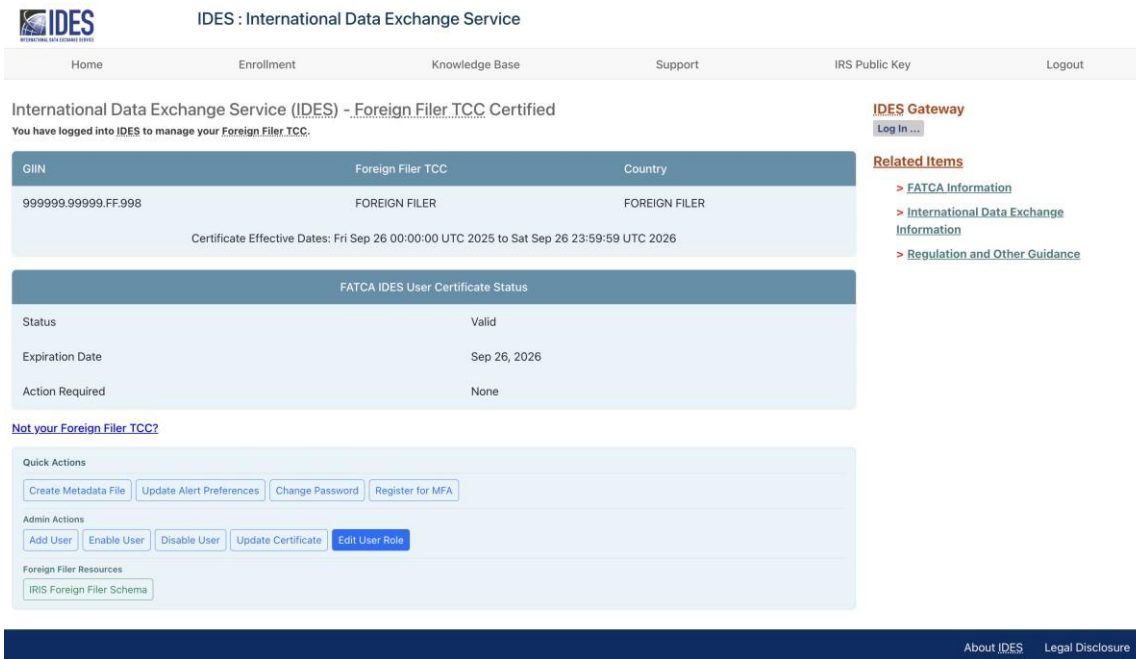


The image shows a web interface for the International Data Exchange Service (IDES). At the top, there is a header with the IDES logo and the text "IDES : International Data Exchange Service". Below the header is a navigation bar with links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. The main content area is titled "International Data Exchange Service (IDES) - Change Password". It includes a section for "Please provide updated information for this user. Please remember:" with two bullet points: "You cannot change a password within 24 hours of your last change or creation." and "A password should be 8-15 characters, have one capital, one number, and one special character: !, @, #, \$, %, ^, &, *, ?". Below this, there is a "Selected User:" field showing "test test <test@test.com>". There are two password input fields: "Password" and "Verify Password", both with masked characters. At the bottom left of the form are "Back" and "Next" buttons. At the bottom right of the page are links for "About IDES" and "Legal Disclosure".

Figure 94 – Create a new password for the selected user

4. **User** – Verify the correct user.
5. **Password** – Enter the new password.
 - a. Password Guidelines: The password must be a minimum of 14 characters and include at least one uppercase and lowercase letter, one number, and one of the designated special characters (~! @# % ^ * () ? , .). If you enter a password that does not meet the guidelines, you will receive an error message.
 - b. Once a password has been reset, it cannot be reset again for 24 hours.
 - c. You cannot reuse any of your last 24 passwords
6. **Verify Password** – Re-type your password (must match previous entry). If it does not match, you will receive an error message.
7. Click **Next** to complete password update.

9.9 Edit User Role



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Foreign Filer TCC Certified
You have logged into IDES to manage your Foreign Filer TCC.

GIIN	Foreign Filer TCC	Country
999999.99999.FF.998	FOREIGN FILER	FOREIGN FILER

Certificate Effective Dates: Fri Sep 26 00:00:00 UTC 2025 to Sat Sep 26 23:59:59 UTC 2026

FATCA IDES User Certificate Status	
Status	Valid
Expiration Date	Sep 26, 2026
Action Required	None

[Not your Foreign Filer TCC?](#)

Quick Actions

Create Metadata File Update Alert Preferences Change Password Register for MFA

Admin Actions

Add User Enable User Disable User Update Certificate **Edit User Role**

Foreign Filer Resources

IRIS Foreign Filer Schema

[Log In ...](#)

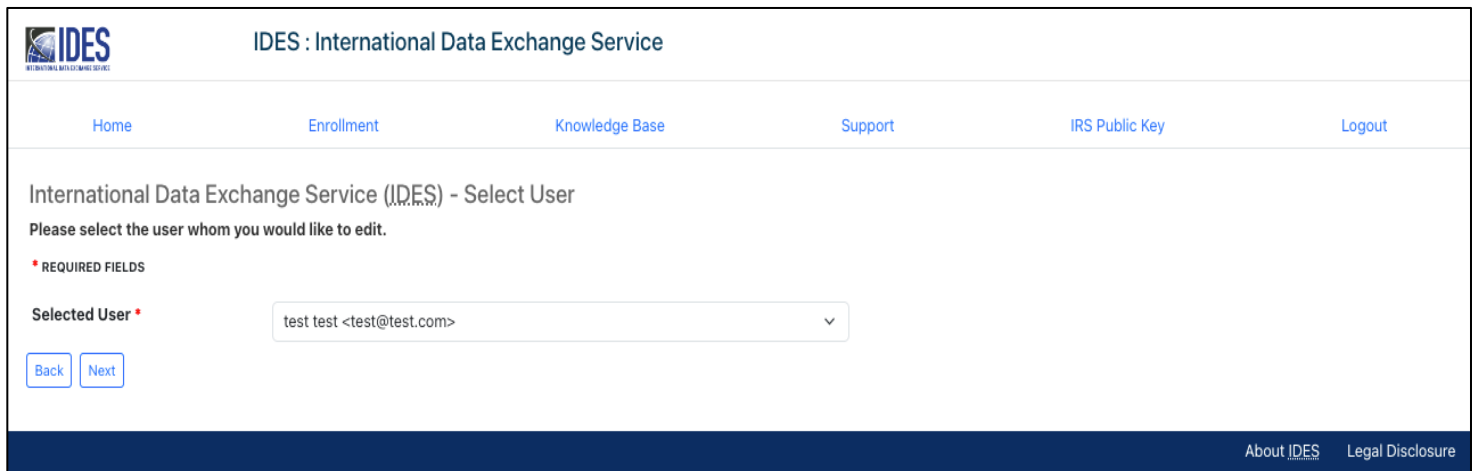
[Related Items](#)

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

About IDES Legal Disclosure

Figure 95 – Edit user role

1. Click **Edit User Role**.



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Select User
Please select the user whom you would like to edit.

* REQUIRED FIELDS

Selected User * test test <test@test.com>

Back Next

About IDES Legal Disclosure

Figure 96 – Select user to update

2. Select the User to be updated from the drop-down box.
3. Click **Next**.



IDES : International Data Exchange Service

[Home](#)
[Enrollment](#)
[Knowledge Base](#)
[Support](#)
[IRS Public Key](#)
[Logout](#)

International Data Exchange Service (IDES) - Edit User Role

Selected User:

test test test@test.com

REQUIRED FIELDS

Selected Role

Admin-User

Back

Save

[About IDES](#)
[Legal Disclosure](#)

Figure 97 – Select new role for user

4. Select the applicable User role from the drop-down box.

5. Admin: User: Allows user changes to the account with no restrictions.

6. End User: Allows user to reset password, update Alert Preferences (if not locked by the administrator), download the metadata file and download the IRS public key.

7. Click **Save**.



IDES : International Data Exchange Service

[Home](#)
[Enrollment](#)
[Knowledge Base](#)
[Support](#)
[IRS Public Key](#)
[Logout](#)

International Data Exchange Service (IDES) - Foreign Filer TCC Certified

You have logged into IDES to manage your Foreign Filer TCC.

GIIN	Foreign Filer TCC	Country
999999.99999.FF.998	FOREIGN FILER	FOREIGN FILER
Certificate Effective Dates: Fri Sep 26 00:00:00 UTC 2025 to Sat Sep 26 23:59:59 UTC 2026		

FATCA IDES User Certificate Status

Status

Valid

Expiration Date

Sep 26, 2026

Action Required

None

[Not your Foreign Filer TCC?](#)

Quick Actions

Create Metadata File

Update Alert Preferences

Change Password

Register for MFA

Admin Actions

Add User

Enable User

Disable User

Update Certificate

Edit User Role

Foreign Filer Resources

IRIS Foreign Filer Schema

IDES Gateway

Log In ...

Related Items

> FATCA Information

> International Data Exchange Information

> Regulation and Other Guidance

[About IDES](#)
[Legal Disclosure](#)

Figure 98 – Completed add user – return to user dashboard

9.10 Download the IRS Public Key

The IRS Public Key should be included in the transmission archive .zip file that is uploaded through the IDES Gateway.

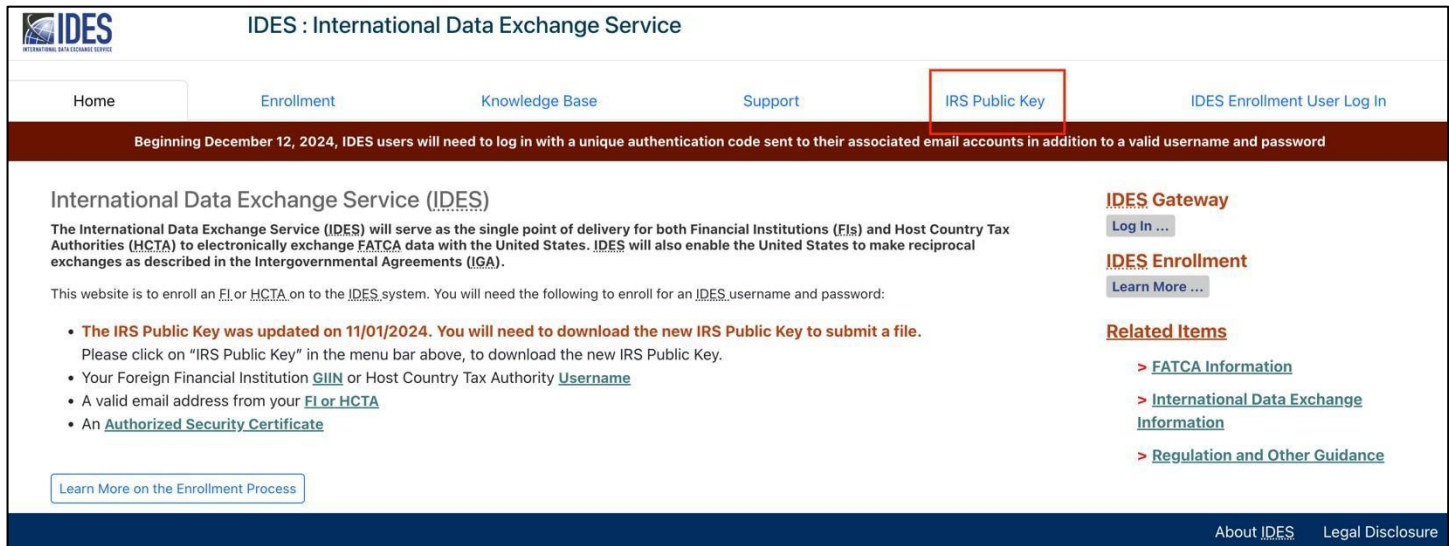


Figure 99 – Download the IRS public key

1. From the [IDES Enrollment home page](#), click the **IRS Public Key** tab to download the IRS Public Key certificate to your computer.

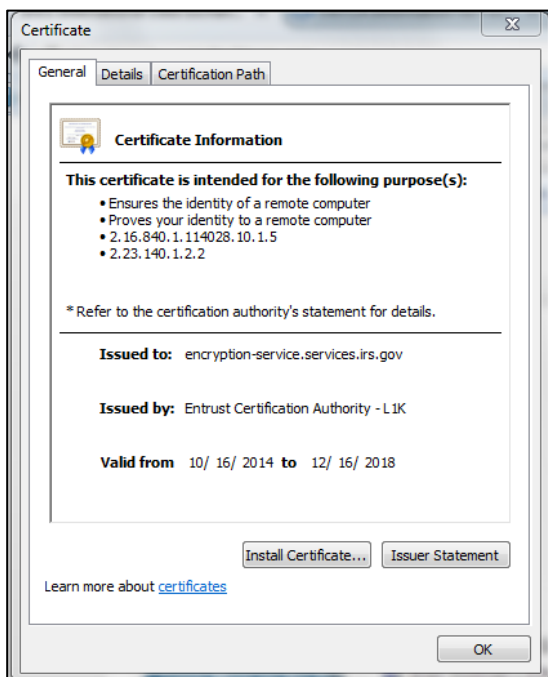


Figure 100 – General certificate information

2. This certificate should be included in the reporting transmission archive you upload and transmit to the IRS via the IDES Gateway.

10 End Users

End users are added by the HCTA, FI or Foreign Filer administrator. End users will receive an Email Registration Invitation from the IDES Help Desk to complete the IDES enrollment process. The link within the email is valid for 48 hours.

10.1 Create an Account

Welcome to the International Data Exchange Service. Your corporate Administrator has registered you as an authorized user. Here is your login information:

Just follow the steps below to get started:

1. Click on [this link](#) to go to the International Data Exchange Services Enrollment Site to Enroll.
2. Create your password challenge questions.
This is really important because if you ever forget your password, you can answer the password challenge questions you created and reset your password without having to contact us.
3. Create your username and Password

SHARING USER IDs AND PASSWORDS IS NOT ALLOWED so if you have additional people who will use IDES, they must obtain their own user IDs. You're ultimately responsible for any activity associated with your user ID's so don't share your password with anyone—and that includes us. (If you ever contact our help desk, we'll never ask for your password either.)

Need Help?

If you need help using IDES or you have questions about IDES policies, we're here for you. We're also always looking for ways to improve IDES so please tell us how we can make IDES work better for you.

You can reach us by phone at 1-800-613-IDES (4773) or by e-mail at helpdesk@ides-support.com. IDES Help Desk is available Monday through Friday from 8 a.m. to 5 p.m. local time except on U.S. federal holidays. (Don't reply to this e-mail because these e-mails are sent automatically and replies won't reach a live person.)

We're excited that you've joined IDES and we're committed to helping your organization Exchange Data.

Regards,
The IDES Help Desk

Figure 101 – IDES new end user welcome email

1. The new end user will receive a copy of the above email.
2. Users will click on **this link** within the email to complete the IDES enrollment process.

10.2 Create Challenge Questions

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key [IDES Enrollment User Log In](#)

International Data Exchange Service (IDES) - Challenge Questions

Please provide the challenge questions and answers for the user.

Challenge Question #1

Question 1: What year was your mother born?

Answer 1: ...

Challenge Question #2

Question 2: In what city did you live at age 16?

Answer 2: ...

[Back](#) [Next](#)

IDES Gateway
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

[About IDES](#) [Legal Disclosure](#)

Figure 102 – Create IDES challenge questions

1. **Challenge Question #1**
 - c. Question: Select the drop-down arrow to view a list of questions. Select a challenge question.
 - d. Answer: Type a response to the challenge question.
2. **Challenge Question #2**
 - c. Question: Select the drop-down arrow to view a list of questions. Select a challenge question.
 - d. Answer: Type a response to the challenge question.
3. Click **Next** to continue and set up a **Username**.

IMPORTANT: Remember to document your answers to your challenge questions. Users will need these to reset password or to contact the [IDES Help Desk](#). Note that challenge question responses must exactly match the responses as originally submitted.

10.3 Create User Profile

The screenshot shows the 'IDES : International Data Exchange Service' website. The 'Enrollment' tab is selected. The page title is 'International Data Exchange Services (IDES) - User Info'. Below the title, it says 'Please provide the user profile information'. A section labeled '* REQUIRED FIELDS' contains a red-bordered box around the following input fields: Username*, First Name*, Last Name*, Email Address*, Verify Email*, Password*, and Verify Password*. To the right of the form, there are links for 'IDES Gateway Log In...', 'IDES Enrollment Learn More...', and 'Related Items' which include links to 'FATCA Information', 'International Data Exchange Information', and 'Regulation and Other Guidance'. At the bottom left of the form, there is a 'Select Alerts' section with a 'Check All/None' link and several checkboxes for different alert types. At the bottom of the form, there are 'Back' and 'Next' buttons. The footer of the page includes 'About IDES' and 'Legal Disclosure' links.

Figure 103 – Submit user profile information

1. **Username** – Enter your new username. We recommend first initial and last name. If the username is already taken you will receive an error message.
2. **First Name** – Enter your first name.
3. **Last Name** – Enter your last name.
4. **Email** – Enter your email address. The email address can be a personal email address or a shared mailbox address.
5. **Verify Email** – Enter your email address again (must match the previous entry). If it does not match, you will receive an error message.
 - a. **Password** – Create a valid password. The password must be 8-20 characters and include at least one uppercase and lowercase letter, one number, and one of the designated special characters (~ ! @ # % ^ *) ? , .).
 - b. If you enter a password that does not meet the guidelines, you will receive an error message.
6. **Verify Password** – Re-type your password (must match the previous entry). If it does not match, you will receive an error message.

10.4 Select Alert Preferences

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key [IDES Enrollment User Log In](#)

International Data Exchange Services (IDES) - User Info
Please provide the user profile information

*** REQUIRED FIELDS**

Username*

First Name*

Last Name*

Email Address*

Verify Email*

Password*

Verify Password*

Select Alerts

☐ Check All/None

☐ Receive System Availability Alerts ☐ Receive Transmission Alerts

☐ Receive Transmission Failed Alerts ☐ Receive File Uploaded Alerts

☐ Receive File Available for Download Alerts ☐ Receive File Posted for Review Alerts

☐ Receive File Rejected Alerts ☐ Receive File Approved Alerts

[Back](#) [Next](#)

IDES Gateway
[Log In ...](#)

IDES Enrollment
[Learn More ...](#)

Related Items

- [> FATCA Information](#)
- [> International Data Exchange Information](#)
- [> Regulation and Other Guidance](#)

About IDES Legal Disclosure

Figure 104 – Select IDES alert preferences

1. **Select Alert Preferences** – Click on the box next to the alerts you wish to receive by email. You can click the **Check All/None** box to choose all alerts or to remove all alerts. You must select user preferences to receive alerts. There are eight Alert Preferences.

Alert Preference	Description
a. System Availability Alert	IDES Enrollment and/or IDES Gateway are unavailable.
b. Transmission Failed Alert	Transmission uploaded via the IDES Gateway failed for one of several reasons (e.g., virus, encryption validation, naming convention, package content). The email will have an alert code that you will need to look up on the IDES Gateway to determine the reason the transmission failed.
c. File Available for Download Alert	The user has a file to download on the IDES Gateway.
d. File Rejected Alert (Model 1 Option 2 only)	Transmission upload was rejected by the HCTA. The email will have an alert code that you will need to look up on the IDES Gateway to determine the reason the transmission was rejected.
e. Transmission Alert	Receive all IDES Alerts (See Alerts b,c,d,f,g,h).
f. File Uploaded Alert	Received transmission is uploaded to the IRS for review.
g. File Posted for Review Alert (Model 1 Option 2 only)	Sent to the HCTA when an FI uploads a report.
h. File Approved Alert (Model 1 Option 2 only)	Sent after the HCTA has approved the FI file.

Table 11 – IDES Alert Preferences

2. Click **Next** to continue to complete enrollment process.

The screenshot shows the 'IDES : International Data Exchange Service' header with a navigation bar containing 'Home', 'Enrollment', 'Knowledge Base', 'Support', 'IRS Public Key', and 'IDES Enrollment User Log In'. The main content area is titled 'International Data Exchange Services (IDES) - Enrollment Complete' and states 'You have successfully enrolled.' Below this, it says 'Log in to add additional users and access other functionality' and provides a button for 'IDES Enrollment User Log In'. On the right side, there is a section for 'IDES Gateway' with a 'Log In ...' button, and a 'Related Items' section with links to 'FATCA Information', 'International Data Exchange Information', and 'Regulation and Other Guidance'. The footer includes 'About IDES' and 'Legal Disclosure'.

Figure 105 – Enrollment confirmation

3. You have completed the enrollment process as an end user. You will also receive an email from the IDES Help Desk that verifies your authorization to access the IDES Gateway.
4. Click **IDES Enrollment User Log In** to log in as an end user.

10.5 IDES Enrollment User Log In

1. Access the IDES Enrollment site at www.ides-support.com

The screenshot shows the 'IDES : International Data Exchange Service' header with a navigation bar containing 'Home', 'Enrollment', 'Knowledge Base', 'Support', 'IRS Public Key', and 'IDES Enrollment User Log In'. The main content area is titled 'International Data Exchange Service (IDES) - Log In' and states 'Log in to your account here.' Below this, there is a list of links: 'Download the Metadata File', 'Update Your Personal User Alert Preferences', and 'Update Your Password'. A section titled 'REQUIRED FIELDS' contains two input fields: 'Username *' and 'Password *', each with a 'Forgot' link. A 'Log In' button is located below the password field. On the right side, there is a section for 'IDES Gateway' with a 'Log In ...' button, and a 'Related Items' section with links to 'FATCA Information', 'International Data Exchange Information', and 'Regulation and Other Guidance'. The footer includes 'About IDES' and 'Legal Disclosure'.

Figure 106 – IDES enrollment user log in page

2. Click on the **IDES Enrollment User Log In** tab.

Figure 107 – Log in to the IDES enrollment site

3. **Username** – Enter Username
4. **Password** – Enter Password
5. Click **Log in**

Figure 108 – MFA Code Verification Screen

6. After a successful login with a valid **User ID** and **Password**, the web page will request your **Multi-Factor Authentication (MFA) Code**. This code will be emailed to the email address associated with the User ID.
7. Type in your **MFA Code** and click **Verify**.

Note: Remaining screen captures, where applicable, in this section will provide screen captures for FATCA Report end users and Foreign Filer(s) end users, respectively for illustration purposes.

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - FI or HCTA Certified
You have logged into IDES to manage your FI or HCTA.

GIIN	FI or HCTA	Country
7G8H9I.77777.SL.840	Test Account	United States Of America

Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024

[Not your FI or HCTA?](#)

[Create Metadata File](#) [Update Alert Preferences](#) [Change Password](#)

IDES Gateway
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

[About IDES](#) [Legal Disclosure](#)

Figure 109 - Manage an IDES user account

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Foreign Filer TCC Certified
You have logged into IDES to manage your Foreign Filer TCC.

GIIN	Foreign Filer TCC	Country
999999.99999.FF.998	FOREIGN FILER	FOREIGN FILER

Certificate Effective Dates: Fri Sep 26 00:00:00 UTC 2025 to Sat Sep 26 23:59:59 UTC 2026

[Not your Foreign Filer TCC?](#)

FATCA IDES User Certificate Status

Status	Valid
Expiration Date	Sep 26, 2026
Action Required	None

Quick Actions

[Create Metadata File](#) [Update Alert Preferences](#) [Change Password](#) [Register for MFA](#)

Foreign Filer Resources

[IRIS Foreign Filer Schema](#)

IDES Gateway
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

[About IDES](#) [Legal Disclosure](#)

Figure 110 - Manage a Foreign Filer user account

8. You are now signed in (where applicable, screen captures will provide user login screens for FATCA end users and Foreign Filer end users, respectively).

You can perform three functions from this screen:

- a. **Create a Metadata File.**
- b. **Update Alert Preferences.**
- c. **Change Password.**
- d. **Register for MFA.**

IMPORTANT: Only an IDES administrator can upload a digital certificate.

10.6 Create a Metadata File

Metadata is a collection of data about the content and characteristics of the FATCA reporting files. It is used to ensure the transmission archives are correctly processed. The metadata file will be included in the transmission archive and can also be created during the data preparation phase. HCTAs and FIs should create and validate metadata files using the [FATCA IDES Metadata XML Schema v2.0](#). Foreign Filer TCC account users should create and validate metadata files using the IRIS Foreign Filer Schema available for download under the Foreign Filer Resources IDES dashboard action once logged in and enrolled in IDES (see Section [7 Foreign Filer Administrators](#)).

The screenshot shows the IDES : International Data Exchange Service dashboard for a user who is FI or HCTA Certified. The dashboard includes a navigation bar with links for Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. The main content area displays the user's login status and a table with their account information.

GIIN	FI or HCTA	Country
7G8H9L7777.SL.840	Test Account	United States Of America

Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024

Not your FI or HCTA?

[Create Metadata File](#) [Update Alert Preferences](#) [Change Password](#)

[About IDES](#) [Legal Disclosure](#)

Figure 111 – Create a metadata file – FATCA Report end users

The screenshot shows the IDES : International Data Exchange Service dashboard for a user who is Foreign Filer TCC Certified. The dashboard includes a navigation bar with links for Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. The main content area displays the user's login status and a table with their account information.

GIIN	Foreign Filer TCC	Country
999999.99999.FF.998	FOREIGN FILER	FOREIGN FILER

Certificate Effective Dates: Fri Sep 26 00:00:00 UTC 2025 to Sat Sep 26 23:59:59 UTC 2026

Not your Foreign Filer TCC?

[Create Metadata File](#) [Update Alert Preferences](#) [Change Password](#) [Register for MFA](#)

Foreign Filer Resources

[IRIS Foreign Filer Schema](#)

[About IDES](#) [Legal Disclosure](#)

Figure 112 – Create a metadata file – Foreign Filer(s) end users

1. From the **Manage FI** tab, click **Create Metadata File**.
2. Refer to Sections [8.7](#) and [9.7](#) **Create a Metadata File** for full instructions for HCTAs/FIs and Foreign Filers, respectively.

10.7 Update Alert Preferences



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - FI or HCTA Certified
You have logged into IDES to manage your FI or HCTA.

GIIN	FI or HCTA	Country
7G8H9I.77777.SL.840	Test Account	United States Of America

Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024

[Not your FI or HCTA?](#)

Create Metadata File **Update Alert Preferences** Change Password

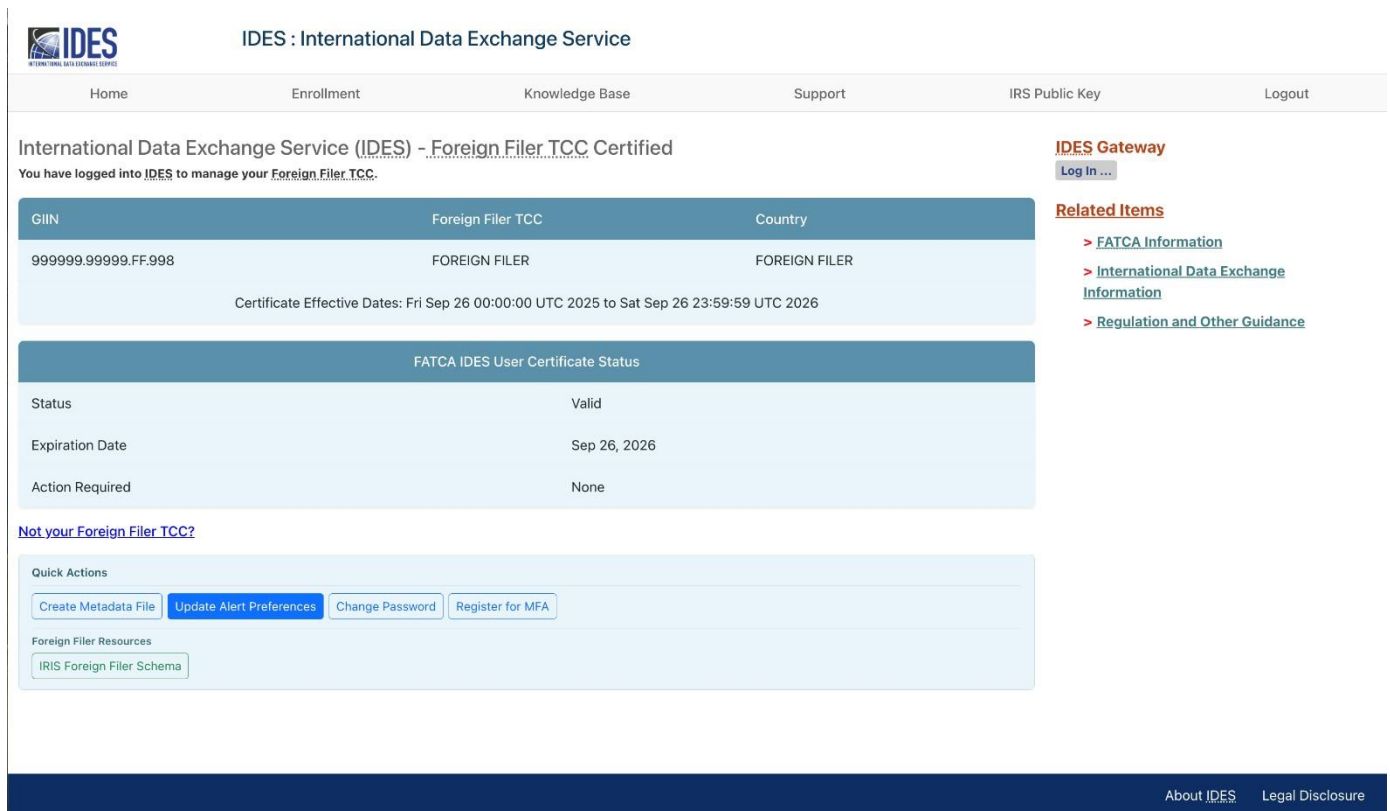
IDES Gateway
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

About IDES Legal Disclosure

Figure 113 – Update IDES alert preferences – FATCA Report end users



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Foreign Filer TCC Certified
You have logged into IDES to manage your Foreign Filer TCC.

GIIN	Foreign Filer TCC	Country
999999.99999.FF.998	FOREIGN FILER	FOREIGN FILER

Certificate Effective Dates: Fri Sep 26 00:00:00 UTC 2025 to Sat Sep 26 23:59:59 UTC 2026

[Not your Foreign Filer TCC?](#)

FATCA IDES User Certificate Status

Status	Valid
Expiration Date	Sep 26, 2026
Action Required	None

Quick Actions

Create Metadata File **Update Alert Preferences** Change Password Register for MFA

Foreign Filer Resources

[IRIS Foreign Filer Schema](#)

IDES Gateway
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

About IDES Legal Disclosure

Figure 114 – Update IDES alert preferences – Foreign Filer(s) end users

1. From the **Manage FI** tab, click **Update Alert Preferences**.

The screenshot shows the IDES (International Data Exchange Service) user interface. At the top, there is a header with the IDES logo and the text "IDES : International Data Exchange Service". Below the header is a navigation bar with links: Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. The main content area displays a message: "International Data Exchange Service (IDES) - User Alert Preferences Updated" followed by "You have successfully updated the email notifications for the user." Below this message is a section titled "Select Alerts" which contains a list of checkboxes for selecting alert preferences. The checkboxes are: "Select All", "Receive System Availability Alerts", "Receive Transmission Alerts", "Receive Transmission Failed Alerts", "Receive File Uploaded Alerts", "Receive File Available for Download Alerts", "Receive File Posted for Review Alerts", and "Receive File Rejected Alerts". At the bottom left of the main content area are "Back" and "Next" buttons. At the bottom right of the page is a footer with links for "About IDES" and "Legal Disclosure".

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - User Alert Preferences Updated

You have successfully updated the email notifications for the user.

Select Alerts

- ☐ Select All
- ☐ Receive System Availability Alerts
- ☐ Receive Transmission Alerts
- ☐ Receive Transmission Failed Alerts
- ☐ Receive File Uploaded Alerts
- ☐ Receive File Available for Download Alerts
- ☐ Receive File Posted for Review Alerts
- ☐ Receive File Rejected Alerts

Back Next

About IDES Legal Disclosure

Figure 115 – Selecting new alert preferences

2. Username will appear in the **User** field
3. Select the Alert(s) that you want to receive by email. If you want to receive all alerts, click the **Select All** box. Clicking it again will remove all alerts. See [10.4 Select Alert Preferences](#) for full instructions.

10.8 Reset Password

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - FI or HCTA Certified
You have logged into IDES to manage your FI or HCTA.

GIIN	FI or HCTA	Country
7G8H9I.77777.SL.826	HMRC	United Kingdom

Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024

[Not your FI or HCTA?](#)

[Create Metadata File](#) [Update Alert Preferences](#) [Change Password](#)

[About IDES](#) [Legal Disclosure](#)

IDES Gateway
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

Figure 116 – Reset a password – FATCA Report end users

IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Foreign Filer TCC Certified
You have logged into IDES to manage your Foreign Filer TCC.

GIIN	Foreign Filer TCC	Country
999999.99999.FF.998	FOREIGN FILER	FOREIGN FILER

Certificate Effective Dates: Fri Sep 26 00:00:00 UTC 2025 to Sat Sep 26 23:59:59 UTC 2026

[Not your Foreign Filer TCC?](#)

FATCA IDES User Certificate Status

Status	Valid
Expiration Date	Sep 26, 2026
Action Required	None

Quick Actions

[Create Metadata File](#) [Update Alert Preferences](#) [Change Password](#) [Register for MFA](#)

Foreign Filer Resources

[IRIS Foreign Filer Schema](#)

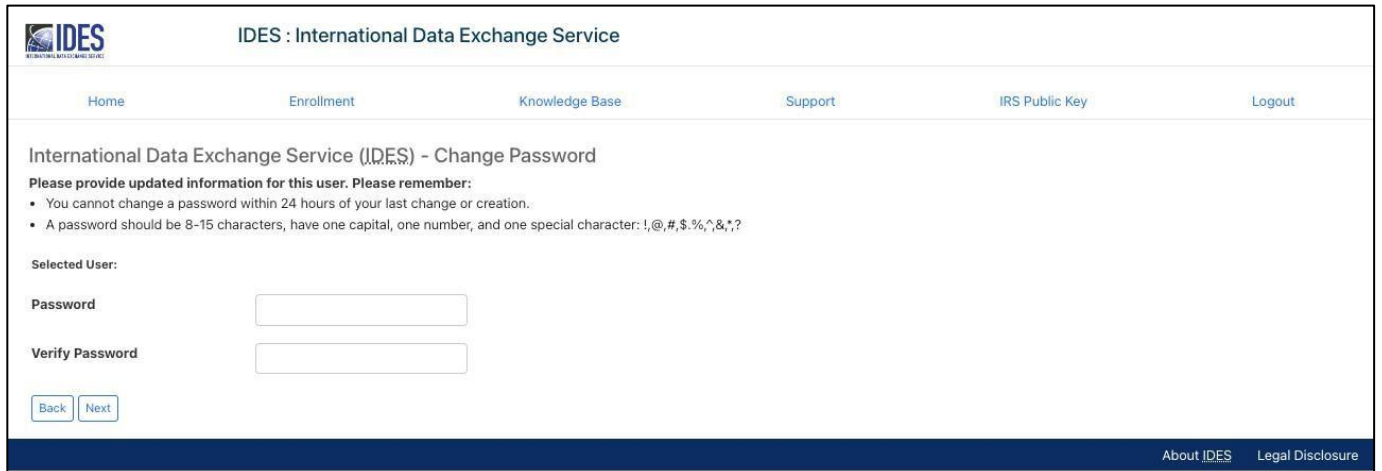
[About IDES](#) [Legal Disclosure](#)

IDES Gateway
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

Figure 117 – Reset a password – Foreign Filer(s) end users



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - Change Password

Please provide updated information for this user. Please remember:

- You cannot change a password within 24 hours of your last change or creation.
- A password should be 8-15 characters, have one capital, one number, and one special character: !, @, #, \$, %, ^, &, * ?

Selected User:

Password

Verify Password

[Back](#) [Next](#)

[About IDES](#) [Legal Disclosure](#)

Figure 118 – Create a new password

- User** – Verify your username.
- Password** – Enter a new password.
 - The password must be 8-20 characters and include at least one uppercase and lowercase letter, one number, and one of the designated special characters (~ ! @ # % ^ * () ? , .). If you enter a password that does not meet the guidelines, you will receive an error message.
 - Once a password has been reset, it cannot be reset again for 24 hours.
 - You cannot reuse any of your last 24 passwords.
- Verify Password** - Re-type your password (must match previous entry). If it does not match, you will receive an error message.
- Click **Update** to complete password update.



IDES : International Data Exchange Service

Home Enrollment Knowledge Base Support IRS Public Key Logout

International Data Exchange Service (IDES) - FI or HCTA Certified

You have logged into IDES to manage your FI or HCTA.

GIIN	FI or HCTA	Country
7G8H9I.77777.SL.840	Test Account	United States Of America
Certificate Effective Dates: Mon Oct 02 17:03:55 UTC 2023 to Sat Nov 02 17:03:54 UTC 2024		

[Not your FI or HCTA?](#)

[Create Metadata File](#) [Update Alert Preferences](#) [Change Password](#)

IDES Gateway
[Log In ...](#)

Related Items

- > [FATCA Information](#)
- > [International Data Exchange Information](#)
- > [Regulation and Other Guidance](#)

[About IDES](#) [Legal Disclosure](#)

Figure 119 – Password created - Return to FATCA Report end users IDES Dashboard



IDES : International Data Exchange Service

[Home](#)[Enrollment](#)[Knowledge Base](#)[Support](#)[IRS Public Key](#)[Logout](#)

International Data Exchange Service (IDES) - Foreign Filer TCC Certified

You have logged into IDES to manage your Foreign Filer TCC.

GIIN	Foreign Filer TCC	Country
9999999.99999.FF.998	FOREIGN FILER	FOREIGN FILER
Certificate Effective Dates: Fri Sep 26 00:00:00 UTC 2025 to Sat Sep 26 23:59:59 UTC 2026		

FATCA IDES User Certificate Status	
Status	Valid
Expiration Date	Sep 26, 2026
Action Required	None

[Not your Foreign Filer TCC?](#)

Quick Actions

[Create Metadata File](#)[Update Alert Preferences](#)[Change Password](#)[Register for MFA](#)

Foreign Filer Resources

[IRIS Foreign Filer Schema](#)

IDES Gateway

[Log In ...](#)

Related Items

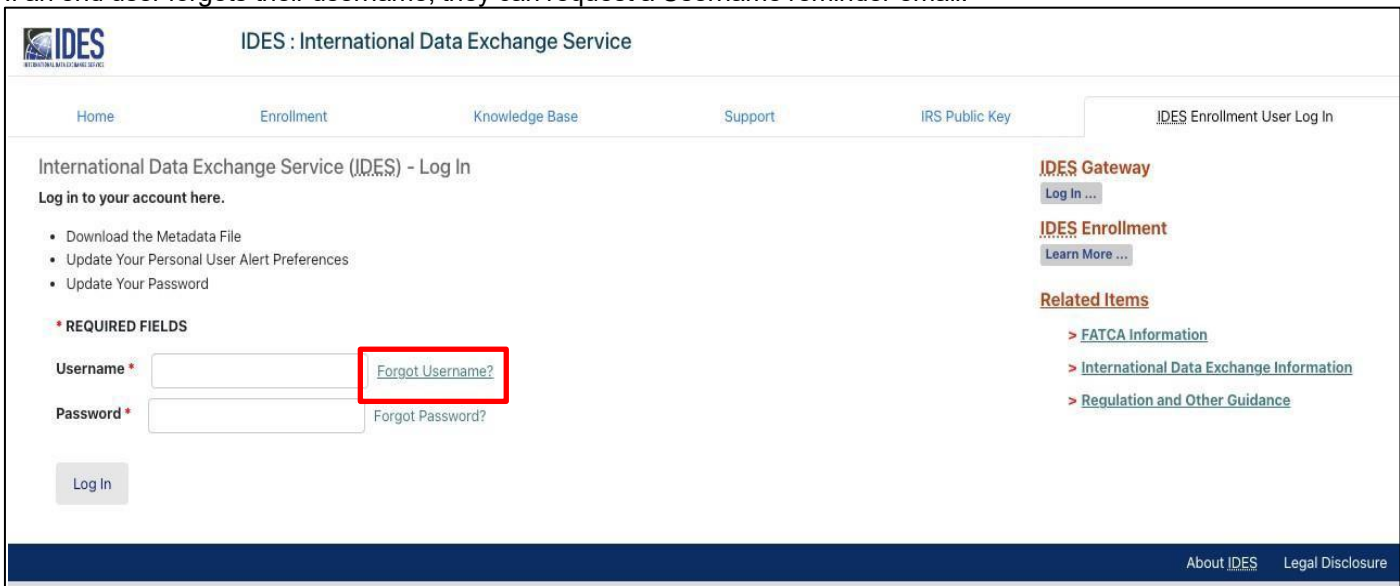
[> FATCA Information](#)[> International Data Exchange Information](#)[> Regulation and Other Guidance](#)

[About IDES](#)[Legal Disclosure](#)

Figure 120 – Password created - Return to Foreign Filer(s) end users IDES Dashboard

10.9 Forgot Username

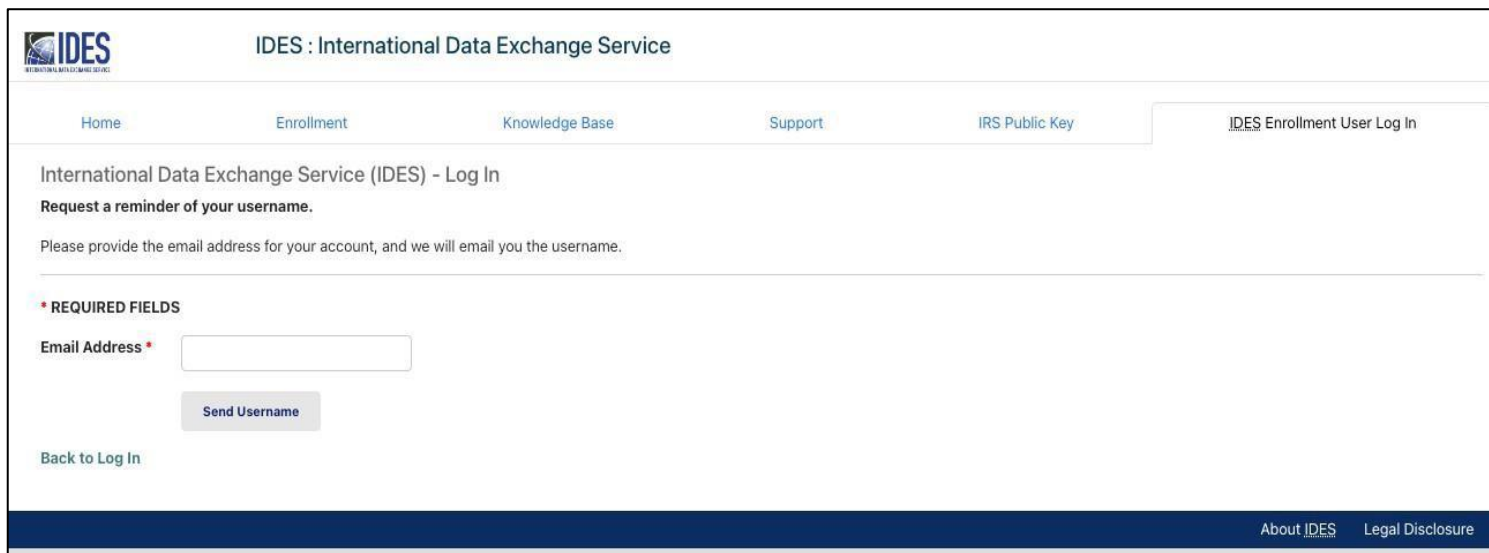
If an end user forgets their username, they can request a Username reminder email.



The screenshot shows the IDES : International Data Exchange Service login page. The navigation bar includes links for Home, Enrollment, Knowledge Base, Support, IRS Public Key, and IDES Enrollment User Log In. The main content area is titled 'International Data Exchange Service (IDES) - Log In' and includes a 'Log in to your account here.' section with links to download metadata, update alert preferences, and update password. A 'REQUIRED FIELDS' section contains input fields for Username and Password, each with a 'Forgot' link. The 'Forgot Username?' link is highlighted with a red box. To the right, there are links for IDES Gateway, IDES Enrollment, and Related Items (FATCA Information, International Data Exchange Information, Regulation and Other Guidance). The footer contains links for About IDES and Legal Disclosure.

Figure 121 – Request a username reminder email

1. Select **IDES Enrollment User Log In** tab, click **Forgot Username?**



The screenshot shows the IDES : International Data Exchange Service 'Request a reminder of your username' page. The navigation bar is the same as in Figure 121. The main content area is titled 'International Data Exchange Service (IDES) - Log In' and includes a 'Request a reminder of your username.' section. It asks the user to provide their email address and includes a 'REQUIRED FIELDS' section with an 'Email Address' input field. A 'Send Username' button is highlighted. There is also a 'Back to Log In' link. The footer contains links for About IDES and Legal Disclosure.

Figure 122 – Enter an email address for a username reminder message

2. **Email Address** – Enter the email address used to register on the IDES enrollment site.
3. Click **Send Username**.

Figure 123 – Reminder email sent confirmation

4. Confirmation page showing that username reminder email was sent.

Figure 124 – IDES username reminder email

5. Check your email for a copy of Username Reminder email. Return to the [IDES enrollment home page](#) and select the **IDES Enrollment User Log In** tab.

Figure 125 – User email address not recognized error message

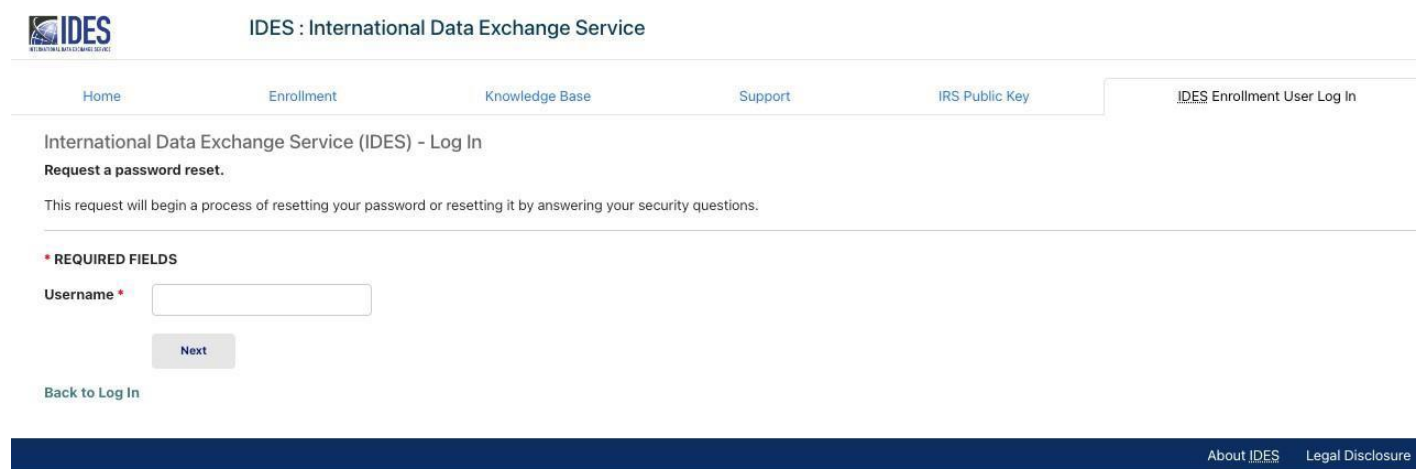
Note: If there is not an IDES account associated with the email address entered, you will receive an error message. Enter the same email that was used for enrollment. If you still receive the error after entering the correct email, contact the [Help Desk](#).

10.10 Forgot Password

Passwords can be reset on the **IDES Enrollment User Log In** tab.

Figure 126 – Forgot password reset page

1. Select **IDES Enrollment User Log In** tab, click on **Forgot Password?**



The screenshot shows the IDES (International Data Exchange Service) website. The top navigation bar includes links for Home, Enrollment, Knowledge Base, Support, IRS Public Key, and IDES Enrollment User Log In. The main heading is "International Data Exchange Service (IDES) - Log In". Below this, there is a section for "Request a password reset." with a subtext: "This request will begin a process of resetting your password or resetting it by answering your security questions." A section titled "* REQUIRED FIELDS" contains a "Username *" input field and a "Next" button. A "Back to Log In" link is also present. At the bottom right, there are links for "About IDES" and "Legal Disclosure".

Figure 127 – Enter a username to reset a password

2. **Username** – Enter your username.
3. Click **Next** to continue.



Figure 128 – Email sent to users to reset a password

4. An email will be sent to the email address provided during enrollment. The email will contain a reset code needed to reset the user's password.

IDES
INTERNATIONAL DATA EXCHANGE SERVICE

Google™ Custom Search

Home Enrollment Knowledge Base Support IRS Public Key **IDES Enrollment User Log In**

International Data Exchange Service (IDES) - Forgot Password - Reset

An email has been sent to you containing a password reset code. Completing this form will reset your password.

By providing the key you received in your email, this will allow you to reset your password.

*** REQUIRED FIELDS**

Username *

Password reset code *

Password *

Verify Password *

[Back to Forgot Password](#)

About IDES Legal Disclosure Site Map

Figure 129 – Create a new password

5. **Password Reset Code** – Enter the reset code you received in your email.
6. **Password** – Enter your new password.
 - a. The Password must be 8-20 characters and include at least one uppercase and lowercase letter, one number, and one of the designated special characters (~ ! @ # % ^ * () ? , .). If you enter a password that does not meet the guidelines, you will receive an error message.
 - b. You cannot reuse any of your last 24 passwords
7. **Verify Password** – Re-type your password (must match previous entry). If it does not match, you will receive an error message.
8. Click **Save** and return to the **IDES Enrollment User Log In** tab to log in with your new password.

11 Data Preparation for FATCA XML Report

11.1 Overview

This section describes how to prepare a FATCA data file or a Foreign Filer data file. Before you begin, you must have a valid certificate from an [IRS approved certificate authority \(CA\)](#).

For Foreign Filer(s), the data preparation should be in accordance with the specific schema requirements provided for Foreign Filers through the IDES Gateway to download (IRIS Foreign Filer Schema (FFI_Schema.zip)) See Figures 131 and 132 for illustrations of FFI_Schema.zip download for Foreign Filers. The IRIS Foreign Filer Schema (FFI_Schema.zip) is only made available to the Foreign Filer upon successful enrollment in IDES.

Note: Once the Foreign Filer(s) data preparation is configured, preparing the data packet for transmission to IDES will still follow the referenced FATCA data preparation instructions as outlined in the following sections, unless specific variances are referenced in the following data packet preparation process.

The screenshot shows the IDES (International Data Exchange Service) user interface. The page title is "IDES : International Data Exchange Service". The navigation bar includes links for Home, Enrollment, Knowledge Base, Support, IRS Public Key, and Logout. The main content area displays the user's login status: "International Data Exchange Service (IDES) - Foreign Filer TCC Certified". Below this, it states "You have logged into IDES to manage your Foreign Filer TCC." A table shows the user's details: GIIN (999999.99999.FF.998), Foreign Filer TCC (FOREIGN FILER), and Country (FOREIGN FILER). The certificate effective dates are "Fri Sep 26 00:00:00 UTC 2025 to Sat Sep 26 23:59:59 UTC 2026". A section titled "FATCA IDES User Certificate Status" shows the status as "Valid", the expiration date as "Sep 26, 2026", and the action required as "None". On the right side, there are links for "IDES Gateway", "Log In ...", and "Related Items" (including "FATCA Information", "International Data Exchange Information", and "Regulation and Other Guidance"). At the bottom, there are sections for "Quick Actions" (Create Metadata File, Update Alert Preferences, Change Password, Register for MFA), "Admin Actions" (Add User, Enable User, Disable User, Update Certificate, Edit User Role), and "Foreign Filer Resources" (IRIS Foreign Filer Schema). A red arrow points to the "IRIS Foreign Filer Schema" link.

Figure 131 – Select IRIS Foreign Filer Schema file to download FFI_Schema.zip for data packet preparation

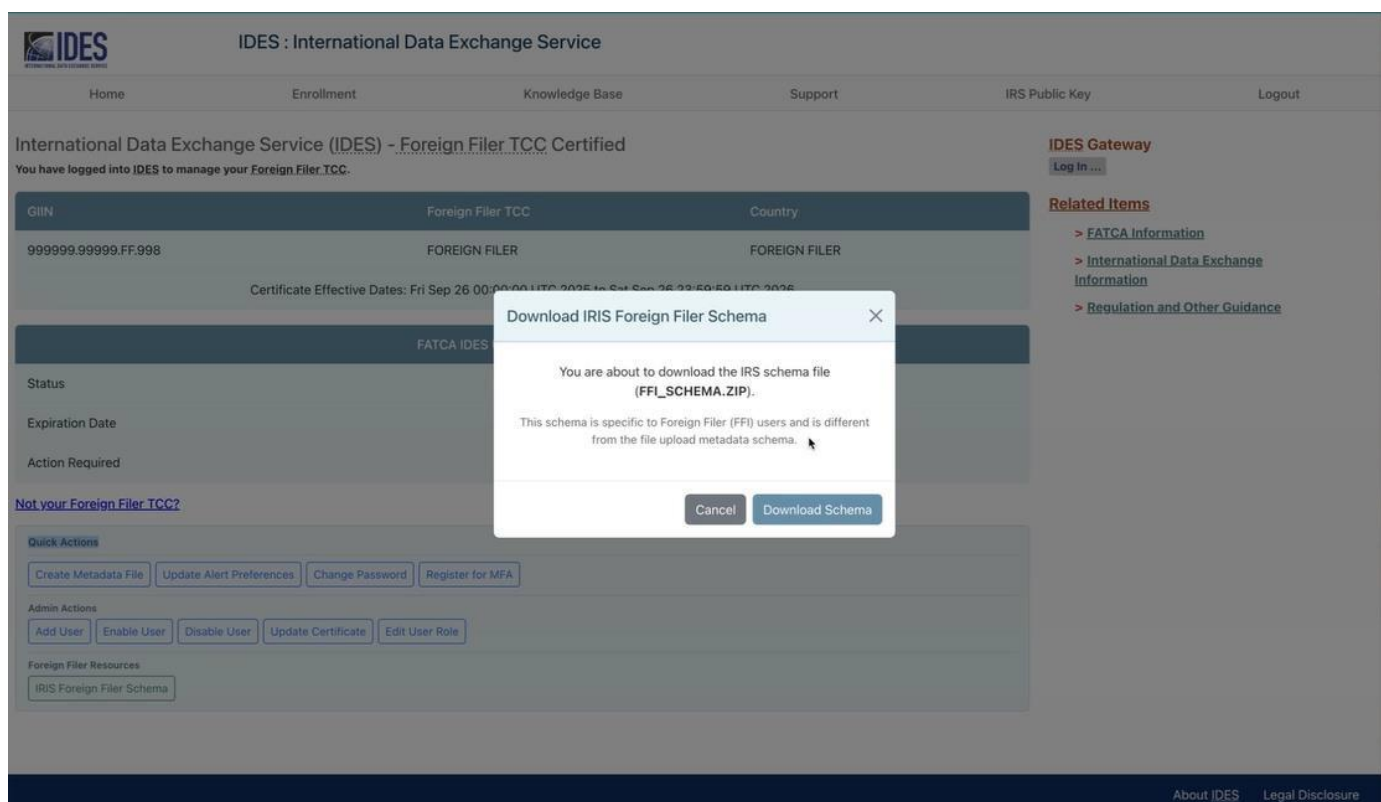


Figure 132 – Download IRIS FFI_Schema.zip for data packet preparation

11.2 Prepare the FATCA XML File

These instructions can change with maintenance updates to the system. IDES will only accept files in .zip format. Each archive will contain either three or four files depending on the IGA Model and the type of user. These archives will consist of the following files (Note: Foreign Filer(s) should use the Foreign Filer TCC GIIN where there is a reference to FATCAEntitySenderId in this section and or in this guide):

- FATCAEntitySenderId_Payload
- FATCAEntityReceiverId_Key
- HCTAFATCAEntityId_Key (Model 1, Option 2 only)
- FATCAEntitySenderId_Metadata.xml

Steps	Process	File Naming Convention
---	Obtain a digital certificate from an IRS approved certificate authority (CA). See Section 3, Obtain a Digital Certificate	Not applicable
1	Prepare and validate the FATCA XML file Digitally sign the file	FATCAEntitySenderId_Payload.xml
2	Digital sign & Compress the FATCA XML file with compatible zip utility	FATCAEntitySenderId_Payload.zip
3	Encrypt the FATCA XML file with AES-256 key	FATCAEntitySenderId_Payload

4	Encrypt AES key and IV with the public key of each recipient For Model 1, Option 2 (only). Encrypt AES key with public key of HCTA	FATCAEntityReceiverId_Key HCTAFATCAEntityId_Key
5	Create unencrypted XML for sender metadata	FATCAEntitySenderId_Metadata.xml
6	Create the FATCA data packet transmission for IDES	UTC_FATCAEntitySenderId.zip
7	Upload/transmit the data packet to IDES and receive delivery confirmation	N/A

Table 12 – Overview process to prepare and send a file

Note: The file name should be the same size and pattern as the standard data elements FATCAEntitySenderId, FATCAEntityReceiverId and HCTAFATCAEntityId and stated in a 19-character GIIN format, such as *000000.00000.TA.840_Payload.xml*.

Process to Prepare and Transmit XML File:

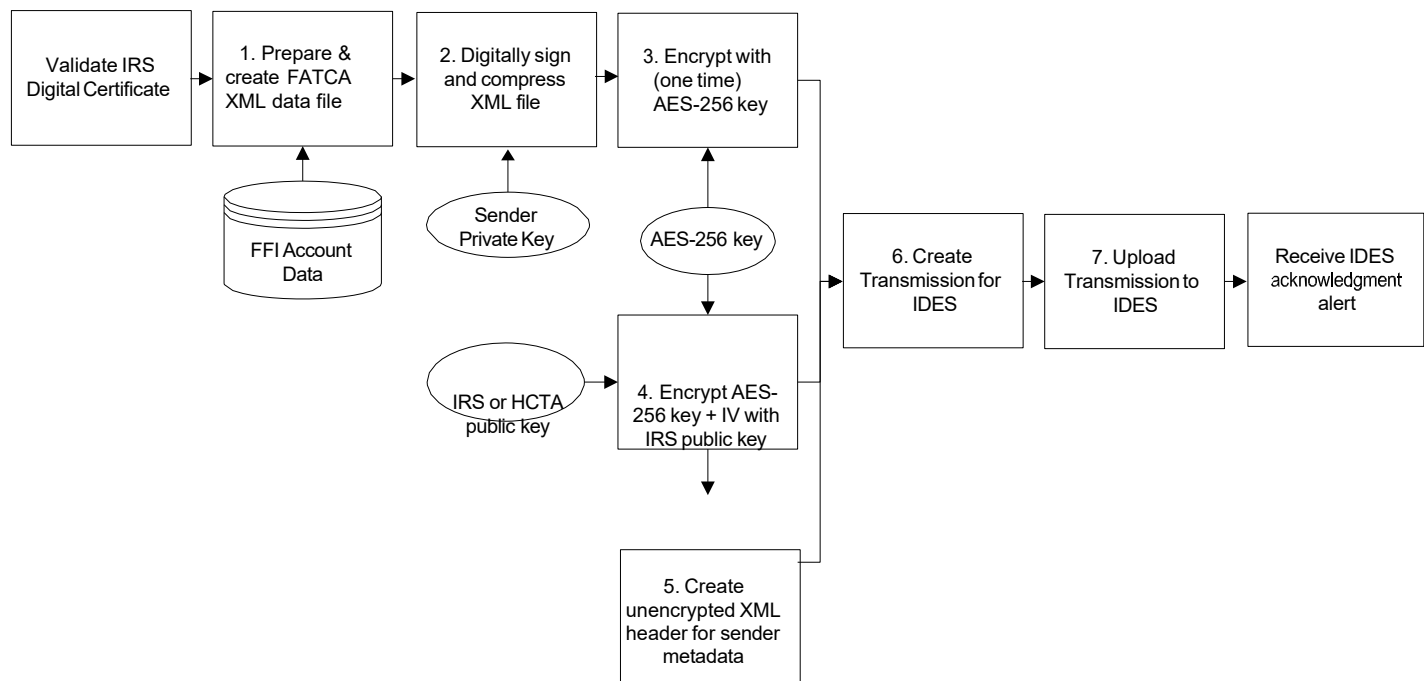


Figure 133 – Data preparation overview

Step 1 - Prepare and Validate the FATCA XML File

Step 1 explains how to create a sender payload file. Each FATCA XML file contains information about the accounts required to be reported under FATCA. Ensure that all XML elements have prefixes, do not use default namespaces. For information on the FATCA XML and related Form 8966 (FATCA Report), see [FATCA XML Schemas and Business Rules for Form 8966](#).

Step 2 - Sign the XML File

Digital signatures are used to assure data integrity, which means that the messages are not altered in transmission. The receiver can verify that the received message is identical to the sent message. A sender uses its private key to digitally sign the message. Senders and recipients of FATCA files will ensure that the file was not corrupted during compression, encryption, and decryption, or altered during transmission to or from IDES.

Sign XML File:

Process	Description	File Naming Convention
Sign XML File	▪ Prepare the FATCA reporting data using XML element prefixes. Do not use the default namespaces. ▪ To generate the digital signature¹, the XML file is processed by a “one-way hashing” algorithm to generate a fixed length message digest. ▪ Depending on the tool used to perform the digital signature, a different type of canonicalization method can be required. The following methods are acceptable: ○ <Canonicalization Method Algorithm="http://www.w3.org/2001/10/xml-exc-c14n#" /> ○ <Canonicalization Method Algorithm="http://www.w3.org/TR/2001/REC-xml-c14n-20010315" /> ▪ IRS requires that the payload file be signed by first creating a SHA2-256² hash. The Sender will then create an RSA digital signature using the 2048-bit private key that corresponds to the public key found in the Sender’s digital certificate on IDES. ▪ After validating the schema, digitally sign the FATCA XML file using W3C Recommendation XML Signature Syntax and Processing (Second Edition)³ “<i>enveloping</i>” signature. ▪ Use the digital signature “<i>enveloping</i>” type. The “enveloped and detached” types will cause the transmission to fail. ▪ The file name is “FATCAEntitySenderId_Payload.xml”. The file is case sensitive and any variation in file name or format will cause the transmission to fail.	FATCAEntitySenderId_Payload.xml

Table 13 – Process to digitally sign a file

¹ [Digital Signature Standard \(DSS\) \(FIPS 186-5\), February 3, 2023](#)

² [Secure Hash Standard \(SHS\) \(FIPS 180-4\), August 2015](#)

³ [XML Signature Syntax and Processing, April 2013](#)

Step 3 - Compress the XML File

The XML file “FATCAEntitySenderId_Payload.xml” should be compressed using a compatible compression utility and the standard Deflate compression method.

Tools	Version	Host System
WinZip	17.5 and later	Windows
7-Zip	9.2 and later	Windows or Linux
Windows built-in zip utility	N/A	Windows
Linux/Unix standard zip utility	N/A	Linux/Unix
Apple built-in archive utility	MAC OS X 10.3 and later	MAC

Table 14 – Recommended compression tools based on compression testing and supported algorithms

Compress XML File:

Process	Descriptions	File Naming Convention
Compress XML File	▪ The compressed file “zip” is the file extension used by the compression tool or library. ▪ Other tools can be used but the compression method must be recognized by one of the five tools or libraries for the file to be successfully processed.	FATCAEntitySenderId_Payload.zip
Summary	▪ If the file is not recognized or processing fails, the file will be rejected. The sending partner will receive a notification that explains the reason for the transmission failure and how to modify and resubmit the file. ▪ The file name is “FATCAEntitySenderId_Payload.zip”. The file is case sensitive and any variation in file name or format will cause the transmission to fail. ▪ Note: The current supported compression is ZIP compression using the standard Deflate compression method.	N/A

Table 15 – Process to compress a file

Step 4 - Encrypt the XML File with AES 256 Key - Updated

AES is one of the most secure encryption algorithms and the preferred encryption standard for IDES. The file is encrypted to protect sensitive information.

Encrypt XML File with AES Key:

Process	Descriptions	File Naming Convention
Encrypt XML File	▪ After compression, encrypt the file "FATCAEntitySenderId_Payload.zip" using the AES-256 cipher with a randomly generated "one-time use" AES key. ▪ There are several steps necessary to perform AES encryption. IRS recommended settings should be used to maintain compatibility: ○ Cipher Mode: CBC (Chain Block Chaining) ○ Salt: No salt value ○ Initialization Vector (IV): 16 byte IV. The IV must be random and unique. ○ Key Size: 256 bits / 32 bytes – the key size should be verified. Moving the key across operating systems can affect the key size. ○ Encoding: None. There can be no special encoding. The file will contain only the raw encrypted bytes. ○ Padding: PKCS#7 or PKCS#5 ▪ The AES encrypted file name is "FATCAEntitySenderId_Payload". The file is case sensitive and any variation in file name or format will cause the transmission to fail.	FATCAEntitySenderId_Payload

Table 16 – Process to encrypt an XML file with an AES key

Additional information regarding the AES-256 encryption algorithm and keys can be found in:

1. [NIST Special Publication 800-57: Recommendation for Key Management – Part 1: General \(Revision 5\)](#)
2. [Advanced Encryption Standard \(FIPS 197\), November May 2023](#)

Step 5 - Encrypt the AES Key and IV with Public Key of Recipient

The next step is to encrypt the AES key with the public key of each recipient. The file is encrypted to protect the AES key. All FATCA partners must validate the recipient's X.509 Digital Certificate to an approved CA. An X.509 Digital Certificate contains the public key for each FATCA partner, including the IRS, and is retrieved from the IDES Enrollment site.

Encrypt AES Key and IV with Public Key:

Process	Description	File Naming Convention
Validate Certificate	▪ To validate the certificate: 1. Verify the certificate chain; 2. Check the revocation status of the certificate chain. There are two methods: ▪ Retrieve a Certificate Revocation List (CRL) or ▪ Send an Online Certificate Status Protocol (OCSP) query to a CA designated responder	N/A
Encrypt the AES Key	▪ After validating the certificate, use the public key from the recipient's certificate to encrypt the 32 byte AES 256 key concatenated with the 16 byte IV. The encrypted value must be 48 bytes in length. ▪ The public key encryption uses the standard RSA algorithm. There are several steps necessary to perform AES encryption. IRS recommended settings should be used to maintain compatibility: ○ Padding: PKCS#1 v1.5 ○ Key Size: 2048 bits ▪ The encrypted file name is "FATCAEntityReceiverId_Key". "FATCAEntityReceiverId" is the 19-character of the recipient of this AES key	FATCAEntityReceiverId_Key
Summary	▪ FATCA reporting with one recipient will have two encrypted files. The files are case sensitive and any variation in file name or format will cause the transmission to fail: 1. Symmetric encryption - the AES 256 encrypted FATCA XML file name is "FATCAEntitySenderId_Payload" 2. Asymmetric encryption - the public key encrypted AES 256 key file name is "FATCAEntityReceiverId_Key"	N/A

Table 17 – Process to encrypt an AES key with a public key

Note: For most FIs and HCTAs, (e.g., Model 1 (Non-Reciprocal), Model 2 and non-IGA) the IRS is the only recipient.

Step 6 - Encrypt the AES Key – Model 1, Option 2

Under IGA, Model 1, Option 2, an FI submits a FATCA XML file to IDES. The HCTA reviews and releases or denies the file to the IRS. The HCTA and the IRS will decrypt the same FATCA XML file. The FI creates a duplicate of the original AES 256 key. The duplicate AES 256 key is encrypted with the HCTA Public Key.

Encrypt AES Key – Model 1, Option 2:

Process	Description	File Naming Convention
Validate Certificate	See Step 4 – Validate Certificate	
Encrypt the AES Key	- After validating the certificate, use the public key from the recipient's certificate to encrypt the 48 byte AES 256 key. - The encrypted file name should be "FATCAEntityReceiverId_Key". "FATCAEntityReceiverId" is the 19-character GIIN of the recipient of this AES key	FATCAEntityReceiverId_Key
Encrypt the AES Key	- Encrypt the 48 byte AES key with the public key of the approving HCTA - The encrypted file name is "HCTAFATCAEntityId_Key", where "HCTAFATCAEntityId" is the GIIN of the HCTA recipient of this AES key	HCTAFATCAEntityId_Key
Summary	- FATCA reporting with two recipients should have three encrypted files. The files are case sensitive and any variation in file name or format will cause the transmission to fail: - Symmetric encryption - the AES 256 encrypted FATCA XML file name is "FATCAEntitySenderId_Payload" - Asymmetric encryption - the public key encrypted AES 256 key file name is "FATCAEntityReceiverId_Key" - Asymmetric encryption - the public key encrypted AES 256 key file name is "HCTAFATCAEntityId_Key"	N/A

Table 18 – Process for a Model 1 Option 2 FI to encrypt an AES key

Step 7 - Create Sender Metadata File

Users can create a sender metadata file to ensure that recipients accurately process FATCA XML files and notifications. Notifications are responses sent by the IRS to an FI or HCTA and state whether the file was processed correctly or contained errors.

A template metadata file is available in XML format as part of the enrollment process. FIs and HCTAs can use the template to create a metadata file to attach to the payload before uploading to IDES.

The FATCA Sender Metadata XML file is created using the FATCA Metadata XML Schema v2.0 and the file name is "FATCAEntitySenderId_Metadata.xml." All FATCA partners must provide the values for the elements in the sender metadata file. For more information, review the [FATCA Metadata XML Schema v2.0 User Guide](#).

Elements	Pattern/Size	Description
FATCAEntitySenderId	19-character GIIN format	FATCA partner that submits data
FATCAEntityReceiverId	19-character GIIN format	FATCA partner receives data
FATCAEntCommunicationTypeCd	RPT, NTF, CAR, REG, ICAP, JA, EOIR	Indicates the transmission type RPT - FATCA Report communication NTF - FATCA Notification communication CAR - FATCA Competent Authority Request (IRS use only) REG - FATCA Registration Data (Reserved. Do not use) ICAP – International Compliance Assurance Program JA – Joint Audit EOIR – Exchange of Information Request
SenderFileId	200	References the user provided transmission filename
FileFormatCd	XML, PDF, TXT, RTF, JPG	XML – Extensible Markup Language PDF – Portable Document Format TXT – Plain text RTF – Rich text format JPG – Joint photographic group
BinaryEncodingSchemeCd	NONE, Base64	
FileCreateTs	YYYY-MM-DDTHH:MM:SS.msTZD	References timestamp created by the sender transmission
TaxYear	4	Indicates the tax year (YYYY format)
FileRevisionInd	true, false	Indicates if this is a revised transmission
OriginalIDESTransmissionId	32-character unique ID	IDES Transmission ID referencing an update to an earlier transmission Optional – Use only after IRS request
SenderContactEmailAddressTxt	N/A	Sender email address

Table 19 – Sender Metadata Schema summarizes each element

Note: The sender metadata file is never encrypted because it is used to verify and route transmissions to the correct recipient.

Note: All other enumerations for FATCAEntCommunicationTypeCd element included in FATCA Metadata XML schema should not be used unless pre-coordinated/ instructed by the recipient country's tax authority.

Step 8 - Create the FATCA Data Packet

A file that is transmitted through IDES is known as a *FATCA data packet* or *data packet*. The data packet is an archive in .ZIP file format, and it should be created using one of the compatible data compression tools described in [Prepare the FATCA XML File \(Table 12\)](#). IDES only supports data packets in a .ZIP file format with a .zip file extension. The files are case sensitive and any variation in the file name or format will cause the transmission to fail.

Data Packet File Archive:

Model 1, Option 2 (Only) Attach 4 Files	All Others, Models (1 and 2) and Foreign Filer(s) Attach 3 Files
- FATCAEntitySenderId_Metadata.xml - FATCAEntityReceiverId_Key - HCTAFATCAEntityId_Key - FATCAEntitySenderId_Payload	- FATCAEntitySenderId_Metadata.xml - FATCAEntityReceiverId_Key - FATCAEntitySenderId_Payload

Table 20 – Files contained in a transmission archive or data packet

The file naming convention of data packet is composed of a Coordinated Universal Time (UTC) timestamp and the GIIN of the sender (FATCAEntitySenderId) as:

UTC_FATCAEntitySenderId.zip

The timestamp format of the UTC is YYYYMMDDTHHMMSSmsZ where:

YYYY = 4-digit year

MM = 2-digit month

DD = 2-digit day

T = letter for separating date and time separating

HH = 24-hour

MM = 2-digit minutes

SS = 2-digit seconds

ms = 3-digit milliseconds

Z= letter Z – the UTC designator

For example, a sender with a FATCAEntitySenderId of “000000.00000.TA.<ISO>” that transmits a data packet on January 15, 2025 at 16:30:45.230Z can create a data packet named as:

20250115T1630451230Z_000000.00000.TA.840.zip

Step 9 - Transmit Data Packet using IDES

After the archive is uploaded and transmitted, IDES sends an alert to the authorized user via email. The message provides status information about the file upload. If the upload and IDES file checks are successful, IDES assigns a unique “TransmissionID” in the email. If there is an error, the IDES alert provides an appropriate error code in the email message.

11.3 Receive an IRS Notification

A notification is a transmission archive or data packet that contains encrypted documents sent from the IRS to an FI, HCTA or Foreign Filer. When the IRS sends a notification, IDES sends an email to the authorized user stating that a file is ready for download. Generally, a file will be available for 7 days or 30 days for Foreign Filers. See [Section 2.6 File Retention](#) for more information. The email correspondence includes the file name of the “TransmissionID” in the original file. Notifications are prepared using the same process and file components used to prepare the FATCA XML.

Alert: RC022 Inbox x

questions@sat.fatcaides-support.com to me

Mon, Feb 24, 3:37 PM (18 hours ago) ☆ ☺ ↶ ⋮

IDES Alert	
RETURNCODE	RC022
MESSAGETYPE	RD
COMMENTACK	Available for HCTA review (Model 1 Option 2)
FILESIZE	4.28
IDESTRANSID	136p_5Z5acEab1_wvbWtm4gCYMuzQqLh
FATCASENDERID	TA8NMH.99999.SL.136
FATCARECEIVERID	000000.00000.TA.840
MSGTYPE	RPT
SENDERFILEID	20230404T185846600Z_TA8NMH.99999.SL.136.zip
SENDERFILETS	2023-04-04 18:58:46.0
ALERTTS	2025-02-24 20:37:37.382231
ORIGINALIDESTRANSID	Not Applicable

Figure 134 – IRS Notification Email for Alert RC022

Alert: RC023 Inbox x

questions@sat.fatcaides-support.com to me

Mon, Feb 24, 3:38 PM (18 hours ago) ☆ ☺ ↶ ⋮

IDES Alert	
RETURNCODE	RC023
MESSAGETYPE	SA
COMMENTACK	Successful upload and approved by the HCTA (Model 1 Option 2)
FILESIZE	4.28
IDESTRANSID	136p_5Z5acEab1_wvbWtm4gCYMuzQqLh
FATCASENDERID	TA8NMH.99999.SL.136
FATCARECEIVERID	000000.00000.TA.840
MSGTYPE	RPT
SENDERFILEID	20230404T185846600Z_TA8NMH.99999.SL.136.zip
SENDERFILETS	2023-04-04 18:58:46.0
ALERTTS	2025-02-24 20:37:37.382231
ORIGINALIDESTRANSID	Not Applicable

Figure 135 – IRS Notification Email for Alert RC023

Alert: RC029 Inbox x

questions@sat.fatcaides-support.com Mon, Feb 24, 3:37 PM (18 hours ago) ☆ 😊 ↩ ⋮

IDES Alert

RETURNCODE	RC029
MESSAGETYPE	SA
COMMENTACK	Successful upload (including all IDES validation checks) waiting for HCTA approval
FILESIZE	4.28
IDESTRANSID	136p_5Z5acEab1_wvbWtm4gCYMuzQqLh
FATCAsENDERID	TA8NMH.99999.SL.136
FATCARECEIVERID	000000.00000.TA.840
MSGTYPE	RPT
SENDERFILEID	20230404T185846600Z_TA8NMH.99999.SL.136.zip
SENDERFILETS	2023-04-04 18:58:46.0
ALERTTS	2025-02-24 20:37:37.382231
ORIGINALIDESTRANSID	Not Applicable

Figure 136 – IRS Notification Email for Alert RC029

Users will need to download and unzip the notification message archive. IDES assigns each notification message a file name similar to the FATCA data report, such as UTC_FATCAEntitySenderId.zip. Users can also process the elements contained in the IRS notification. In a notification message, the FATCAEntitySenderId is the IRS and the FATCAEntityReceiverId is either the HCTA or FI.

Steps	Process	File Naming Convention
1.	Validate the sender metadata file using the IRS Sender Metadata schema.	FATCAEntitySenderId_Metadata.xml
2.	Use your private key to decrypt the FATCAEntityReceiverId_Key file	FATCAEntityReceiverId_Key HCTAFATCAEntityId_Key
3.	The revealed 48 byte AES key will contain the 32 byte AES key and 16 byte IV. Use these values to decrypt the FATCAEntitySenderId_Payload.	FATCAEntitySenderId_Payload
4.	Decompress the FATCAEntitySenderId_Payload.zip	FATCAEntitySenderId_Payload.zip FATCAEntitySenderId_Payload.xml
5.	Validate “Enveloping” Digital Signature of the Notification XML file (the Payload).	N/A
6.	Validate the Notification XML file using the IRS notification schema.	N/A

Table 21 – Process to open a notification message archive

12 Access the IDES Gateway

12.1 Overview

The IDES Gateway is a web application that allows enrolled HCTAs and FIs (FATCA) and Foreign Filers to securely upload and download data over the Internet using three methods:

- A manual process through a secure web browser at <https://www.idesgateway.com>.
- An automated process through SFTP for scheduled bulk file transmissions. See Section 13.7 Transmit a File Using SFTP.
- A link on the IDES Enrollment home page.

For IDES Gateway UI Accessibility information, see Appendix G: IDES Gateway UI Accessibility.

1. Connect to IDES using <https://www.idesgateway.com>.

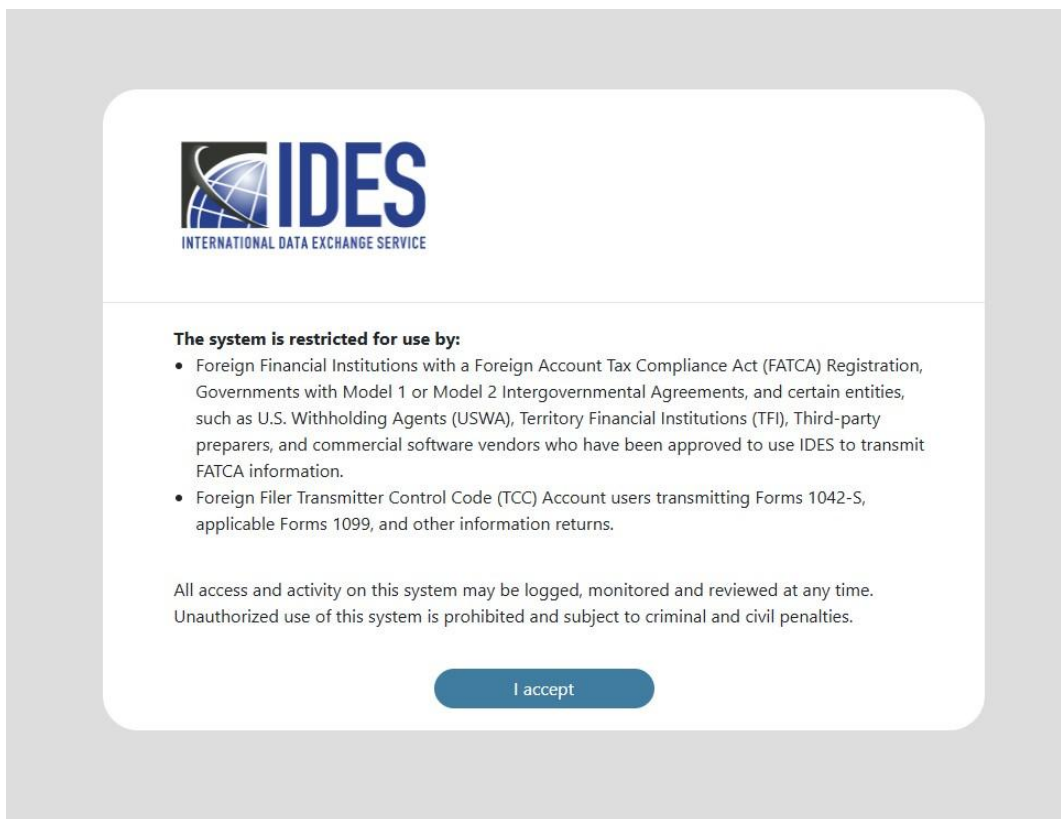


Figure 137 – IDES Gateway accept screen

2. The URL directs you to the **IDES Accept** screen. An authorized session begins.

Note: Only users that completed the enrollment process are authorized to access the system. For information on enrollment, see [IDES Enrollment](#) section.

3. Select the **I accept** box.
4. You are redirected to **IDES Log In** screen.

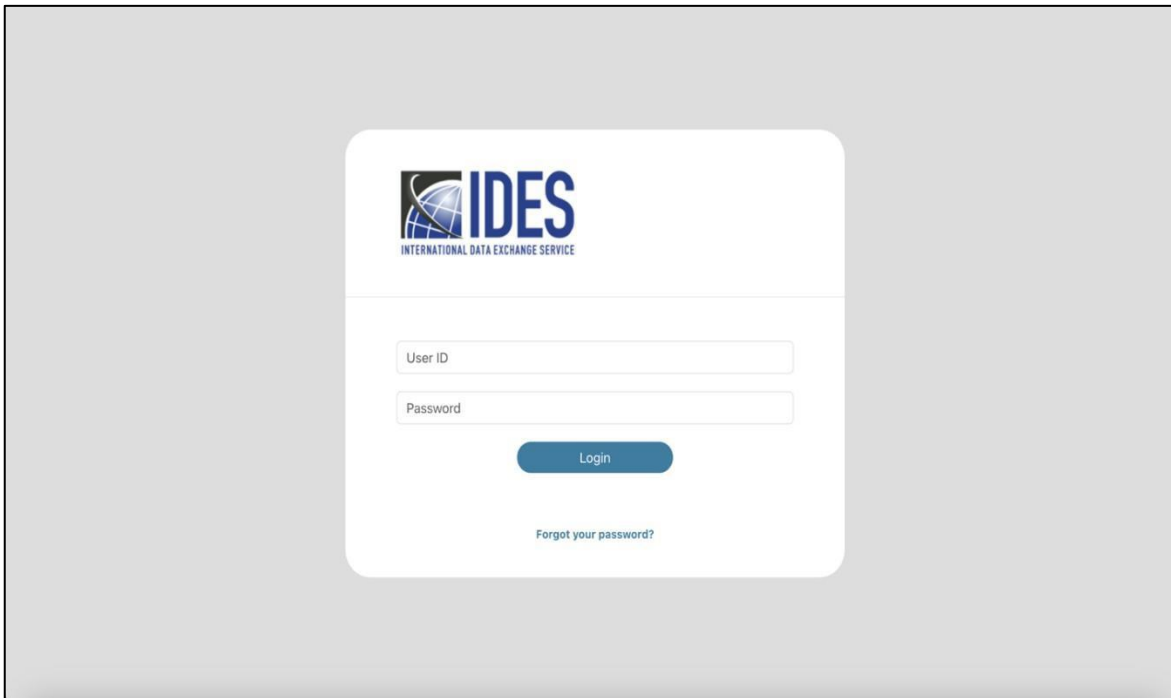


Figure 138 – IDES Gateway log in screen

5. In **User ID**, enter the username selected during the enrollment process. If you are an HCTA, type the username provided by the IRS or contact your local Competent Authority for more information.
6. In **Password** field, enter the password and click **Log In** to continue.
Note: The system automatically locks the IDES account after three unsuccessful login attempts.
7. After a successful login with a **User ID** and **Password** combination, the web page will request your **Multi-Factor Authentication (MFA) Code**.

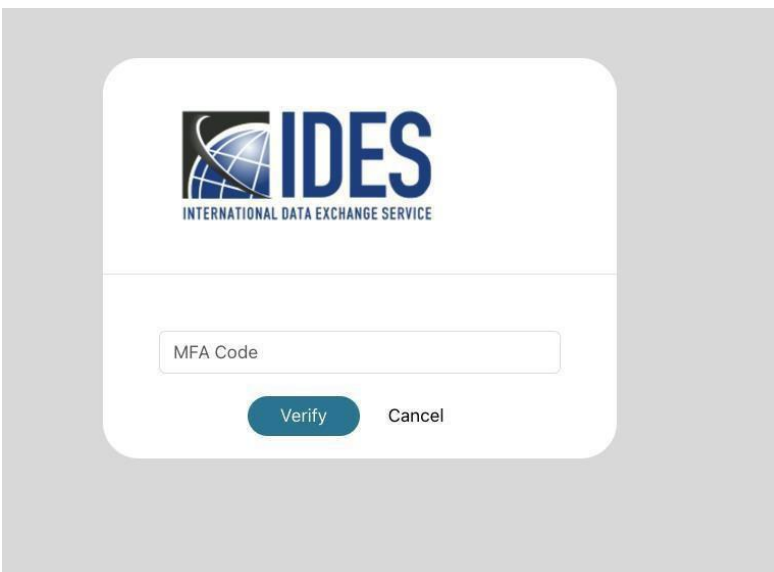


Figure 139 – MFA Code Verification Screen

8. Type in your **MFA Code** and click **Verify**.

12.2 Reset Password

1. If the login is unsuccessful after three attempts or you have forgotten your password, you may be required to reset your password.
2. On the **Log in** screen, Input the User ID and select the **Forgot Your Password** link, which will navigate you to the [IDES Help Desk](#). If you fail to change your password within 90 days, your account password will expire, and you will no longer be able to authenticate your IDES credentials. Please use the **Forgot Your Password?** function to update your password. This will allow you to sign into the IDES system with your username.

The Responsible Officer or a Point of Contact must contact the [IDES Help Desk](#) and speak with a representative, if you are unable to utilize the Forgot Password link on the [IDES Gateway](#) login webpage to regain access.

We advise users to please clear their internet browsing application's cache before selecting the Forgot Password link on the IDES login webpage. The "cache" is a tool used by your internet browser to speed up the webpage loading process. However, sometimes the cache can cause a problem when websites are updated, completing forms, logging into an account, etc.

12.3 Session Timeout

An IDES Gateway session will time out after 15 minutes of inactivity.

A warning is displayed on the screen before the timeout occurs to maintain the session active.

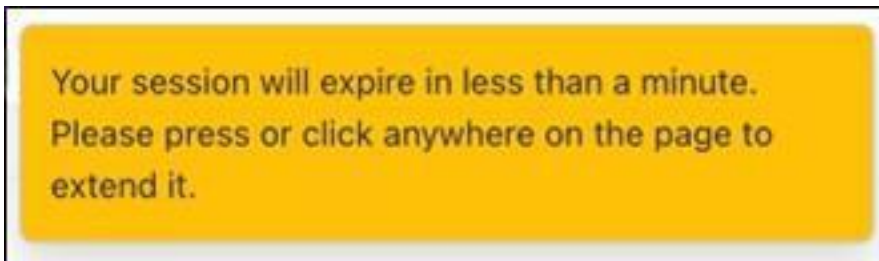


Figure 140 – IDES about to expire session message

Once it has expired, users will need to return to the Login Page to begin a new session.

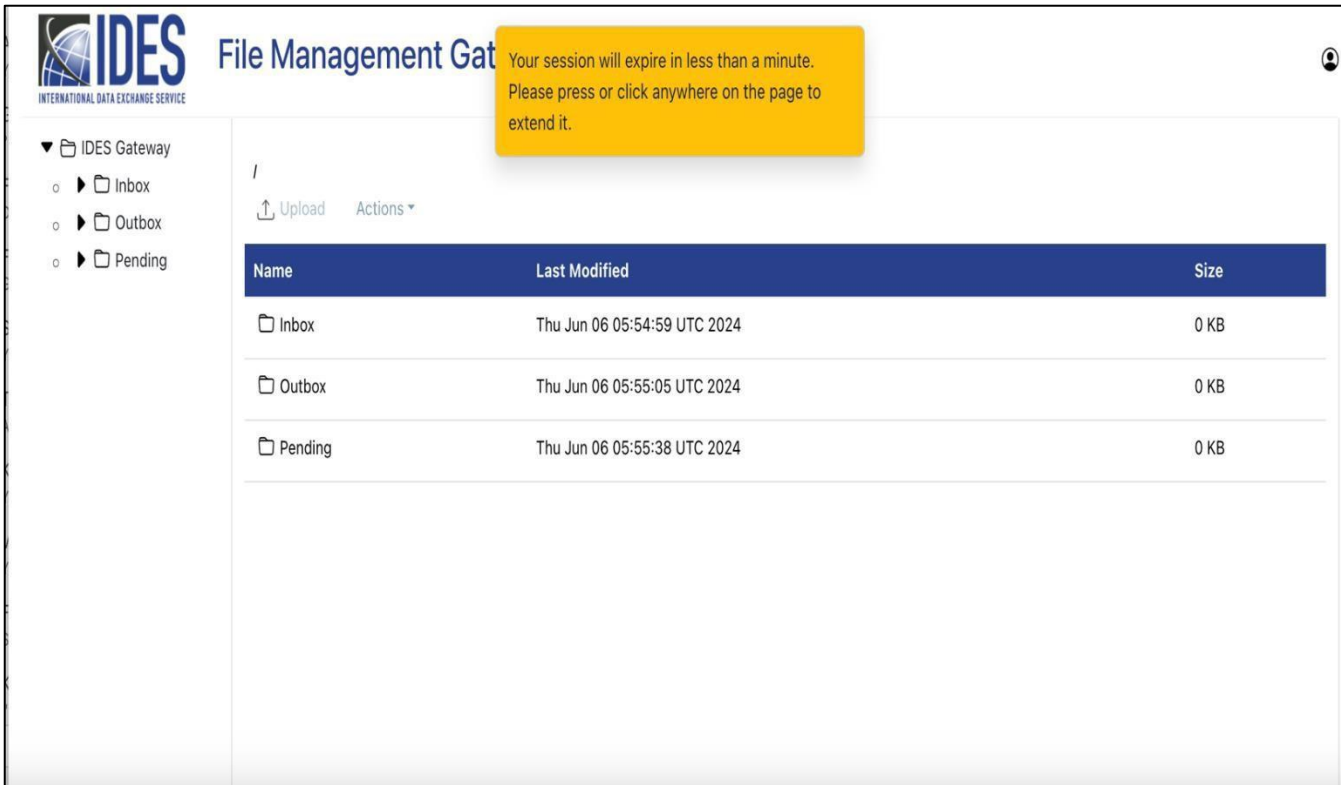


Figure 141 – IDES session timeout message

Select **Login Page** to enter a username and password.

12.4 User Interface Overview

The following links and features make it easy to navigate the IDES Gateway. User access levels and allowable transaction types will depend on the IDES user and user type (i.e., IGA Model, Foreign Filer). Once the user logs in, the dashboard will automatically display the relevant features for each user type.

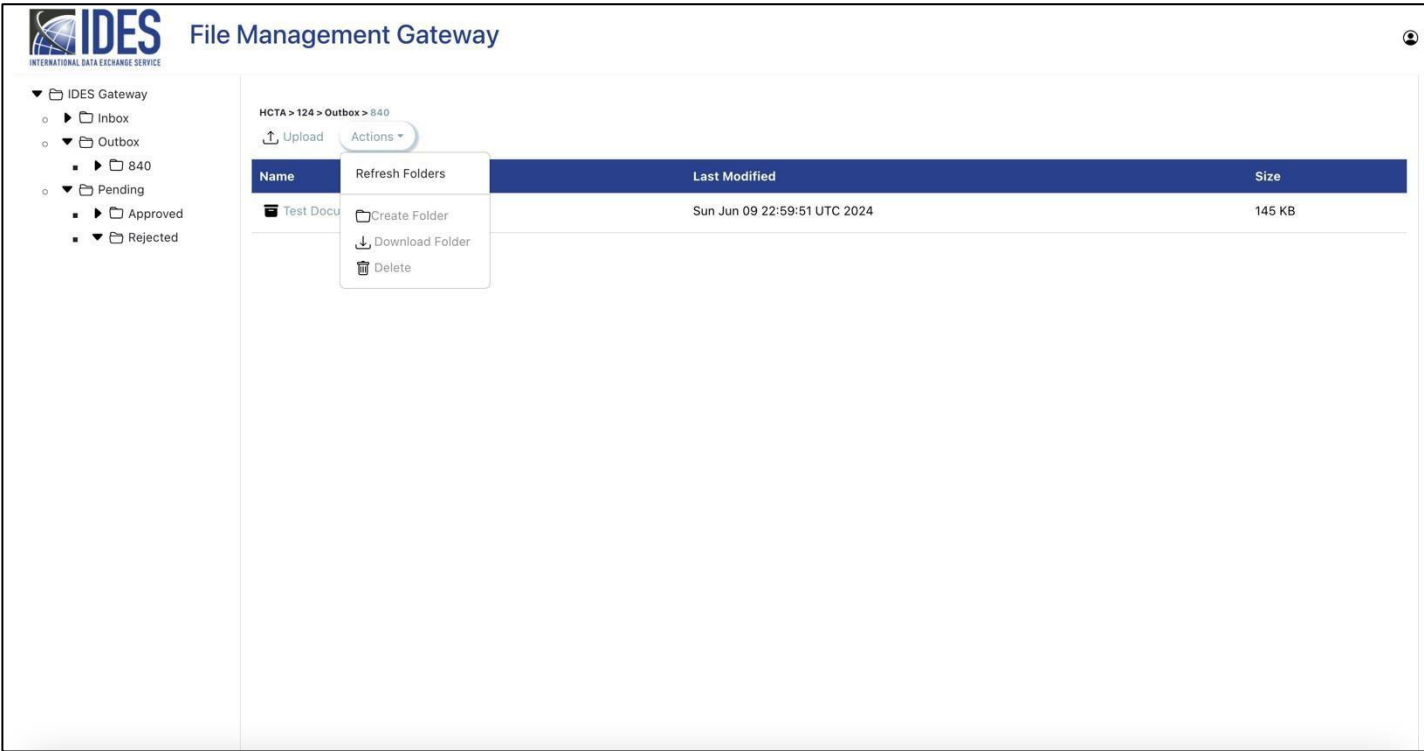


Figure 142 - IDES Gateway home screen

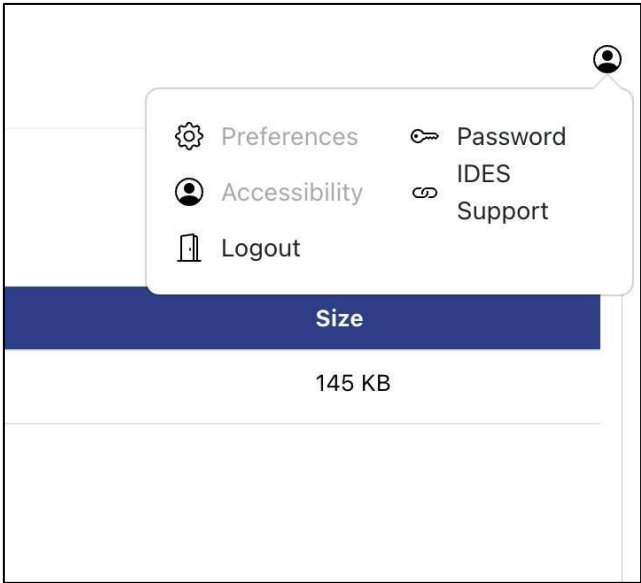


Figure 143 – IDES Gateway account home

User Interface	Description
Upload Files/Remote:	
▪ Inbox	Download files and notifications from IDES. Data packets can be downloaded and saved to your computer hard drive.
▪ Outbox	Upload a transmission archive or data packet to IDES. IDES only accepts transmission archives with .zip extension.
▪ Pending	Applies to countries under IGA Model 1, Option 2 HCTA only.
Upload Button	Transmits files from the Outbox to the receiver. For example, select Upload to move files from the Outbox to the receiver (U.S.). Note: For Model 1, Option 2, Upload is disabled.
Uploads Monitor	View files and transmission status.
Actions Menu	Access to Refresh, Download, Move or View Details.
View	Change the display format: grid or list.
Preferences	Select the file transfer mode (Binary or ASCII). Binary is the default.
Password	Redirect to IDES Support web site (Forgot Password page).
Accessibility	Accessibility menu (keyboard shortcuts).
IDES Support	Open a new tab towards IDES Support web site (Support page).
Logout	End the IDES Gateway session.

Table 22 – IDES User Interface Overview

12.5 Preferences

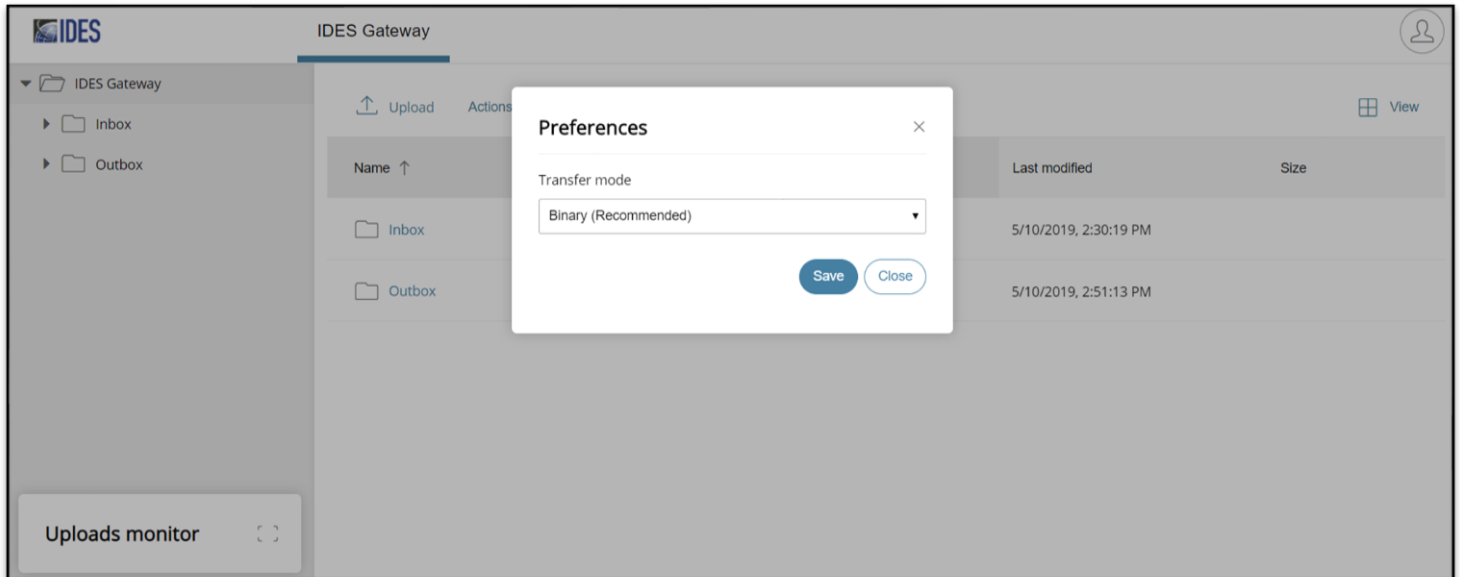


Figure 144 – Select preferences

1. On **IDES Gateway** home screen, select **Preferences** under the account icon.
2. Under **Transfer Mode**, select **Binary** or **ASCII Text**.

Note: Binary mode is the recommend default.

13 Transmit a FATCA Report

13.1 IDES Transmission Archive

IDES only accepts transmission archives or data packets with the .zip extension. Most archives will contain a minimum of three or four files. Data packets that are not in .zip format will be automatically deleted. The sender will receive an alert that the file has been deleted. Note that this alert, as well as other transmission related alerts will be sent directly to the user that transmitted the data and will not be sent to all users enrolled under the FI, HCTA or Foreign Filer. Alert details will be stored and may be viewed by all authorized users via IDES Dashboard Reporting.

An FI under a Model 1, Option 2 IGA does not transmit FATCA reporting data directly to IRS. The FI uploads and transmits files to their HCTA. The HCTA will download the files and approve or reject the transmission to the IRS. An HCTA can only approve or reject files from the Pending folder and cannot make any changes to the files. An HCTA must move files into 'Approved' or 'Rejected' folder. Any data packets that do not adhere to the file format will be automatically deleted.

Unless specifically identified otherwise, Foreign Filers will transmit their respective information returns using the same transmission process as identified for Financial Institutions (FIs) in this section.

13.2 IDES Transmission ID

An IDES Transmission ID is created when a data packet is transmitted to the IRS. The transmission ID is a unique 32-character length number that identifies the transmission. This transmission ID will be included in both IDES system alerts and notifications generated by the IRS. File transmission IDs for all transmissions can also be viewed through the IDES Dashboard Web Monitoring platform. The original transmission ID is an element in the metadata schema and can help to monitor and track a specific message.

For example: <ISO>F-weXu2uKAh-UjuL8V6QPEN2IIJgX, represents the ID for a file sent by an HCTA.

13.3 Retransmissions

Retransmissions are FATCA reports that have been revised and re-sent. The FATCA metadata file identifies the revision with the <FileRevisionInd> element and recognizes the original transmission using the <OriginalIDESTransmissionId> element. The <OriginalIDESTransmissionId> element helps IDES link the new transmission to the original transmission.

13.4 Folder Structure

The IDES folder directory structure is based on the ISO-3166 standard three-digit country code. Sub-directories are automatically created based on the entity GIIN and/or ISO country code. FI, HCTA and Foreign Filer administrators and end users have the same access to the home directory and other folders. Each HCTA will have sub-folders under its country code folder. For Model 1 Option 2, each FI under the HCTA will be listed as a sub-folder under the country code folder.

Example: After HCTA login, the IDES Gateway home page shows access to two folders and subdirectories:

Inbox/840 (US)	Files from the U.S./recipient available for download
Outbox/840 (US)	Files to the U.S. or recipient available for upload
Pending Model 1, Option 2	Files from FI are pending approval or rejection
Pending/Approved Model 1, Option 2	If approved, then files are routed to the U.S.
Pending/Rejected Model 1, Option 2	If rejected, then files are automatically deleted

Table 23 – IDES Gateway folders and subdirectories

Note: All users of the same entity (FI, HCTA or Foreign Filer) will have the same access rights and can see transmissions made by other users of the same FI, HCTA or Foreign Filer. There are no shared folders between all IDES users, and no controls to stop users from uploading files from the same entity.

13.5 Transmit a File Using Web UI

Upload a File

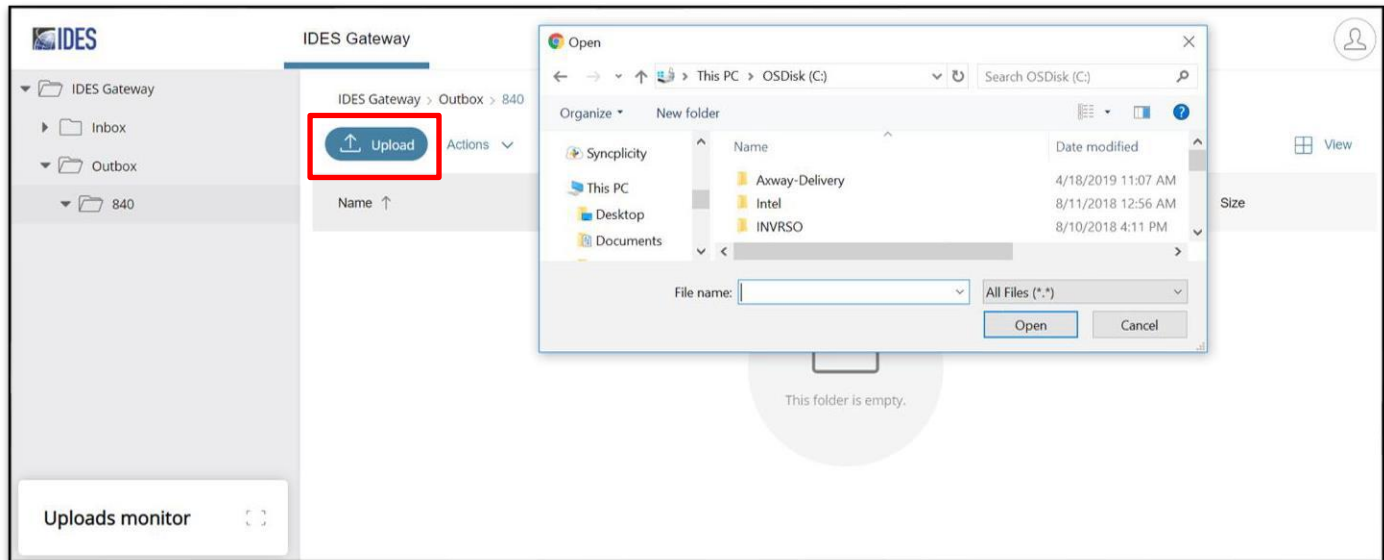


Figure 145 – Select and upload files

On the **IDES Gateway** home page, select the **Outbox** and click on folder **840**.

1. Click **Upload** and a dialog box appears that allows you to select files.
2. Select the file(s) and click **Open**. The file transfer process begins.
3. View the **Uploads monitor** at the bottom of the screen. The files are then moved from the sender **Outbox** to the receiver.

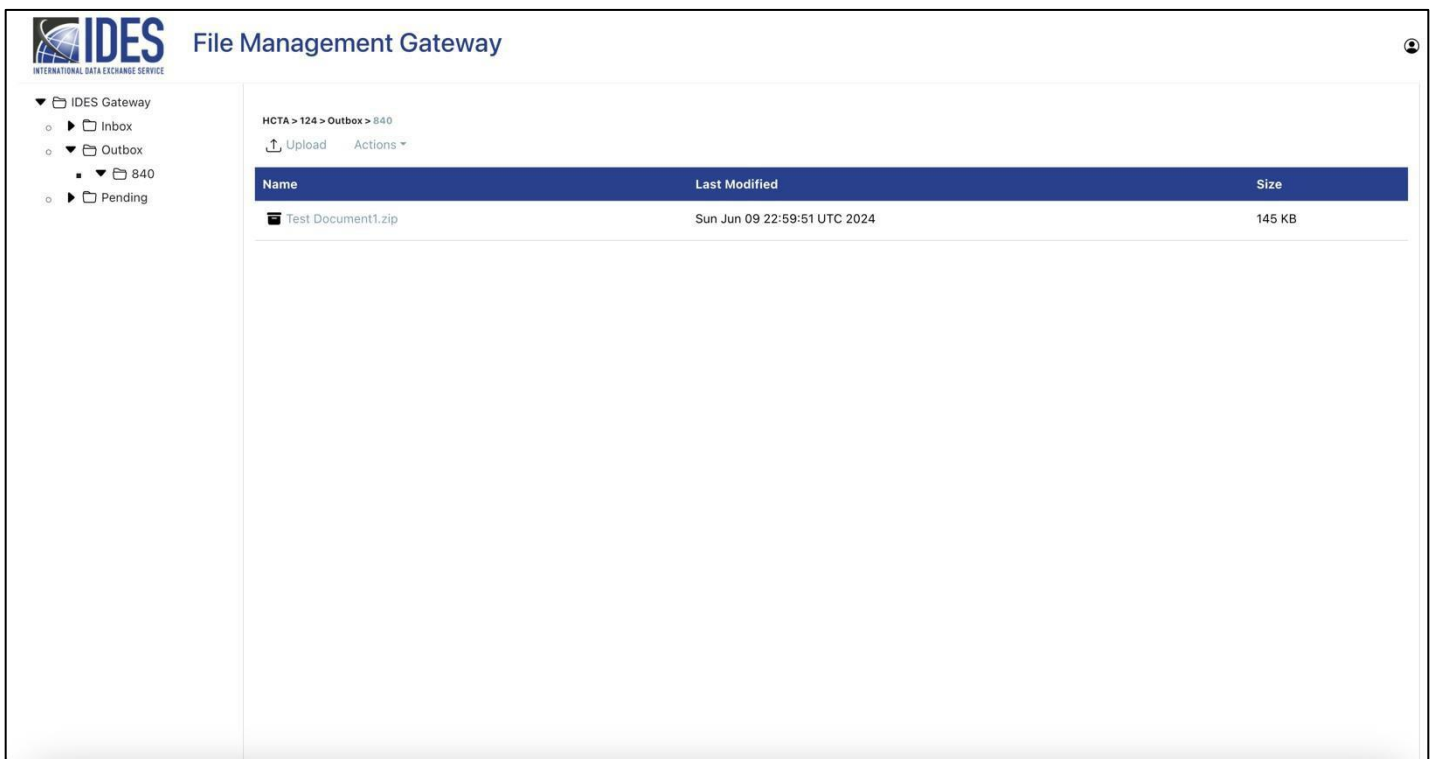
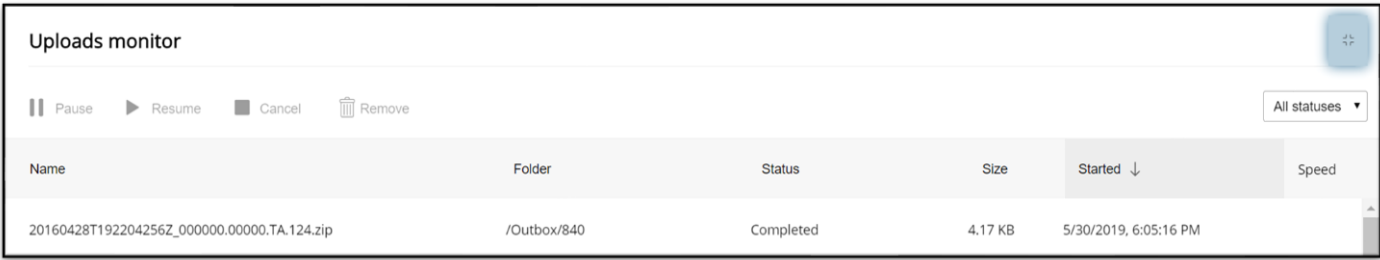


Figure 146 – View file transfer status in uploads monitor

4. After the uploaded files are transmitted from the **Outbox**, the status appears at the bottom of the screen in the **Uploads monitor**.



The screenshot shows the 'Uploads monitor' window. At the top, there are controls: a pause button, 'Pause', a resume button, 'Resume', a cancel button, 'Cancel', and a remove button, 'Remove'. On the right, there is a dropdown menu labeled 'All statuses'. Below these controls is a table with the following data:

Name	Folder	Status	Size	Started ↓	Speed
20160428T192204256Z_000000.00000.TA.124.zip	/Outbox/840	Completed	4.17 KB	5/30/2019, 6:05:16 PM	

Figure 147 – File transfer status

5. Uploads are transmitted to the receiver.
6. The files are routed based on the sender and recipient elements defined in the unencrypted FATCA Metadata XML file or file name FATCAEntitySender_Metdata.xml. The [elements](#) in the metadata schema <FATCAEntitySenderId> and <FATCAReceiverId> identify the sender and receiver. See [Create Sender Metadata File](#) for more information.

Download a File

Recipients will receive an email alert when files are available to download (to select Alert Preferences settings). Under a Model 1A IGA, recipients will receive reciprocal reports that contain specified account information that is transmitted strictly to the Model 1A HCTA. Both reciprocal reports and IRS notifications are prepared and encrypted using the same process and file components used to prepare the FATCA XML. Authorized users will need to download the reciprocal report or notification message archive using the following steps:

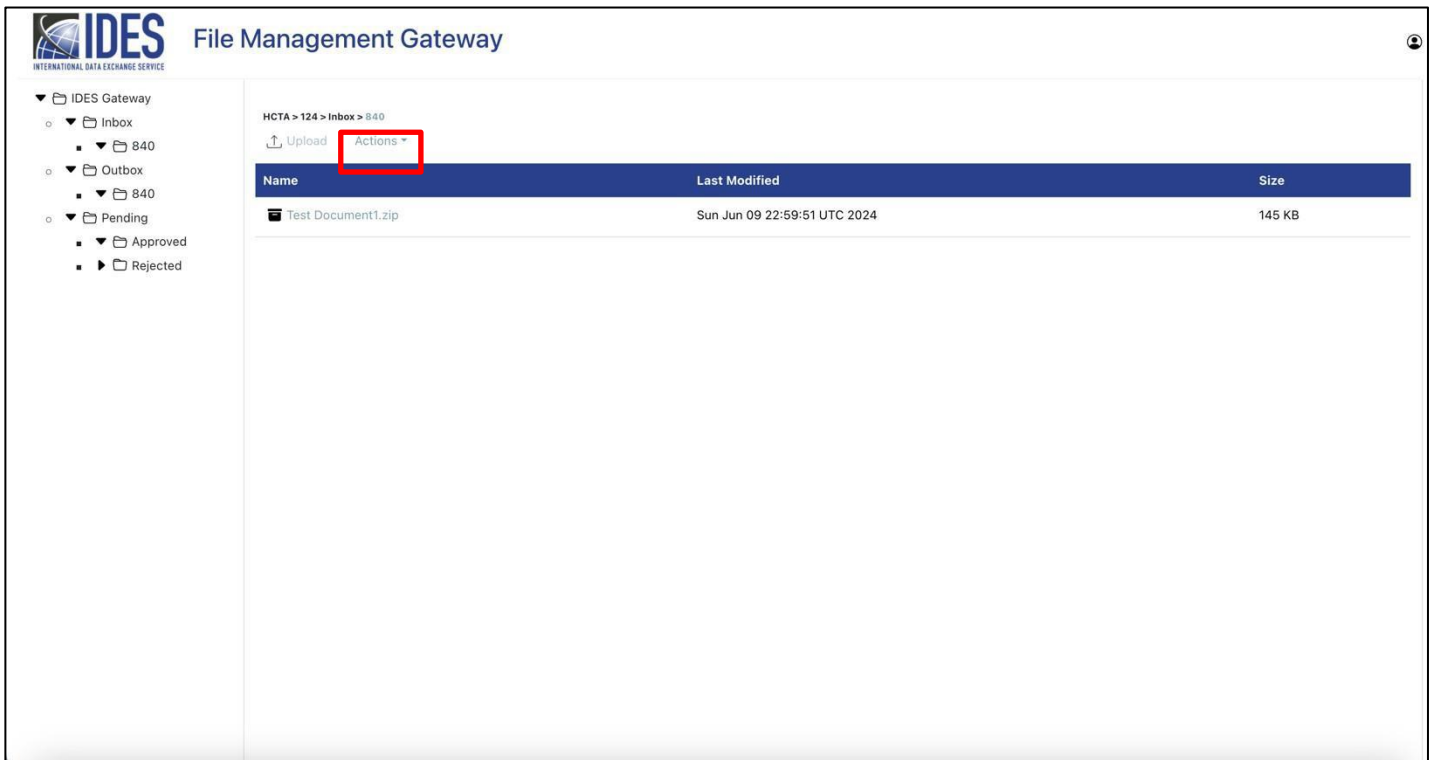


Figure 148 – IDES file download screen

1. On the **IDES Gateway** main page, navigate to **Inbox** and click on **840 (United States)** to view files available for download.

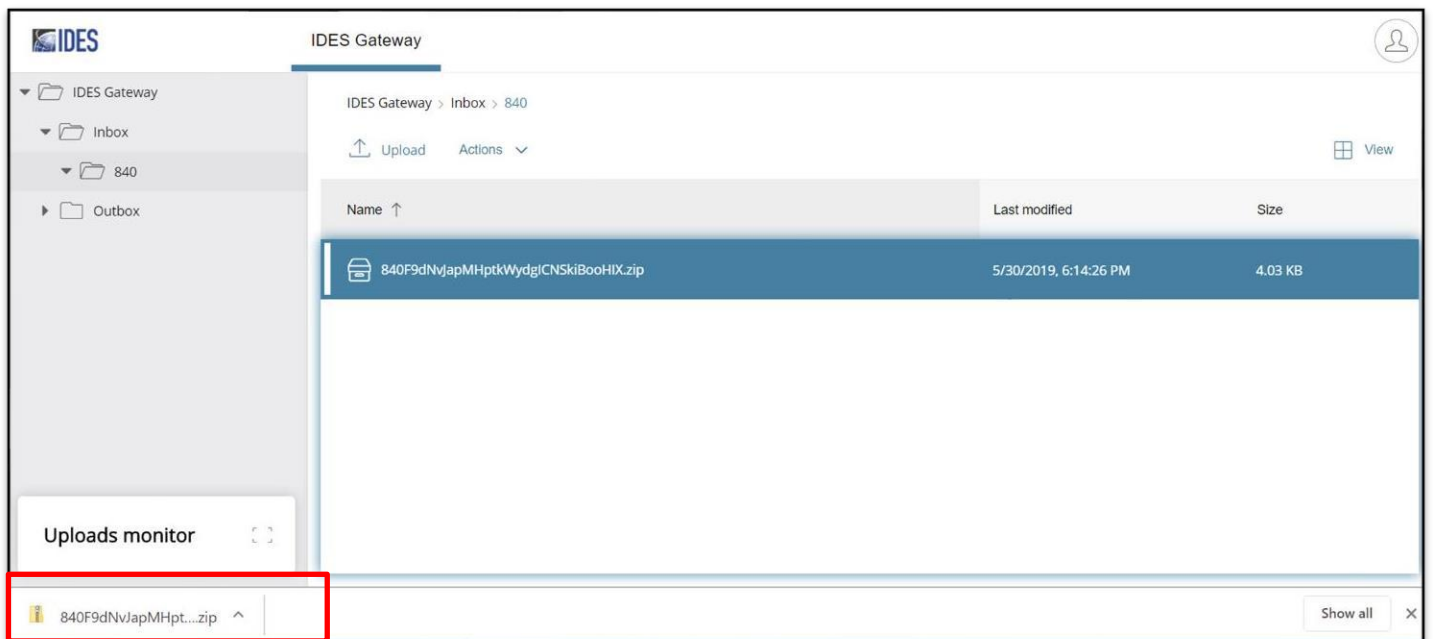


Figure 149 – Save a file

2. Click the file to download or select Actions/Download.
3. The file is automatically saved per the browser settings.
4. The file has been downloaded from the **Inbox** to the hard drive.

13.6 Model 1, Option 2 HCTA

FIs under Model 1, Option 2 may only transmit files to their HCTA. After logging in, the FI should follow normal procedures to upload and transmit files to their HCTA. Once a file is transmitted, the HCTA will receive an IDES alert indicating that files are available in the HCTA's Pending folder for download and review. Once reviewed, HCTAs should move the files in either "Accepted" or "Rejected" folder.

FI upload a file:

1. On the **IDES Gateway** home page, select the **Outbox** and click on folder **840**.
2. Click **Upload** and a dialog box appears that allows you to select one or many files.
3. Select the file(s) and click **Open**. The file transfer process begins.
4. View the **Uploads Monitor** at the bottom of the screen. The files are then moved from the sender **Outbox** to the Pending folder for retrieval by the HCTA.

HCTA download and verify a file:

1. The HCTA file transfer screen displays three folders and subdirectories:
 - a. **Inbox:** Files from the US are available for download
 - b. **Outbox:** Files to the US (840) may be uploaded
 - c. **Pending:** Files from an FI are available for download. An HCTA cannot upload files to the Pending folder. Files from the Pending folder are moved to the sub-folders "Approved" or "Rejected".

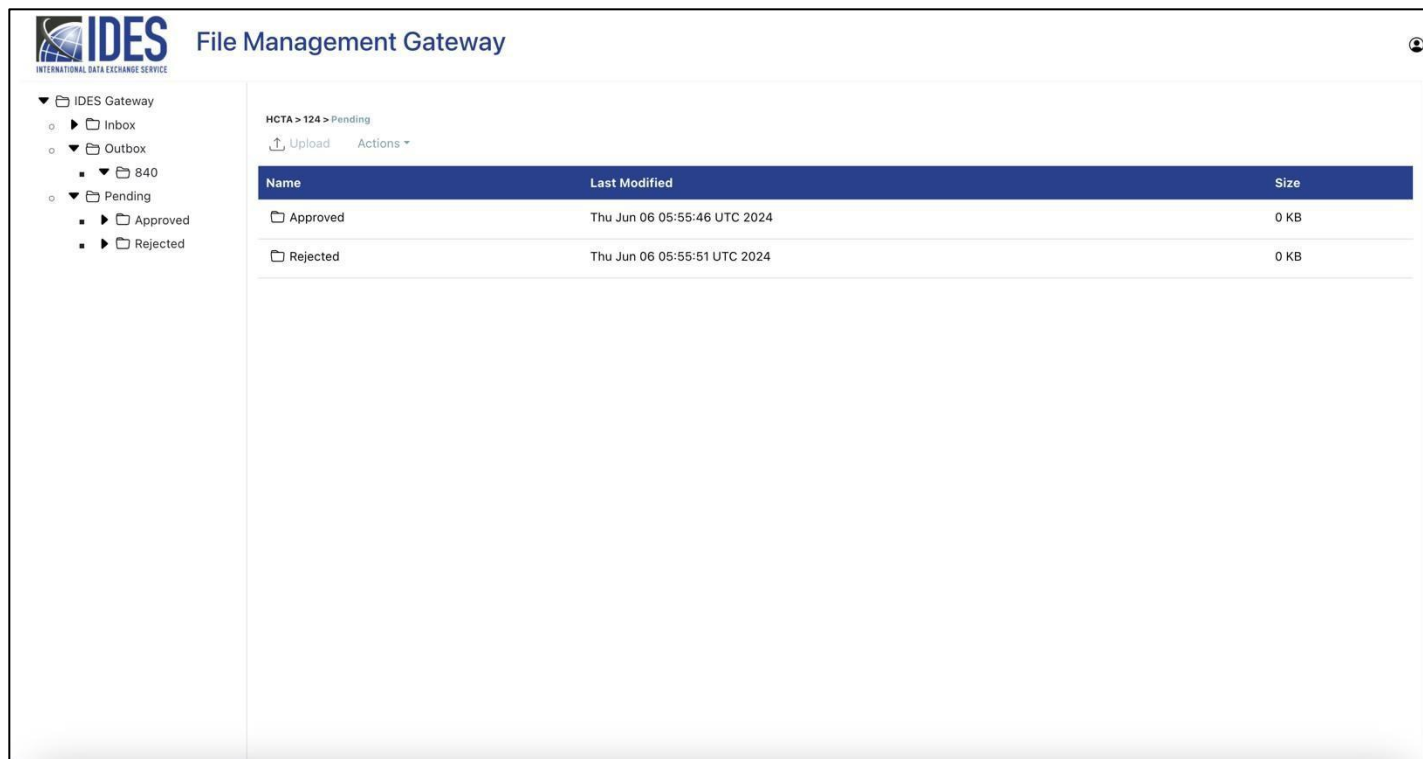


Figure 150 – Model 1 option 2 folder structure

1. Select the **Pending** folder. The folder displays a list of files available for download.

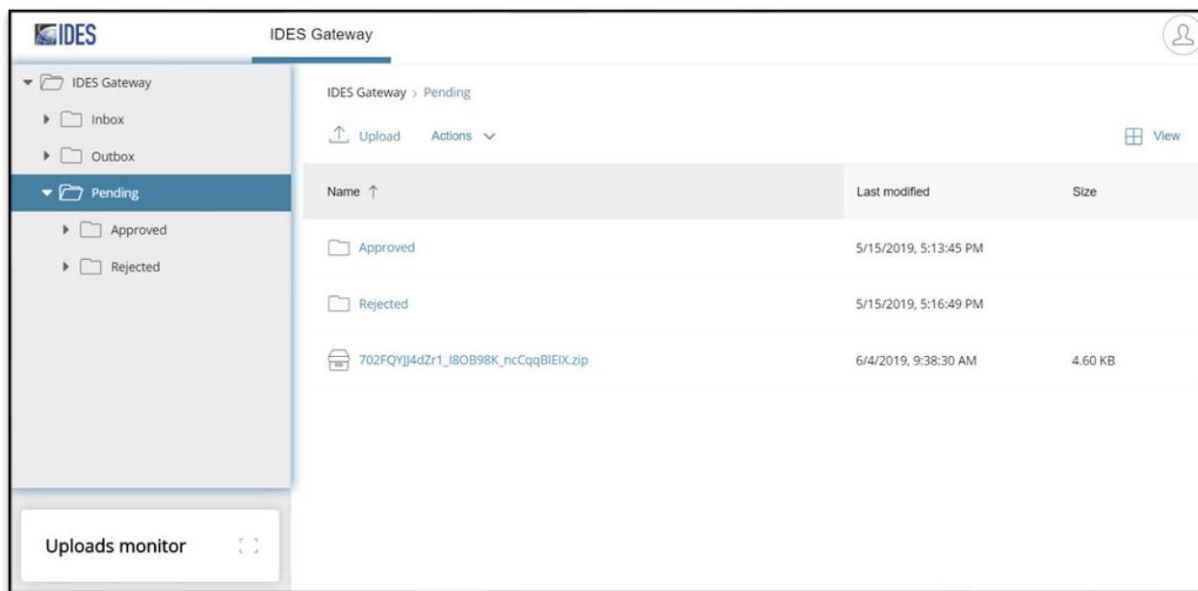


Figure 151 – IDES Pending status folder

2. Select a file to download by clicking on it or using the Actions menu / Download button. The HCTA will review the files to determine whether to approve or reject.

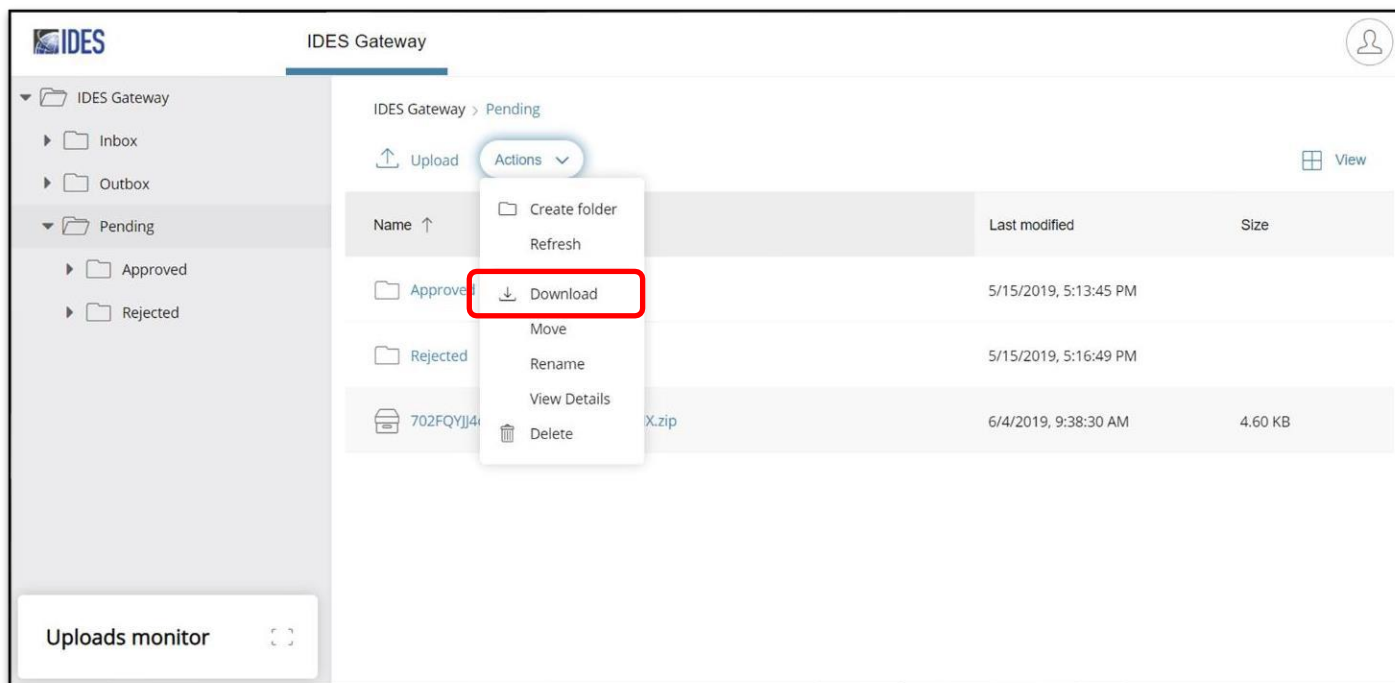


Figure 152 – IDES file options

3. After the files are reviewed, select the file and Actions, then select **Move**. An HCTA may only move and transmit an archive or data packet. An HCTA cannot upload files to the **Pending / Approved / Rejected** folders.

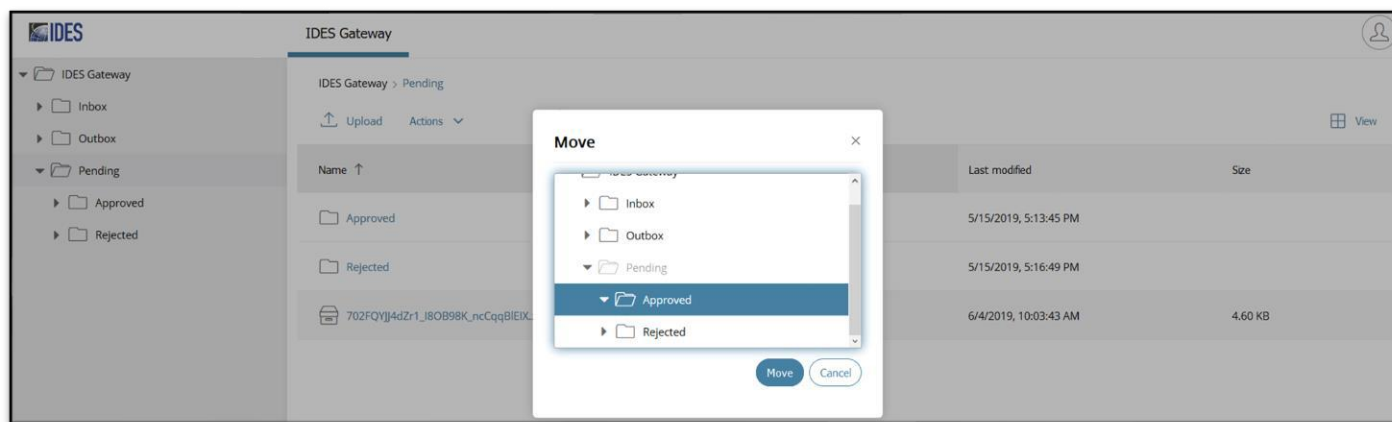


Figure 153 – IDES move file options

4. After a file is moved:
 - If the file is moved to the Approved sub-folder, the file is routed to the US (840) and alerts/notifications are distributed
 - If the file is moved to the Rejected sub-folder, the file is automatically deleted, and alerts/notification are distributed
5. Approved files should be sent to the IRS and rejected files are automatically deleted.

Note: Files in pending status after seven (7) days are automatically rejected and/or deleted.

Step	Description
1.	User connects to IDES and uploads a .zip transmission archive or data packet into the Outbox 840.
2.	The transmission is routed to a « Pending » folder in the HCTA account based on the HCTA IGA Model and data elements in the unencrypted FATCA metadata. The transmission is renamed using the IDES unique Transmission ID as the file name.
3.	An approver (HCTA user account) downloads the file from the « Pending » folder and reviews the file. The HCTA has 7 days to review the files. All files in the Pending folder exceeding 7 days will be deleted.
4.	The approver (HCTA user account) moves the file to either Approved or Rejected sub-folder.
5.	The files moved to the Rejected folder are deleted from the system.
6.	The files moved to the Approved folder are routed according to their destination to the US. (3 first characters of the file name).
7.	If a file remains in the « Pending » folder and is not moved to either Approved or Rejected folder for 7 days, it will be automatically deleted and marked as expired.

Table 24 – Summary description of IDES reporting process for Model 1 Option 2 HCTAs

13.7 Transmit a File Using SFTP

The IDES SFTP Server provides users with secure access to manage and transfer files between hosts over a network. IDES SFTP authenticates using your username and password. The DNS name must be used for the connection.

The SFTP connection methods shown provide a general overview of the process. You may have a different SFTP configuration and operating system. Please use one of the [recommended SSH Client tools](#). Depending on the configuration, your organization may need to adjust network confirmation (firewall) settings to provide connectivity. Contact your information technology specialist for assistance with accessing IDES using SFTP.

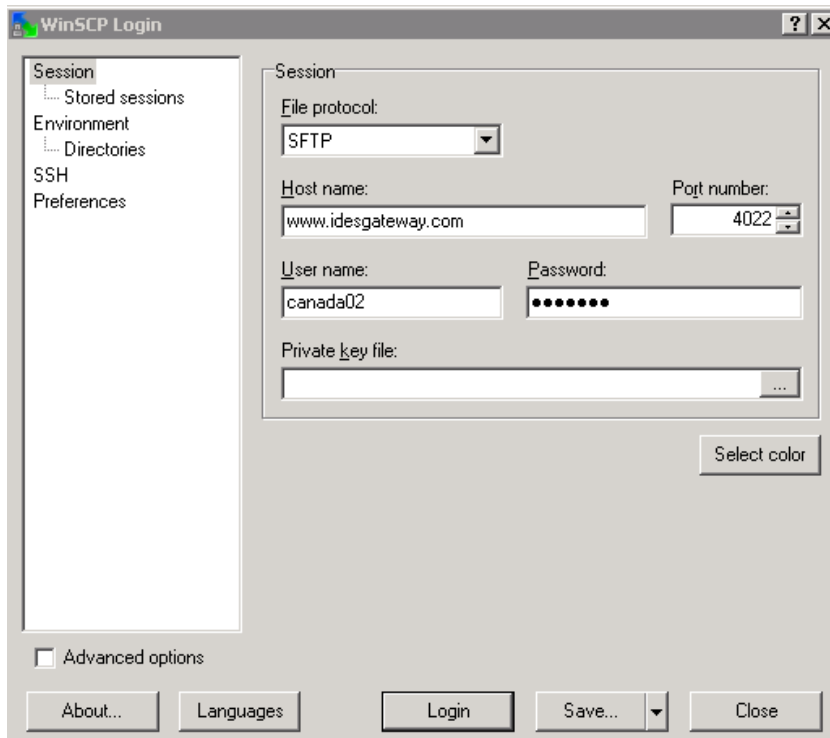


Figure 154 – Sample SFTP connection

13.8 Connect to IDES SFTP using Windows Secure Copy (WinSCP):

1. Open your SFTP client. Your SFTP client may have different settings than the one shown as an example.
2. In SFTP **Host name**, enter <https://www.idesgateway.com>. The following IP addresses should be exposed (no firewall restrictions) to send and receive files.
 - a. Port: 4022
 - b. External FQDN address:
 - www.idesgateway.com
3. When you connect using SSH, you may see an authentication screen. Click **Continue**.



Figure 155 – SSH authentication disclaimer

4. In **User name**, enter the user name selected during the enrollment process.
 - a. If HCTA, type the user name provided by the IRS or contact your local Competent Authority for more information.
5. In **Password**, enter your password and click **Login**.

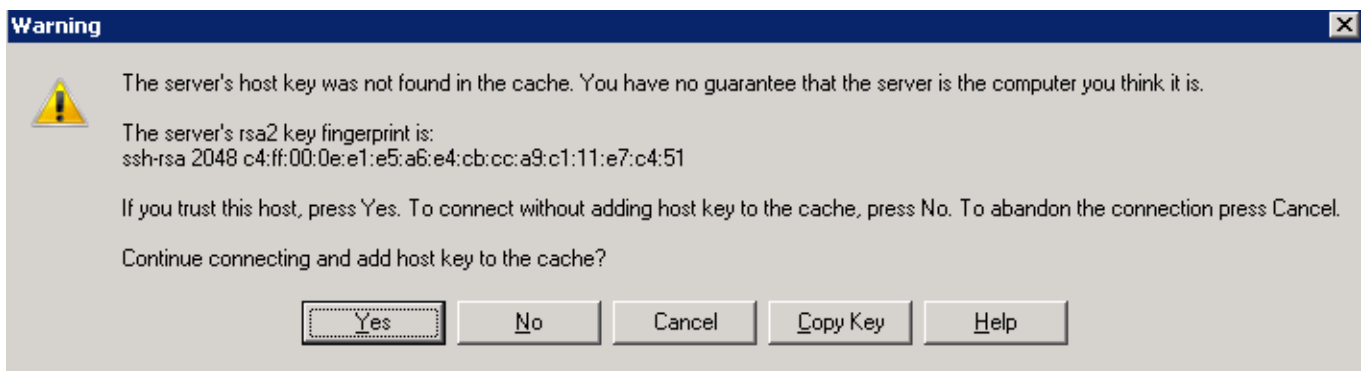


Figure 156 – SFTP warning dialog

6. You may be prompted with a **Warning** message about the server's secure key.
7. Click **Yes** to accept the key and continue.

C:\Users\eferrer\Documents						/					
Name	Ext	Size	Type	Changed	Attr	Name	Ext	Size	Changed	Rights	Owner
..			Parent directory	10/14/2014 4:39:4...	r	..			12/10/2014 1:58:0...	rwxr-xr-x	20000
My Music			File Folder	10/14/2014 4:39:4...	sh	Inbox			12/8/2014 10:33:0...	rwxr-xr-x	20000
My Pictures			File Folder	10/14/2014 4:39:4...	sh	Outbox			12/8/2014 10:33:0...	rwxr-xr-x	20000
My Videos			File Folder	10/14/2014 4:39:4...	sh						
desktop.ini		402 B	Configuration s...	10/14/2014 4:39:4...	ash						

C:\Users\eferrer\Documents						/Outbox/840					
Name	Ext	Size	Type	Changed	Attr	Name	Ext	Size	Changed	Rights	Owner
..			Parent directory	10/14/2014 4:39:4...	r	..			12/10/2014 1:58:0...	rwxr-xr-x	20000
My Music			File folder	10/14/2014 4:39:4...	sh						
My Pictures			File folder	10/14/2014 4:39:4...	sh						
My Videos			File folder	10/14/2014 4:39:4...	sh						
desktop.ini		402 B	Configuration s...	10/14/2014 4:39:4...	ash						

Figure 157 – SFTP Connection

8. You will see your local computer directories on the left pane and the IDES home folders and subfolders in the right pane. See [Folder Structure](#), for more information.
 - Go to Inbox/840 to download files from the US.
 - Go to Outbox/840 to upload files to the US.

9. SSH transfers: Do not attempt to upload a file using a temporary file name and then rename the file. Some tools attempt to rename files automatically.
 - a. If using WinSCP: Uploads will fail if WinSCP is configured to upload files such as *<filename>.filepart*. This configuration option should be disabled via the following steps:
 - Navigate to WinSCP > Preferences > Endurance -> "Enable transfer resume / transfer to temporary filename for"
 - Disable the above option

Note: IDES SFTP supports password authentication ONLY. The IDES account will expire if you fail to change the password every 90 days. To update an expired password, go to the [IDES Enrollment site](#) or contact the [IDES Help Desk](#).

14 Alerts

14.1 Overview

IDES issues email alerts via unsecured, plain-text email to all users based on user preference settings. The IDES Alert contains information about the transmission process and does not contain any personally identifiable information. IDES Alerts are sent to both the sender and receiver immediately after IDES processes the transmission. All transmissions are scanned for viruses, encryption, and mandatory elements in the metadata XML file. If a transmission fails the validation checks, the transmission will be deleted. The sender receives an IDES Alert email and is required to resubmit the transmission for processing. The history of all alerts is available online in IDES Dashboard and can be viewed through a secure web browser.

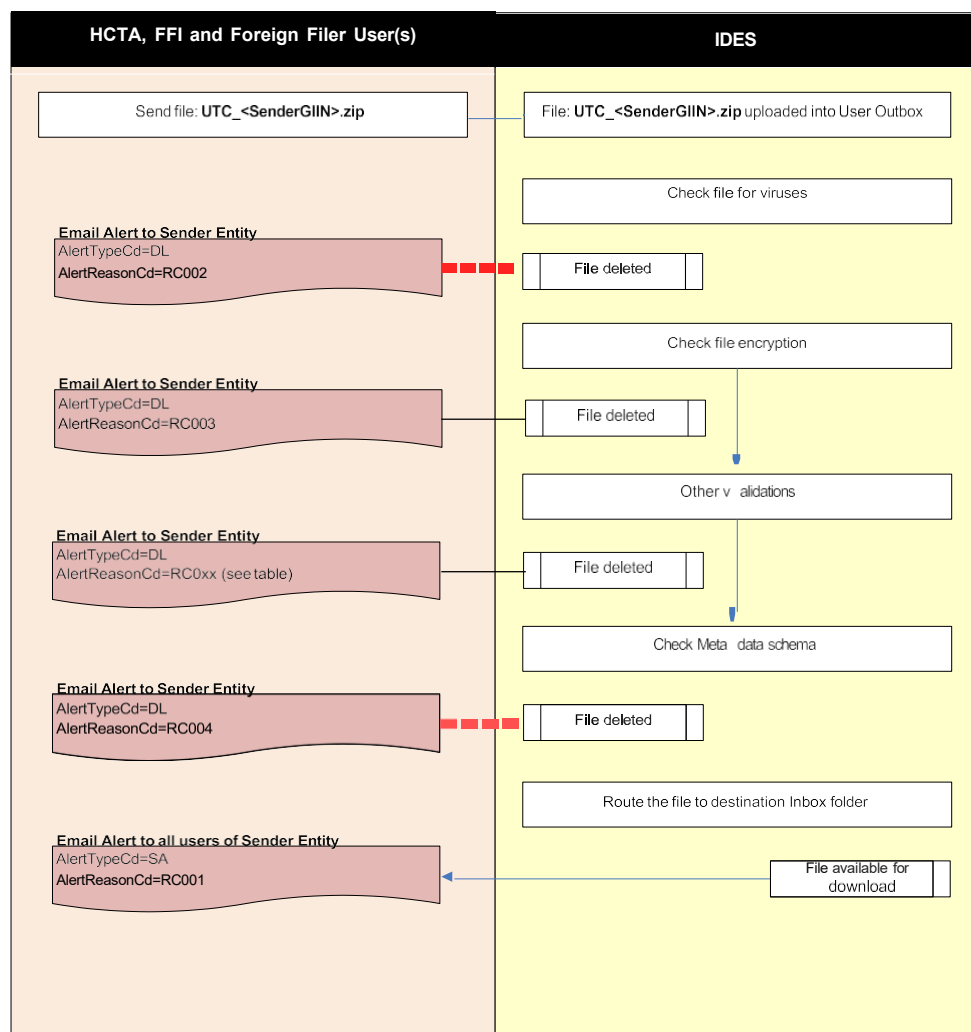


Figure 158 – IDES alert flow chart for transmission uploads

14.2 Receive Alerts

See [Select Alert Preferences](#), for more information on configuring IDES Alerts.

The IDES Alert email message will come from a unique address: alerts@idesgateway.com. The message contains the following:

- IDES unique transmission ID
- User-specified file name/ID
- User-specified sending application timestamp
- From (Sender)
- To (Receiver)
- Message Type (payload type)
- Sending Date/Time Timestamp
- Alert Date/Time Timestamp
- Alert Code (transmission status)

From: alerts@idesgateway.com

To: Receiver email address

Subject: IDES – Alert for a Transmission

IDES Alert

RETURNCODE	RC021
RETURNMESSAGE	RD
COMMENTACK	File is available for download. Notification for the Receiver.
FILESIZE	4
IDESTRANSID	756FKVL2D0KnfA5gnUlihem.
FATCASENDERID	GIIN
FATCARECEIVERID	000000.00000.TA.840
MSGTYPE	RPT
SENDERFILEID	2016020116044991Z_GIIN
SENDERFILETS	2016-02-01T16:04:49Z
ALERTTS	2016-02-01T15:06:06Z
ORIGINALIDESTRANSID	NOT APPLICABLE

Figure 159 – Sample IDES alert e-mail message

Note: If a transmission fails to process, it will be automatically deleted. When a transmission fails to upload, only partial elements are available in the alert message because the metadata file could not be processed. The transmission archive must be corrected and resubmitted.

15 IDES Reports

15.1 IDES Dashboard Overview

IDES Dashboard monitoring and reporting for all transmissions on a record-by-record basis. IDES Dashboard will correlate the events and store multiple data records that describe the end-to-end flow of every file transferred using IDES. Users can query the system for all events and search, filter and view the transmission history. IDES Dashboard's monitoring features allow the user to:

- Execute and filter predefined queries to analyze the data in the repository based on specific parameters.
- Retrieve historical information about alerts and notifications.

Note: All users, including Foreign Filers enrolled with IDES can access the IDES Dashboard through IDES (in the web portal page). All FI, HCTA and Foreign Filer users can view the alert and transfer history of all uploaded files and notifications that pertain to their entity only. When users access the IDES Dashboard, the reports are automatically filtered by GIIN for the user.

It includes a set of predefined reports that will be available to all authorized users of a given FI, Foreign Filer or HCTA.

<i>Report/Query</i>	<i>Description</i>
List of All Report Alerts	To display a list of all transmissions.
List of Failed Transmissions	To display a list of all failed transmissions (uploads or downloads).
List of Transmission Downloads	To display a list of all successful transmissions downloaded by the FFI or HCTA
List of Transmission Uploads	To display a list of all successful transmissions uploaded by the FFI or HCTA.
List of Transmission Not Downloaded within Last 7 days	To display a list of all transmissions not downloaded by a user within last 7 days. Expired transmissions.
List of Transmission Downloads (Model 1 Option 2 ONLY)	To display a list of all transmissions downloaded by a Model 1 Option 2 HCTA.
List of Transmissions to Be Reviewed (Model 1 Option 2)	To display a list of all transmissions to be reviewed by a Model 1 Option 2 HCTA.

Table 25 – Summary of IDES Dashboard available reports

15.2 System Timeout

A session expires after 15 minutes of inactivity. When a session expires, the login window will appear.

15.3 Connect to IDES Reporting Dashboard using web browser

1. Directly enter the URL for the IDES Reporting Dashboard: <https://visibility.idesgateway.com/>
2. Accept the disclaimer

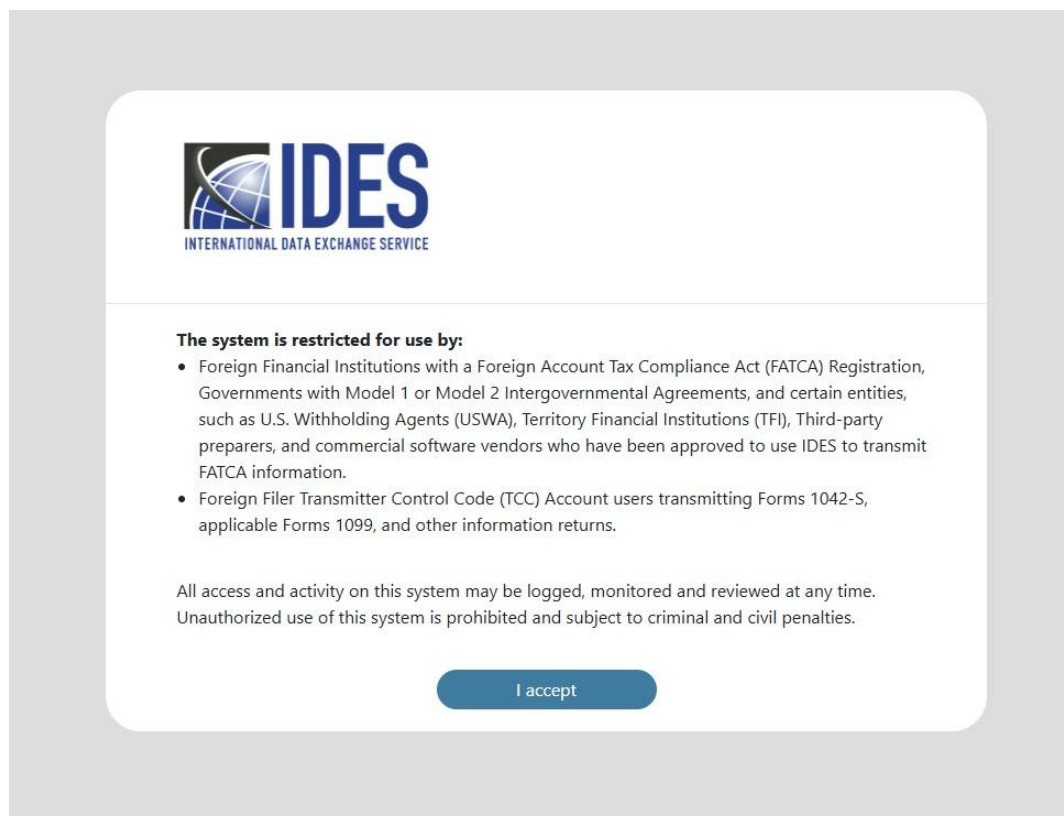


Figure 160 – IDES Dashboard disclaimer banner

Note: Only users that have completed the enrollment process are authorized to access the system.

3. IDES Reporting Dashboard login page is displayed.

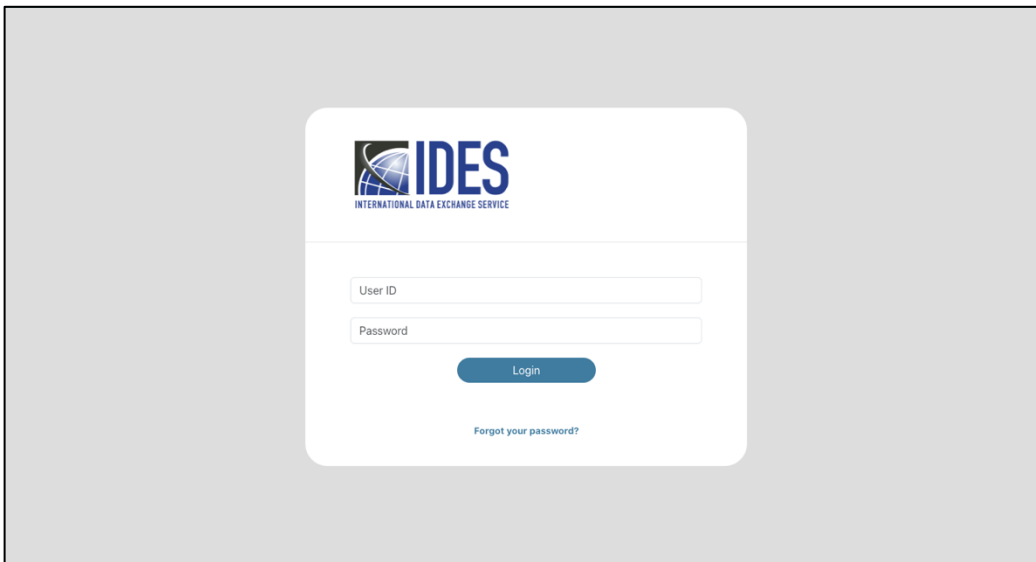


Figure 161 – IDES Web Dashboard login page

4. Enter User ID / Password to access IDES Web Dashboard.

5. Successful Login will result in the IDES Web Dashboard home page:

IDES Reporting Dashboard ky_test_fffi

Start Date: 11/01/2024 End Date: 11/19/2024 Message Type: Message Type

Uploaded File Name: Uploaded File Name Alert Code: Alert Code Sender File ID: Sender File ID

Sender File TS: Submit Clear Selection Refresh

List of All report Alerts

Search any Text, Date Search use YYYY-MM-DD Format

Export as: CSV Excel PDF HTML

Action	Alert Date and Time	State	Alert Text	Uploaded File Name	Sender File Id	Sender File Timestamp	IDES Trans id
View Details	11/13/2024 21:11 pm	Available	Available for receiver to download	VALID12377666va1_TA8NMH.9...	20230404T185846600Z_TA8N...	11/13/2024 21:11 pm	1361_X4aYyauN_espGg0fue3p
View Details	11/13/2024 21:11 pm	Available	Available for HCTA review (Mod...	VALID12377666va1_TA8NMH.9...	20230404T185846600Z_TA8N...	11/13/2024 21:11 pm	1361_X4aYyauN_espGg0fue3p
View Details	11/13/2024 21:11 pm	Available	Successful upload and approve...	VALID12377666va1_TA8NMH.9...	20230404T185846600Z_TA8N...	11/13/2024 21:11 pm	1361_X4aYyauN_espGg0fue3p
View Details	11/13/2024 21:11 pm	Available	Successful upload (including all ...	VALID12377666va1_TA8NMH.9...	20230404T185846600Z_TA8N...	11/13/2024 21:11 pm	1361_X4aYyauN_espGg0fue3p

Figure 162 – IDES Reporting Dashboard home page

Note: The list of rows will only show for that user if they have activity for that range. By default, it is 24 hours.

15.4 Understanding Reporting Dashboard Interface

15.4.1 IDES Reporting Dashboard Home Page

Web Dashboard interface home page is displayed with the following sections:

Title Bar – It displays the logged in user on the top right corner with a “person” icon. This gives optional links to the IDES Support site or to logout.

Action	Alert Date and Time	State	Alert Text	Uploaded File Name	Sender File ID	Sender File Timestamp	IDES Trans id
View Details	11/13/2024 21:11 pm	Available	Available for receiver to download	VALID12377666va1_TA8NMH.9...	20230404T185846600Z_TA8N...	11/13/2024 21:11 pm	1361_X4aYyauN_espGg0fue3p
View Details	11/13/2024 21:11 pm	Available	Available for HCTA review (Mod...	VALID12377666va1_TA8NMH.9...	20230404T185846600Z_TA8N...	11/13/2024 21:11 pm	1361_X4aYyauN_espGg0fue3p
View Details	11/13/2024 21:11 pm	Available	Successful upload and approve...	VALID12377666va1_TA8NMH.9...	20230404T185846600Z_TA8N...	11/13/2024 21:11 pm	1361_X4aYyauN_espGg0fue3p
View Details	11/13/2024 21:11 pm	Available	Successful upload (including all ...	VALID12377666va1_TA8NMH.9...	20230404T185846600Z_TA8N...	11/13/2024 21:11 pm	1361_X4aYyauN_espGg0fue3p

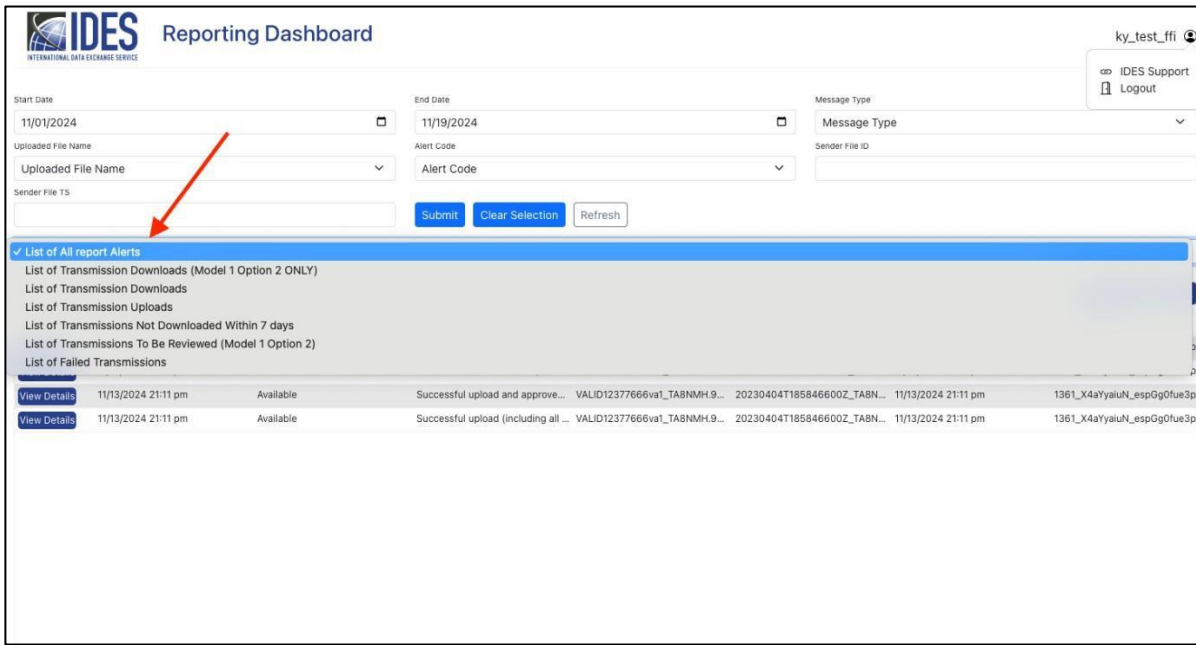
Figure 163 – Reporting Dashboard title bar

15.4.2 Working with IDES Reporting Dashboards

By default, the dashboard Home page is displayed after logging into IDES Reporting Dashboard. To navigate to the reports:

Report Menu Dropdown – A dropdown menu along the top of the output window provides all the IDES transmission reports, one report per tab. Clicking on any tab will open that report in the analysis window below. In Figure 155, the “List of All Report Alerts” report is shown.

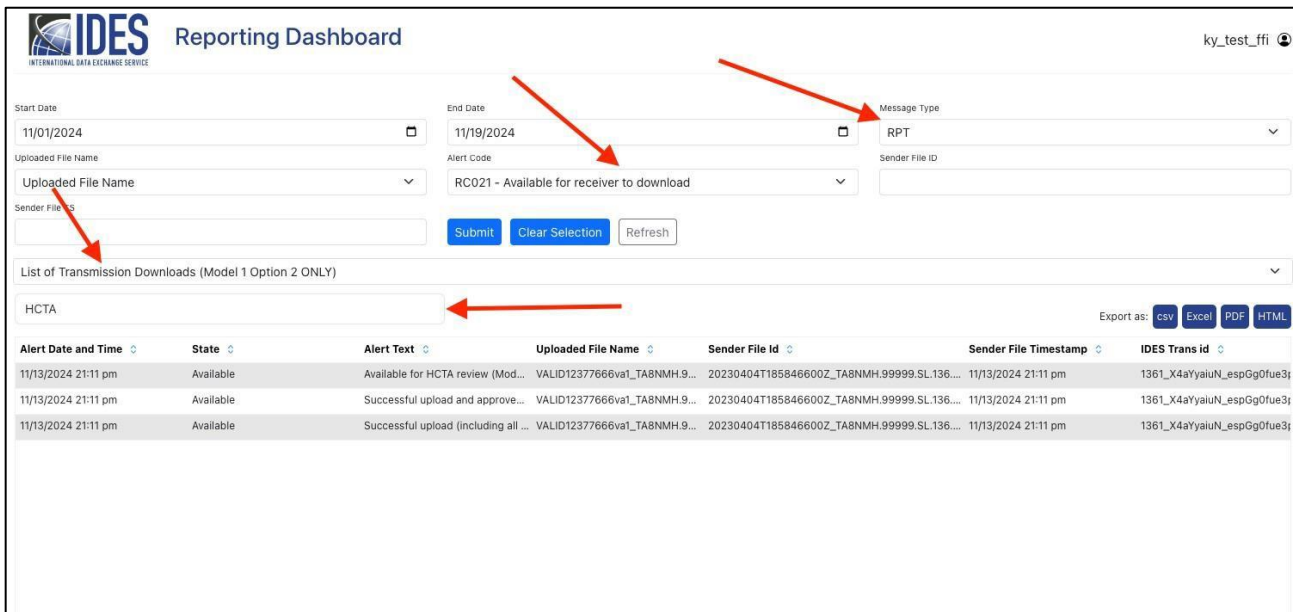
Filter Bar – A set of predefined filters are available along a filter bar just above the report tabs (the red arrow in figure 113). Clicking on any filter will expand the filter bar for changing the filter values.



The screenshot shows the main menu of the IDES Reporting Dashboard. At the top, there's a header with the IDES logo and 'Reporting Dashboard'. On the right, a user profile 'ky_test_ffi' is shown with links for 'IDES Support' and 'Logout'. The main area contains several filter fields: 'Start Date' (11/01/2024), 'End Date' (11/19/2024), 'Message Type' (Message Type), 'Uploaded File Name', 'Alert Code', and 'Sender File ID'. Below these are 'Submit', 'Clear Selection', and 'Refresh' buttons. A red arrow points to the 'List of All report Alerts' dropdown menu, which is currently expanded, showing options like 'List of Transmission Downloads (Model 1 Option 2 ONLY)', 'List of Transmission Downloads', 'List of Transmission Uploads', 'List of Transmissions Not Downloaded Within 7 days', 'List of Transmissions To Be Reviewed (Model 1 Option 2)', and 'List of Failed Transmissions'. Below the menu is a table with two rows of data, each with a 'View Details' link.

Figure 164 – Main dashboard menu

Once a predefined filter is selected, the remaining filters on top and bottom can be edited. It will continue to show results based on matching criteria.



The screenshot shows the 'Select a dashboard' view of the IDES Reporting Dashboard. The header and user profile are the same. The filter fields are now populated: 'Start Date' (11/01/2024), 'End Date' (11/19/2024), 'Message Type' (RPT), 'Uploaded File Name', 'Alert Code' (RC021 - Available for receiver to download), and 'Sender File ID'. The 'Submit', 'Clear Selection', and 'Refresh' buttons are still present. A red arrow points to the 'List of Transmission Downloads (Model 1 Option 2 ONLY)' dropdown menu, which is now expanded, showing a search bar with 'HCTA' entered. Below the menu is a table with three rows of data, each with a 'View Details' link. The table has columns for 'Alert Date and Time', 'State', 'Alert Text', 'Uploaded File Name', 'Sender File ID', 'Sender File Timestamp', and 'IDES Trans id'. The 'Export as' buttons (csv, Excel, PDF, HTML) are visible on the right.

Figure 165 – Select a dashboard

Click on the start date filter to change the start date:

IDES Reporting Dashboard ky_test_ffir

Start Date: 11/18/2024 End Date: 11/19/2024 Message Type:

Alert Code: Alert Code:

Submit Clear Selection Refresh

Model 1 Option 2 ONLY

No data found

Note: A red arrow points to the Start Date field, which has a calendar dropdown open showing November 2024.

Figure 166 – Adjusting the start date filter

Click on the end date filter to change the end date:

IDES Reporting Dashboard ky_test_ffir

Start Date: 11/18/2024 End Date: 11/19/2024 Message Type:

Uploaded File Name: Sender File ID:

Refresh

List of Transmission Downloads (Model 1 Option 2 ONLY)

Action

No data found

Note: A red arrow points to the End Date field, which has a calendar dropdown open showing November 2024.

Figure 167 – Adjusting the end date filter

The filter refresh buttons include Submit, Clear Selection, and Refresh:

The screenshot shows the IDES Reporting Dashboard with the following filters and buttons:

- Start Date:** 10/18/2024
- End Date:** 11/19/2024
- Message Type:** Message Type
- Alert Code:** Alert Code
- Submit:** A blue button to apply the filters.
- Clear Selection:** A blue button to clear the selected filters.
- Refresh:** A white button to refresh the data.

Below the filters is a table titled "List of Transmission Downloads (Model 1 Option 2 ONLY)" with columns: Action, Alert Date and Time, State, Alert Text, Uploaded File Name, Sender File Id, Sender File Timestamp, and IDES Trans k.

Figure 168 – Reset or Refresh a filter

Click on a drop-down filter bar to select all values or specific values with the check boxes. After selecting values click in the white space beside a filter to close the drop-down box and apply the filter changes to the report.

To use a new filter, the user will choose that new filter and resubmit. Any drop-down field will have options; all other filters require the users input based on the filter type name.

The screenshot shows the IDES Reporting Dashboard with the "Message Type" dropdown menu open. The menu lists the following options:

- ✓ Message Type
- CAR
- CBC
- CBCStatus
- NTF
- OTH
- REG
- RPT

Below the filters is a table titled "List of Transmission Downloads (Model 1 Option 2 ONLY)" with columns: Action, Alert Date and Time, State, Alert Text, Uploaded File Name, Sender File Id, Sender File Timestamp, and IDES Trans k.

Figure 169 – Reset or apply a filter

Below, the dashboard is now filtered by transmissions that were not transmitted within 7 days (for Fls or HCTAs) or 30 days for Foreign Filers. The **State** = Failed and date range is 10/18/2024 – 11/19/2024:

IDES Reporting Dashboard ky_test_ffl

Start Date: 10/18/2024 End Date: 11/19/2024 Message Type:
 Uploaded File Name:
 Alert Code:
 Sender File ID:
 Submit Clear Selection Refresh

List of Transmissions Not Downloaded Within 7 days

HCTA

Export as: csv Excel PDF HTML

Action	Alert Date and Time	State	Alert Text	Uploaded File Name	Sender File Id	Sender File Timestamp	IDES
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, transmis...	298VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	1368
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, transmis...	296VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	136V
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, transmis...	297VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	1362
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, transmis...	300VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	1368
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, transmis...	299VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	1368
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, transmis...	294VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	1368
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, transmis...	295VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	1368
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, transmis...	291VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	136V
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, transmis...	292VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	136L
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, transmis...	293VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	136D
View Details	10/31/2024 22:10 pm	Failed	No actions from its own HCTA, transmis...	20230404T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	10/31/2024 22:10 pm	1366
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, transmis...	98VALID4T185_TA8NMH.9999...	20230404T185846600Z_TA8NMH.99999.SL.136...	10/28/2024 17:10 pm	1363
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, transmis...	99VALID4T185_TA8NMH.9999...	20230404T185846600Z_TA8NMH.99999.SL.136...	10/28/2024 17:10 pm	136q

Figure 170 – Dashboard Result

Executing the IDES Life Cycle Report from the dashboard.

1. After filter is applied, click on 'View Details' button on the left.
2. Within Transmission Details, there are two tabs. First is View Details, second is Transmission Life cycle.

Transmission Details

Event Details | Transmission Life cycle

RC029 > RC022 > RC006

Alert timestamp	State	Alert Code	Alert Status	User Name	FATCA Sender Id	FATCA Receiver Id	Message Type	Sender File Id	Tax Year	File Size	Original IDES Transmission Id	Uploaded File Name	Transmission Id	Sender File Timestamp
2024-10-25T16:24:45.985	Available	RC029	Successful upload (including all IDES validation checks) waiting for HCTA approval	ky_test_ffi	TABNMH.99999.SL.136	000000.00000.TA.840	RPT	20230404T185846600Z_TABNMH.99999.SL.136.zip	2022	4.28 KB		298VALID4T185846416Z_TABNMH.99999.SL.136.zip	136a_gVUIYrDKH_qMf4ADd3M3AQ0QHnv	2024-10-25T16:24:45.799

Figure 172 – Within View Details, the Transmission Life Cycle tab

- Click on any row in the detail Event Details report and it will show the Life Cycle of the respective file transmission.

IDES Reporting Dashboard

Start Date: 10/18/2024 | End Date: 11/19/2024 | Message Type: Message Type

Uploaded File Name: | Alert Code: | Sender File ID: |

Submit | Clear Selection | Refresh

List of Transmissions Not Downloaded Within 7 days

HCTA

Action	Alert Date and Time	State	Alert Text	Uploaded File Name	Sender File Id	Sender File Timestamp	IDES
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	298VALID4T185846416Z_TABNMH.99999.SL.136...	20230404T185846600Z_TABNMH.99999.SL.136...	11/01/2024 16:11 pm	136...
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	296VALID4T185846416Z_TABNMH.99999.SL.136...	20230404T185846600Z_TABNMH.99999.SL.136...	11/01/2024 16:11 pm	136...
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	297VALID4T185846416Z_TABNMH.99999.SL.136...	20230404T185846600Z_TABNMH.99999.SL.136...	11/01/2024 16:11 pm	136...
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	300VALID4T185846416Z_TABNMH.99999.SL.136...	20230404T185846600Z_TABNMH.99999.SL.136...	11/01/2024 16:11 pm	136...
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	299VALID4T185846416Z_TABNMH.99999.SL.136...	20230404T185846600Z_TABNMH.99999.SL.136...	11/01/2024 16:11 pm	136...
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	294VALID4T185846416Z_TABNMH.99999.SL.136...	20230404T185846600Z_TABNMH.99999.SL.136...	11/01/2024 16:11 pm	136...
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	295VALID4T185846416Z_TABNMH.99999.SL.136...	20230404T185846600Z_TABNMH.99999.SL.136...	11/01/2024 16:11 pm	136...
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	291VALID4T185846416Z_TABNMH.99999.SL.136...	20230404T185846600Z_TABNMH.99999.SL.136...	11/01/2024 16:11 pm	136...
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	292VALID4T185846416Z_TABNMH.99999.SL.136...	20230404T185846600Z_TABNMH.99999.SL.136...	11/01/2024 16:11 pm	136...
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	293VALID4T185846416Z_TABNMH.99999.SL.136...	20230404T185846600Z_TABNMH.99999.SL.136...	11/01/2024 16:11 pm	136...
View Details	10/31/2024 22:10 pm	Failed	No actions from its own HCTA, ...	20230404T185846416Z_TABNMH.99999.SL.136...	20230404T185846600Z_TABNMH.99999.SL.136...	10/31/2024 22:10 pm	136...
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	98VALID4T185846600Z_TABNMH.99999.SL.136...	20230404T185846600Z_TABNMH.99999.SL.136...	10/28/2024 17:10 pm	136...
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	99VALID4T185846600Z_TABNMH.99999.SL.136...	20230404T185846600Z_TABNMH.99999.SL.136...	10/28/2024 17:10 pm	136...

Figure 173 – Expanding a column

4. Click on any column to expand, click and drag to the left or right. This will expand the column.

15.4.3 Navigating between dashboards

From the Dashboard home page, a user can move between reports by clicking on the corresponding tab in the Report Tab bar (red arrow below). Selecting the tab 'Failed Transmissions' will display the Failed Transmission report:

The screenshot displays the IDES Reporting Dashboard. At the top, there's a header with the IDES logo and 'Reporting Dashboard'. Below this, there are filters for Start Date (10/18/2024), End Date (11/19/2024), Message Type, Uploaded File Name, Alert Code, and Sender File ID. A 'Submit' button is present. Below the filters, there's a section for 'List of Transmissions Not Downloaded Within 7 days' with a search bar for 'HCTA'. To the right, there are export options: CSV, Excel, PDF, and HTML. The main part of the dashboard is a table with columns: Action, Alert Date and Time, State, Alert Text, Uploaded File Name, Sender File Id, Sender File Timestamp, and IDES Trans i. The table contains 15 rows of data, all with a 'Failed' state. At the bottom, there's a pagination bar showing 'Total Rows: 270', '25 / page', and a list of page numbers (1, 2, 3, 4, 5, ..., 11). Red arrows point from the 'View Details' links in the first five rows to the pagination controls.

Action	Alert Date and Time	State	Alert Text	Uploaded File Name	Sender File Id	Sender File Timestamp	IDES Trans i
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA...	298VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	136a_gVUIY
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA...	296VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	136V_ubmH
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA...	297VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	1367_tujVIM
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA...	300VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	1368_B7AT
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA...	299VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	136d_w8Xw
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA...	294VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	1363_126lO
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA...	295VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	136g_YC1dU
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA...	291VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	136v_gZyeL
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA...	292VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	136l_pllrrNrr
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA...	293VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	11/01/2024 16:11 pm	136D_3aiX5i
View Details	10/31/2024 22:10 pm	Failed	No actions from its own HCTA...	20230404T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	10/31/2024 22:10 pm	1366_A04IBi
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA...	98VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	10/28/2024 17:10 pm	1363_M5Kk
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA...	99VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	10/28/2024 17:10 pm	136q_o7Sad
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA...	97VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136...	10/28/2024 17:10 pm	136R_oYpwC

Figure 174 – Dashboard page navigation

At the bottom of the screen, page navigation is available. The user can change the number of rows displayed per page, incrementally move from page to page, or type in a page to immediately navigate to.

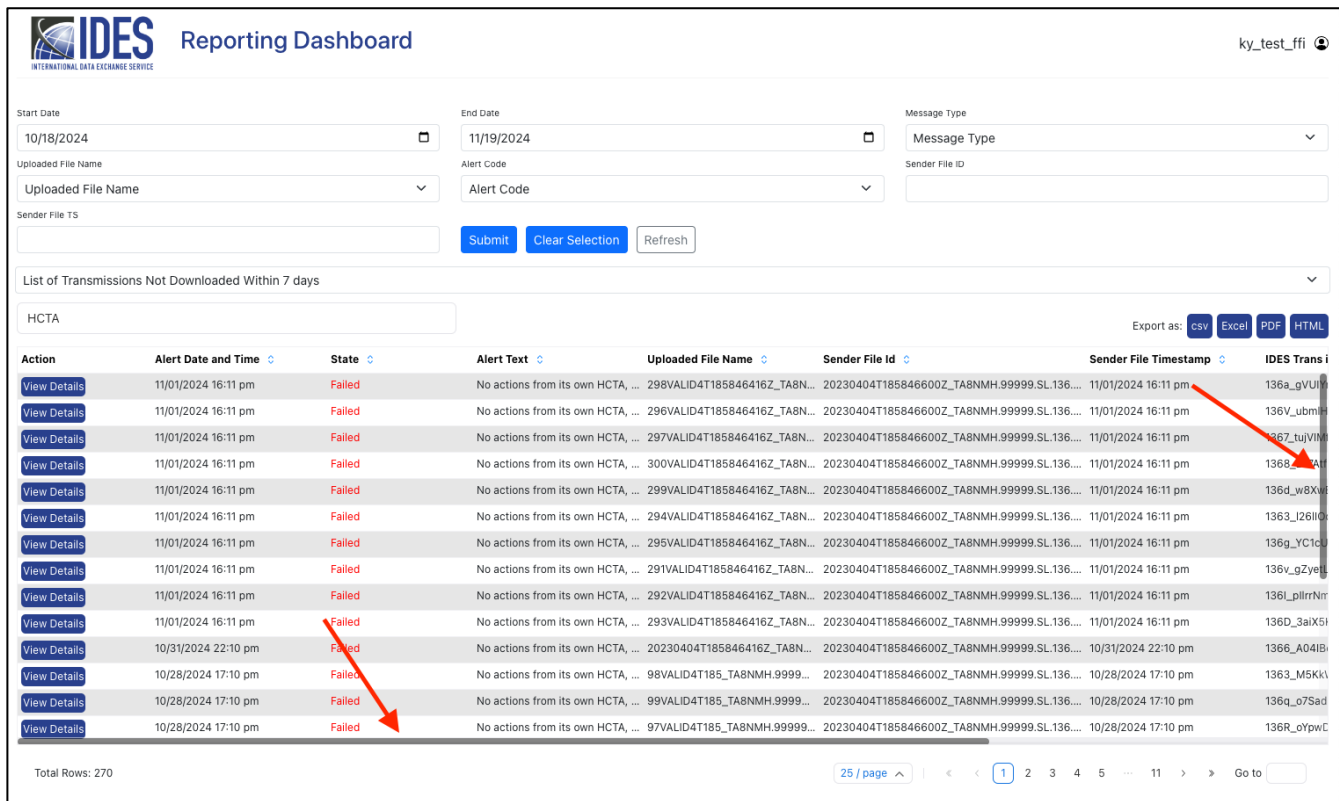


Figure 175 – Dashboard navigation scroll bars

Scroll bars are available along the right side to scroll up and down and at the bottom to scroll left and right. In addition, there are arrow tabs to move the report tabs left and right.

15.4.4 Generating Reports from Dashboards

After viewing a report by clicking on the report tab, you may export the report to CSV, Excel, PDF, or HTML formats. You can also view any previous exports. Click on the export icon in the top right of the blue bar along the top of your screen.

The screenshot shows the IDES Reporting Dashboard. At the top, there's a header with the IDES logo and 'Reporting Dashboard'. Below the header, there are several filter fields: 'Start Date' (10/18/2024), 'End Date' (11/19/2024), 'Message Type' (dropdown), 'Uploaded File Name' (dropdown), 'Alert Code' (dropdown), and 'Sender File ID' (text input). There are also 'Submit', 'Clear Selection', and 'Refresh' buttons. Below the filters, there's a section titled 'List of Transmissions Not Downloaded Within 7 days' with a search bar containing 'HCTA'. To the right of this section, there's a red box highlighting the 'Export as:' dropdown menu, which has options for 'CSV', 'Excel', 'PDF', and 'HTML'. Below the search bar, there's a table with columns: 'Action', 'Alert Date and Time', 'State', 'Alert Text', 'Uploaded File Name', 'Sender File Id', 'Sender File Timestamp', and 'IDES Trans'. The table contains 15 rows of data, all with a 'Failed' state. Each row has a 'View Details' link. The table is truncated at the bottom, indicating more rows are available.

Action	Alert Date and Time	State	Alert Text	Uploaded File Name	Sender File Id	Sender File Timestamp	IDES Trans
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	298VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136....	11/01/2024 16:11 pm	136a_gVUIY
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	296VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136....	11/01/2024 16:11 pm	136V_ubmH
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	297VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136....	11/01/2024 16:11 pm	1367_tujVIM
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	300VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136....	11/01/2024 16:11 pm	1368_B1AT
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	299VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136....	11/01/2024 16:11 pm	136d_w8Xv
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	294VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136....	11/01/2024 16:11 pm	1363_l26lO
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	295VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136....	11/01/2024 16:11 pm	136g_YC1c
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	291VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136....	11/01/2024 16:11 pm	136v_gZyeL
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	292VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136....	11/01/2024 16:11 pm	136l_pllrN
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	293VALID4T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136....	11/01/2024 16:11 pm	136d_3aIX
View Details	10/31/2024 22:10 pm	Failed	No actions from its own HCTA, ...	20230404T185846416Z_TA8N...	20230404T185846600Z_TA8NMH.99999.SL.136....	10/31/2024 22:10 pm	1366_A04B
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	98VALID4T185_TA8NMH.99999...	20230404T185846600Z_TA8NMH.99999.SL.136....	10/28/2024 17:10 pm	1363_M5Kk
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	99VALID4T185_TA8NMH.99999...	20230404T185846600Z_TA8NMH.99999.SL.136....	10/28/2024 17:10 pm	136g_o7Sa
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	97VALID4T185_TA8NMH.99999...	20230404T185846600Z_TA8NMH.99999.SL.136....	10/28/2024 17:10 pm	136R_oYpw
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	9VALID4T185_TA8NMH.99999...	20230404T185846600Z_TA8NMH.99999.SL.136....	10/28/2024 17:10 pm	136v_O13M
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	96VALID4T185_TA8NMH.99999...	20230404T185846600Z_TA8NMH.99999.SL.136....	10/28/2024 17:10 pm	136R_wSt19
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	94VALID4T185_TA8NMH.99999...	20230404T185846600Z_TA8NMH.99999.SL.136....	10/28/2024 17:10 pm	136v_r3DAN

Figure 176 – Export icons in red box

If the report is greater than 2000 rows, an alert will appear to warn the user. The web browser will not display records beyond 2000, but the user can still filter down the results to be less than 2000. Also, they can export the report, and all rows will be present in the export, regardless of row count.



Reporting Dashboard

ky_test_ffii

Start Date

01/18/2022

End Date

11/19/2024

Message Type

Message Type

Uploaded File Name

Alert Code

Alert Code

Sender File ID

Submit

Clear Selection

Refresh

List of Transmissions Not Downloaded Within 7 days

HCTA

Action	Alert Date and Time	Alert Code	Sender File ID	Sender File Timestamp	IDES Trans ID
View Details	11/01/2024 16:11 pm			11/01/2024 16:11 pm	136a_gVUJ...
View Details	11/01/2024 16:11 pm			11/01/2024 16:11 pm	136V_ubmH...
View Details	11/01/2024 16:11 pm			11/01/2024 16:11 pm	1367_tuVH...
View Details	11/01/2024 16:11 pm			11/01/2024 16:11 pm	1368_B17A...
View Details	11/01/2024 16:11 pm			11/01/2024 16:11 pm	136d_w8XU...
View Details	11/01/2024 16:11 pm			11/01/2024 16:11 pm	1363_i2Bf...
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	11/01/2024 16:11 pm	136v_gZye...
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	11/01/2024 16:11 pm	136i_pilrN...
View Details	11/01/2024 16:11 pm	Failed	No actions from its own HCTA, ...	11/01/2024 16:11 pm	136D_3aiX...
View Details	10/31/2024 22:10 pm	Failed	No actions from its own HCTA, ...	10/31/2024 22:10 pm	1366_A04B...
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	10/28/2024 17:10 pm	1363_M5K...
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	10/28/2024 17:10 pm	136q_o7Sa...
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	10/28/2024 17:10 pm	136R_oYpw...
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	10/28/2024 17:10 pm	136v_O13M...
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	10/28/2024 17:10 pm	136R_wSti...
View Details	10/28/2024 17:10 pm	Failed	No actions from its own HCTA, ...	10/28/2024 17:10 pm	136v_r3D4...

Record Limit Warning

The number of records in the requested result set exceeds the report's maximum limit. To view a subset of the data, modify the filter criteria. For access to the complete data set, please utilize the provided options to download the report in your preferred file format.

CSV Export

EXCEL Export

PDF Export

HTML Export

Figure 177 – Record Limit Warning

15.5 Search Transmission and Alert History

All alerts, notifications, and transmission statuses will be stored in the system indefinitely. You can choose reports with a date range to filter for historical transmissions. An FFI or HCTA with various end users can only view the history that pertains to their entity. If you need assistance retrieving historical account information, contact the [IDES Help Desk](#).

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15.6 View Search Results

In IDES Dashboard, all transmission events are color-coded based on transmission status. See [Appendix E: IDES Alert Codes](#).

Event	Description
Black	Transmission event still processing
Green	Transmission event completed successfully
Red	Failed Transmission (transmission deleted)

Table 26 – IDES Dashboard Color-Coded Transmission Events

15.7 IDES Transmissions Overview

15.7.1 List of All Report Alerts

The report corresponds to the current status of all transmissions where the IDES user is either the sender (file upload) or receiver (file download). It is a combination of all report alert types and also includes the file available for download. The most current status related to the transmission upload will be reported.

Based on current configurations, the following return codes will be displayed in the reports:

Return Code	Description
RC001	File Uploaded
RC002	Anti-Virus Check Error
RC003	Encryption Check Error
RC004	Metadata Check Error
RC005	File Rejected
RC006	HCTA File Expired After 7 Days (Model 1 Option 2 only)
RC007	File Expired
RC008	Invalid Sender GIIN
RC012	GIIN Not Match Payload
RC013	GIIN Not Match Key
RC014	Payload Missing
RC015	Key Missing
RC016	HCTA Key Missing (Model 1 Option 2 only)
RC018	Package Name Error
RC019	Metadata Missing
RC020	Certificate Failure
RC021	File Available for Download
RC022	File Available for Review (Model 1 Option 2 only)
RC023	Upload-Approved by Tax Authority (Model 1 Option 2 only)
RC024	Receiver Downloaded
RC025	Invalid Zip Package
RC026	Too Many Files in Package
RC027	Package Contain Folder
RC028	Invalid HCTA Key Name
RC029	Upload-Waiting Tax Authority (Model 1 Option 2 only)
RC030	Downloaded by the HCTA Reviewer (Model 1 Option 2 only)
RC999	Unexpected error

Table 27 – IDES Dashboard Report Return Codes

15.7.2 List of Failed Transmissions

The report corresponds to all possible transmission errors. The transmission is deleted with the error type DL.

All the failed transmissions should be **red** colored in the report.

Code	Reason	Description/Action
Transmission Deleted – Type: DL		
RC002	Anti-Virus Check Error	The data packet failed IDES validation. One or more files in the data packet are infected with malware. The metadata file may be infected if the other files are correctly encrypted. The sender must perform an anti-virus check to clean the data packet and retransmit.
RC003	Encryption Check Error	The data packet failed IDES validation. One or more files in the data packet are not encrypted as required. The sender must encrypt the FATCA XML document and the AES key as required in the data packet and retransmit.
RC004	Metadata Check Error	The data packet failed IDES validation. The metadata XML document is not valid against the metadata XML schema. The sender must include a valid metadata XML document in the data packet as required and retransmit.
RC005	File Rejected	The data packet passed IDES validation, but it was rejected by the Model 1 Option 2 HCTA. The sender must contact the corresponding HCTA directly to address any concerns and retransmit.
RC008	Invalid Sender GIIN	The data packet failed IDES validation. The file name of the data packet does not contain a FATCAEntitySenderID in the correct format. The sender must include a FATCAEntitySenderID as part of the data packet file name in the correct format and retransmit. UTC_FATCAEntitySenderId.zip
RC012	GIIN Not Match Payload	The data packet failed IDES validation. The FATCAEntitySenderID in the data packet file name does not match the FATCAEntitySenderID in the payload or metadata file names. The sender must include the same FATCAEntitySenderID across the data packet as required and retransmit.
RC013	GIIN Not Match Key	The data packet failed IDES validation. The receiver key filename does not match the receiver key. When a file is uploaded in Outbox\840, the package should contain a key file named 000000.000000.TA.840_Key Action: Review/Fix the Key filename and resubmit

Code	Reason	Description / Action
RC014	Payload Missing	The data packet failed IDES validation. The data packet does not contain a payload file. The sender must include a payload file in the data packet as required and retransmit. The data packet should contain 3 files: 1. FATCAEntitySenderId_Payload 2. FATCAEntityReceiverId_Key 3. FATCAEntitySenderId_Metadata.xml
RC015	Key Missing	The data packet failed IDES validation. The data packet does not contain an AES key. The sender must include an AES key in the data packet as required and retransmit. The data packet should contain 3 files: 1. FATCAEntitySenderId_Payload 2. FATCAEntityReceiverId_Key 3. FATCAEntitySenderId_Metadata.xml
RC016	HCTA Key Missing (Model 1 Option 2)	The data packet failed IDES validation. The data packet does not contain the Model 1 Option 2 HCTA key. The sender must include the Model 1 Option 2 HCTA key in the data packet as required and retransmit. The data packet should contain 4 files: 1. FATCAEntitySenderId_Payload 2. FATCAEntityReceiverId_Key 3. HCTAFATCAEntityId_Key 4. FATCAEntitySenderId_Metadata.xml
RC018	Package Name Error	The data packet failed IDES validation. The file name of the data packet does not contain an underscore. The sender must set an underscore as the data packet file name separator and retransmit. UTC_FATCAEntitySenderId.zip
RC019	Metadata Missing	The data packet failed IDES validation. The data packet does not contain a metadata file. The sender must include a valid metadata XML document as required and retransmit. The data packet should contain 3 files: 1. FATCAEntitySenderId_Payload 2. FATCAEntityReceiverId_Key 3. FATCAEntitySenderId_Metadata.xml
RC020	Certificate Failure	The data packet failed IDES validation. The digital certificate in the data packet is expired, revoked, or invalid. The sender must include a valid certificate from an IRS approved certificate authority as required in the data packet and retransmit.

Code	Reason	Description / Action
RC025	Invalid Zip Package	The data packet failed IDES validation. The data packet was not archived as required. The sender needs to archive the data packet using a compatible Zip compression tool or algorithm as required and retransmit.
RC026	Too Many Files in Package	The data packet failed IDES validation. One or more extra files are included in the data packet. The data packet should contain ONLY 3 files or 4 files (for Model 1 Option 2). The sender must include only the required files in the data packet and retransmit.
RC027	Package Contain Folder	The data packet failed IDES validation. A folder is included in the data packet. The sender must delete the folder and all its contents from the data packet and retransmit.
RC028	Invalid HCTA Key Name	The data packet failed IDES validation. The data packet contains an invalid Model 1 Option 2 HCTA key. The sender must include a valid Model 1 Option 2 HCTA key in the data packet as required and retransmit. The filename used for the reviewer key is incorrect. The reviewer's key name must match the Sender country code. If the user belonging to the country XXX submitted a package, the second key should be named: 000000.00000.TA.XXX_Key
RC999	Unexpected Error	The data packet failed IDES validation. The data packet contains an unexpected error. The sender should first retry the transmission, and if the same error (RC999) persists, the sender should contact the IDES Help Desk and open a ticket to have the IDES team troubleshoot the issue

Table 28 – List of Alert Codes for Failed Transmissions

15.7.3 Examples of Transmission Alerts

The report corresponds to all transmissions uploaded to IDES by FATCA or Foreign Filers with their different statuses. As a result, this report is a combination of different colored coded events.

The last status should be a green colored event for each IDES Transmission ID; otherwise, this indicates that the file is still processing or failed after the submitter received an RC001.

Successful Upload

The report will show three events for a given file upload or IDES Transmission ID with the last status being a successful download by the IRS.

Code	Reason	Description / Action
RC001	File Uploaded	Transmission uploaded – Type: SA The data packet passed IDES validation and is now available for download by the receiver. No action is required from the sender.
RC021	File Available for Download	Transmission downloaded – Type: RD File available for download by the receiver (IRS). No action is required from the sender.
RC024	Receiver Downloaded	Transmission downloaded – Type: SA The data packet passed IDES validation and was downloaded by the receiver (IRS). Action: The sender should get a notification regarding their submission. The folder Inbox\840 has to be watched for download.

Table 29 – Successful Transmission Upload

Successful Upload- Certificate Failure

The report will show four events for a given file upload or IDES Transmission ID with the last status being a failure.

Code	Reason	Description / Action
RC001	File Uploaded	Transmission uploaded – Type: SA The data packet passed IDES validation and is now available for download by the receiver. No action is required from the sender.
RC021	File Available for Download	Transmission downloaded – Type: RD File available for download by the receiver (IRS). No action is required from the sender.
RC024	Receiver Downloaded	Transmission downloaded – Type: SA The data packet passed IDES validation and was downloaded by the receiver (IRS). Action: The sender should get a notification regarding their
RC020	Certificate Failure	Transmission Deleted – Type: DL The data packet failed IDES validation. The digital certificate in the data packet is expired, revoked, or invalid. The sender must include a valid certificate from an IRS approved

Table 30 – Certificate Failure

Successful Upload – File Expired and Not Downloaded by IRS

The report will show three events for a given file upload or IDES Transmission ID except for the last status (file expiration). The file expired without any download action by FATCA users. These transmissions are deleted with the error type DL.

Code	Reason	Description / Action
RC001	File Uploaded	Transmission uploaded – Type: SA The data packet passed IDES validation and is now available for download by the receiver. No action is required from the sender.
RC021	File Available for Download	Transmission downloaded – Type: RD File available for download by the receiver (IRS). No action is required from the sender.
RC007	File Expired After 7 Days (FI/HCTAs) or 30 days (Foreign Filers)	Transmission deleted – Type: DL The data packet passed IDES validation, but it was not downloaded by the IRS during the 7 day (FI/HCTA) timeframe or 30 day (Foreign Filers) timeframe, and it has expired. The receiver should contact the IDES helpdesk for additional support.

Table 31 – Expired Transmissions Not Downloaded by IRS

15.7.4 Examples of Transmission Alerts - Model 1 Option 2

Successful Upload (HCTA Approved)

The report will show a minimum of five events for a given file upload or IDES Transmission ID. The sender country's HCTA may not download the FFI file or download the file several times. If the HCTA downloads the FFI more than once, each download will appear separately.

Code	Reason	Description / Action
RC029	File Uploaded	Transmission uploaded – Type: SA The data packet passed IDES validation and is now available for download and approval by the Model 1 Option 2 HCTA. No action is required from the sender.
RC022	File Available for Review	Transmission downloaded – Type: RD File available for download by the reviewer in the pending folder Action: No action from the sender Reviewer (sender country's HCTA) must download the file made available in the pending folder
RC030	Downloaded by the HCTA Reviewer	Transmission downloaded – Type: SA The data packet passed IDES validation and was downloaded by the receiver (sender country's HCTA). Action: No action from the sender Reviewer (sender country's HCTA) must move the file made available in the pending folder based on expected action: .approved or .rejected
RC023	Upload-Approved by Tax Authority	The data packet passed IDES validation and has been approved by the Model 1 Option 2 HCTA. It is now available for download by the receiver. No action is required from the sender
RC021	File Available for Download	Transmission downloaded – Type: RD File available for download by the receiver (IRS). No action is required from the sender.
RC024	Receiver Downloaded	Transmission downloaded – Type: SA The data packet passed IDES validation and was downloaded by the receiver (IRS). Action: The sender should get a notification regarding their submission. The folder Inbox\840 has to be watched for download.

Table 32 – Model 1 Option 2 Approved Upload

Successful Upload (HCTA Rejected)

The report will show a minimum of three events for a given file upload or IDES Transmission ID. The sender country's HCTA may not download the FFI file or download the file several times. If the HCTA downloads the FFI file more than once, each download will appear separately.

The last status will show as a failure (file rejected).

Code	Reason	Description / Action
RC029	File Uploaded	Transmission uploaded – Type: SA The data packet passed IDES validation and is now available for download and approval by the Model 1 Option 2 HCTA. No action is required from the sender.
RC022	File Available for Review	Transmission downloaded – Type: RD File available for download by the reviewer in the pending folder Action: No action from the sender Reviewer (sender country's HCTA) must download the file made available in the pending folder
RC030	Downloaded by the HCTA Reviewer	Transmission downloaded – Type: SA The data packet passed IDES validation and was downloaded by the receiver (sender country's HCTA). Action: No action from the sender Reviewer (sender country's HCTA) must move the file made available in the pending folder based on expected action: .approved or .rejected
RC005	File Rejected	Transmission deleted – Type: DL The data packet passed IDES validation, but it was not downloaded by the receiver during the 7-day window, and it expired. The sender must contact the receiver to address any concerns and retransmit. The receiver is either an FFI/HCTA or the IRS. The same code is used for both directions and the alert is sent to both the sender and receiver. It means that if IRS did not download a file when IRS is a receiver, until the notification process is fixed, they should know why it has not been downloaded via the FAQ. The receiver should contact the IDES helpdesk for additional support.

Table 33 – Model 1 Option 2 Transmission File Rejected

Expired Upload - No Action from HCTA

The report will show a minimum of three events for a given file upload or IDES Transmission ID. The sender country's HCTA may not download the FFI file or download the file several times. If the HCTA downloads the FFI file more than once, each download will appear separately. The last status will be an exception (file expired).

Code	Reason	Description / Action
RC029	File Uploaded	Transmission uploaded – Type: SA The data packet passed IDES validation and is now available for download and approval by the Model 1 Option 2 HCTA. No action is required from the sender.
RC022	File Available for Review	Transmission downloaded – Type: RD File available for download by the reviewer in the pending folder Action: No action from the sender Reviewer (sender country's HCTA) must download the file made available in the pending folder
RC030	Downloaded by the HCTA Reviewer	Transmission downloaded – Type: SA The data packet passed IDES validation and was downloaded by the receiver (sender country's HCTA). Action: No action from the sender Reviewer (sender country's HCTA) must move the file made available in the pending folder based on expected action: .approved or .rejected
RC006	HCTA File Expired After 7 Days	Transmission deleted – Type: DL The data packet passed IDES validation, but it was not downloaded by the receiver during the 7-day window, and it has expired. The sender must contact the receiver to address any concerns and retransmit. The receiver is either an FFI/HCTA or the IRS. The same code is used for both directions and the alert is sent to both the sender and receiver. It means that if IRS did not download a file when IRS is a receiver, until the notification process is fixed, they should know why it has not been downloaded via the FAQ. The receiver should contact the IDES helpdesk for additional support.

Table 34 – Expired Upload: No Action from HCTA

Expired Upload - No Action from IRS

The report will show a minimum of five events for a given file upload or IDES Transmission ID. The sender country's HCTA may not download the FFI file or download the file several times. If the HCTA downloads the FFI file more than once, each download will appear separately.

The last status will be an exception (file expired).

Code	Reason	Description / Action
RC029	File Uploaded	Transmission uploaded – Type: SA The data packet passed IDES validation and is now available for download and approval by the Model 1 Option 2 HCTA. No action is required from the sender.
RC022	File Available for Review	Transmission downloaded – Type: RD File available for download by the reviewer in the pending folder Action: No action from the sender Reviewer (sender country's HCTA) must download the file made available in the pending folder
RC030	Downloaded by the HCTA Reviewer	Transmission downloaded – Type: SA The data packet passed IDES validation and was downloaded by the receiver (sender country's HCTA). Action: No action from the sender Reviewer (sender country's HCTA) must move the file made available in the pending folder based on expected action: .approved or .rejected
RC023	Upload-Approved by Tax Authority	The data packet passed IDES validation and has been approved by the Model 1 Option 2 HCTA. It is now available for download by the receiver. No action is required from the sender
RC021	File Available for Download	Transmission downloaded – Type: RD File available for download by the receiver (IRS). No action is required from the sender.
RC007	File Expired After 7 Days	Transmission deleted – Type: DL The data packet passed IDES validation, but it was not downloaded by the IRS during the 7-day (FI/HCTA) timeframe or 30 day (Foreign Filers) timeframe, and it has expired. The receiver should contact the IDES helpdesk for additional support.

Table 35 – Expired Upload: No Action from IRS

Appendix A: Acronyms

Acronym	Definition
AES	Advanced Encryption Standard
CA	Certificate Authority
CRL	Certificate Revocation List
DER	Distinguished Encoding Rules
FATCA	Foreign Account Tax Compliance Act
FCPA	Federal Common Policy Root CA
FFI	Foreign Financial Institution
FI	Financial Institution
FTP	File Transfer Protocol
GIIN	Global Intermediary Identification Number
HCTA	Host Country Tax Authority
HTTPS	Hypertext Transfer Protocol Secure
IDES	International Data Exchange Service
IGA	Intergovernmental Agreement
IRS	Internal Revenue Service
Model 1A	FFIs can report data to their national tax authorities (HCTAs) who in turn report to the Residence Country Tax Administration (RCTA)
NFFE	Non-Financial Foreign Entity, is a foreign entity that is not a financial institution
NTF	Notification Communication
OCSP	Online Certificate Status Protocol
PEM	Privacy Enhanced Mail
PKI	Public Key Infrastructure
PMO	Project Management Office
RO	Responsible Officer
RPT	FATCA Report Communication
RSA	Rivest, Shamir and Adleman
SFTP	Secure File Transfer Protocol
SSH	Secure Shell
TCC	Transmitter Control Code
TCC GIIN	Transmitter Control Code Global Intermediary Identification Number
TFI	Territory Financial Institution
TIEA	Tax Information Exchange Agreement
TLS	Transport Layer Security
USWA	United States Withholding Agents
UTC	Universal Time Coordinated
XML	Extensible Markup Language

Table 36 – Table of acronyms used in this document

Appendix B: File Naming Convention

File Name*	Description	Associated IGA Group
FATCAEntitySenderId_Payload	Encrypted payload using a randomly generated one-time use key (preference: AES-256)	All
FATCAEntityReceiverId_Key	Key encrypted using the receiver public key	All
HCTAFATCAEntityId_Key	Key encrypted using HCTA public key	Model1 Option 2
FATCAEntitySenderId_Metadata.xml	FATCA Metadata to ensure that recipients properly process FATCA XML reports. FATCA Metadata XSD will be published on the IRS website Note: A text version of the FATCA metadata SenderGIIN_Metadata.txt will be accepted for partners not familiar with xml.	N/A
UTC_FATCAEntitySenderId.zip	N/A	N/A

Table 37 – IDES file naming conventions

*Foreign Filers should use their Foreign Filer TCC GIIN in lieu of the reference to “FATCAEntitySenderId”.

Appendix C: Certificate Upload Error Messages

Status	Description
CtlNotSignatureValid	Specifies that the certificate trust list (CTL) contains an invalid signature.
CtlNotTimeValid	Specifies that the certificate trust list (CTL) is not valid because of an invalid time value, such as one that indicates that the CTL has expired.
CtlNotValidForUsage	Specifies that the certificate trust list (CTL) is not valid for this use.
Cyclic	Specifies that the X509 chain could not be built.
HasExcludedNameConstraint	Specifies that the X509 chain is invalid because a certificate has excluded a name constraint.
HasNotDefinedNameConstraint	Specifies that the certificate has an undefined name constraint.
HasNotPermittedNameConstraint	Specifies that the certificate has an impermissible name constraint.
HasNotSupportedNameConstraint	Specifies that the certificate does not have a supported name constraint or has a name constraint that is unsupported.
InvalidBasicConstraints	Specifies that the X509 chain is invalid due to invalid basic constraints.
InvalidExtension	Specifies that the X509 chain is invalid due to an invalid extension.
InvalidNameConstraints	Specifies that the X509 chain is invalid due to invalid name constraints.
InvalidPolicyConstraints	Specifies that the X509 chain is invalid due to invalid policy constraints.
NoError	Specifies that the X509 chain has no errors.
NoIssuanceChainPolicy	Specifies that there is no certificate policy extension in the certificate. This error would occur if a group policy has specified that all certificates must have a certificate policy.
NotSignatureValid	Specifies that the X509 chain is invalid due to an invalid certificate signature.
NotTimeNested	Deprecated. Specifies that the CA (certificate authority) certificate and the issued certificate have validity periods that are not nested. For example, the CA cert can be valid from January 1 to December 1 and the issued certificate from January 2 to December 2, which would mean the validity periods are not nested.
NotTimeValid	Specifies that the X509 chain is not valid due to an invalid time value, such as a value that indicates an expired certificate.
NotValidForUsage	Specifies that the key usage is not valid.
OfflineRevocation	Specifies that the online certificate revocation list (CRL) the X509 chain relies on is currently offline.
PartialChain	Specifies that the X509 chain could not be built up to the root certificate.
RevocationStatusUnknown	Specifies that it is not possible to determine whether the certificate has been revoked. This can be due to the certificate revocation list (CRL) being offline or unavailable.
Revoked	Specifies that the X509 chain is invalid due to a revoked certificate.
UntrustedRoot	Specifies that the X509 chain is invalid due to an untrusted root certificate.

Table 38 – IDES Certificate Upload Error Messages

Appendix D: HCTA FATCA Entity ID Composition

A Global Intermediary Identification Number or GIIN is issued to FIs and direct reporting NFFEs to identify themselves withholding agents and tax administrations for FATCA reporting.

The GIIN is a 19-character identification number that is a composite of several other identifiers.

In lieu of a GIIN, HCTAs will be issued an HCTA FATCA Entity ID. The HCTA FATCA Entity ID represents each country under an IGA and contains the following identifiers:

Format: **000000.00000.TA.<ISO>**

Characters	Position	Description
000000	1-6	N/a
Separator 1	7	Period =.
00000	8-12	N/A
Separator 2	13	Period =.
TA Category Code	14-15	HCTA = Tax Authority
Separator 3	16	Period =.
XXX Country Identifier	17-19	Numeric ISO 3166-1 numeric standard country code of the Tax Authority

Table 39 – IDES HCTA FATCA Entity ID composition

Appendix E: IDES Alert Codes

Note: The list provides an overview of the IDES alert codes you may receive after submitting a transmission archive using IDES. If a transmission is deleted, then the data packet was not transmitted. Review the alert code, correct the transmission archive, and retransmit. If you need assistance, refer to Section [13 Transmit a FATCA Report](#) in the IDES User Guide, visit the [IDES web pages](#), or contact [IDES Help Desk](#). IDES Alert Codes and references to FATCA are applicable to Foreign Filer(s) unless otherwise indicated or specifically referencing HCTAs in this Appendix and in this guide.

Code	Reason	Description / Action	To Sender	To Receiver (IRS)	To Reviewer (HCTA)
Type: SA: - Transmission uploaded successfully					
RC001	Successful upload (including all IDES validation checks)	The data packet passed IDES validation and is now available for download by the receiver. No action is required from the sender.	X		
RC029	Successful upload (including all IDES validation checks), waiting for HCTA approval (Model 1 Option 2)	The data packet passed IDES validation checks and is now available for download and approval by the Model 1 Option 2 HCTA. No action is required from the sender.	X		
RC023	Successful upload and approval by the HCTA (Model 1 Option 2)	The data packet passed IDES validation checks and has been approved by the Model 1 Option 2 HCTA. It is now available for download by the receiver. No action is required from the sender.	X		
Type: DL - Transmission deleted					
RC002	Failed virus check in IDES	The data packet failed IDES validation. One or more files in the data packet are infected with malware. If the files are properly encrypted, this likely indicates that the metadata file is the infected file. The sender must perform a complete anti-virus check to clean the data packet and retransmit.	X		
RC003	Failed encryption check in IDES	The data packet failed IDES validation. One or more files in the data packet are not encrypted as required. The sender must encrypt the FATCA XML document and the AES key as required in the data packet and retransmit.	X		

Code	Reason	Description / Action	To Sender	To Receiver (IRS)	To Reviewer (HCTA)
RC004	Failed FATCA Metadata schema check in IDES	The data packet failed IDES validation. The metadata XML document did not validate against the metadata XML schema. The sender must include a valid metadata XML document in the data packet and retransmit.	X		
RC005	Transmission was rejected by the sender's HCTA (Model 1 Option 2)	The data packet passed IDES validation, but it was rejected by the Model 1 Option 2 HCTA. The sender must contact the corresponding HCTA directly to address any concerns and retransmit.	X	X	X
RC006	No actions taken by the sender's HCTA (Model 1 Option 2); transmission expired after 7 days	The data packet passed IDES validation, but it was not approved by the Model 1 Option 2 HCTA during the 7-day approval window, and it has expired. The sender must contact the corresponding HCTA directly to address any concerns and retransmit.	X	X	X
RC007	Transmission ready for receiver to download, but expired after seven (7) days	The data packet passed IDES validation, but it was not downloaded by the receiver during the 7-day (FI/HCTAs) timeframe or 30 day (Foreign Filers) timeframe, and it has expired. The sender should review the FAQs on IRS website or contact the IDES help desk for additional support to address any concerns and retransmit.	X	X	
RC008	Invalid FATCAEntitySenderID or GIIN	The data packet failed IDES validation. The file name of the data packet does not contain a valid FATCAEntitySenderID that is in the correct format. The sender must include a valid FATCAEntitySenderID in the correct format as part of the data packet file name and retransmit.	X		
RC009	Invalid Receiver GIIN	Not used	X		
RC010	Sender not authorized for the Receiver	Not used	X		



RC011	Receiver not authorized for the Sender	Not used	X		
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Code	Reason	Description / Action	To Sender	To Receiver (IRS)	To Reviewer (HCTA)
RC012	FATCAEntitySenderID or GIIN does not match the payload or metadata	The data packet failed IDES validation. The FATCAEntitySenderID in the data packet file name does not match the FATCAEntitySenderID in the payload file name and/or metadata file name. The sender must include the same FATCAEntitySenderID across the data packet as required and retransmit.	X		
RC013	Receiver GIIN does not match the key	The data packet failed IDES validation. The data packet contains an invalid receiver key file. The sender must include a valid receiver key file in the data packet as required and retransmit.	X		
RC014	Payload missing	The data packet failed IDES validation. The data packet does not contain a payload file. The sender must include a payload file in the data packet as required and retransmit.	X		
RC015	Key missing	The data packet failed IDES validation. The data packet does not contain an AES key. The sender must include an AES key in the data packet as required and retransmit.	X		
RC016	Approving HCTA key missing (Model 1 Option 2)	The data packet failed IDES validation. The data packet does not contain the Model 1 Option 2 HCTA key. The sender must include the Model 1 Option 2 HCTA key in the data packet as required and retransmit.	X		
RC018	Package filename error	The data packet failed IDES validation. The file name of the data packet does not contain an underscore. The sender must set an underscore as the data packet file name separator and retransmit.	X		

Code	Reason	Description /Action	To Sender	To Receiver (IRS)	To Reviewer (HCTA)
RC019	Metadata missing	The data packet failed IDES validation. The data packet does not contain a metadata file. The sender must include a valid metadata XML document as required and retransmit.	X		
RC020	Invalid certificate	The data packet failed IDES validation. The digital certificate in the data packet is expired, revoked, or invalid. The sender must include a valid certificate from an IRS approved certificate authority as required in the data packet and retransmit.	X		
RC025	Invalid zip package file	The data packet failed IDES validation. The data packet was not archived as required. The sender needs to archive the data packet using a compatible Zip compression tool as required and retransmit.	X		
RC026	Too many files in package	The data packet failed IDES validation. One or more extra files are included in the data packet. The data packet should contain only 3 files (or 4 files in the case of a sender in a Model 1 Option 2 jurisdiction). The sender must include only the required files in the data packet and retransmit.	X		
RC027	Zip package contains a folder	The data packet failed IDES validation. A folder is included in the data packet. The sender must delete the folder and all its contents from the data packet and retransmit.	X		
RC028	Invalid approving HCTA key name (Model 1 Option 2)	The data packet failed IDES validation. The data packet contains an invalid Model 1 Option 2 HCTA key. The sender must include a valid Model 1 Option 2 HCTA key in the data packet as required and retransmit.	X		

Code	Reason	Description /Action	To Sender	To Receiver (IRS)	To Reviewer (HCTA)
RC999	Unexpected error	The data packet failed IDES validation. The data packet contains an unexpected error. The sender should first retry the transmission, and if the same error (RC999) persists, the sender should contact the IDES Help Desk and open a ticket to have the IDES team troubleshoot the issue	X		
Type: RD - Transmission available for download					
RC021	Available for receiver to download (Model 1 Option 2)	The data packet passed IDES validation and is now available for download by the receiver. No action is required from the sender.		X	
RC022	Available for HCTA review (Model 1 Option 2)	The data packet passed IDES validation and is now available for download by the Model 1 Option 2 HCTA for review. No action is required from the sender. The Model 1 Option 2 may download and review the data packet from the Pending folder.	X		X
Type: SA - Transmission downloaded					
RC024	Downloaded by the receiver	The data packet passed IDES validation and was downloaded by the receiver. No action is required from the sender.		X	
RC030	Downloaded by the HCTA reviewer (Model 1 Option 2)	The data packet passed IDES validation and was downloaded by the Tax Authority approver. No action is required from the sender.	X		X

Table 40 – Types of Alerts

Appendix F: Data Preparation User Tips

Due to the implementation of highly secured data transmissions, sometimes it can be challenging to trace the source of a data transmission problem. In response to user questions and common user errors, the IRS has compiled a list of tips to assist users with the data preparation and transmission processes.

If you identify any issues that are not covered here, please forward comments to ibi.fatca.ides@irs.gov. Due to the volume of questions received, responses to these issues will be addressed through future updates to this document or in IDES FAQs rather than via personalized responses.

The suggestions below represent the most common solutions. The solutions are grouped into four categories:

[Data Package](#)

[Payload file](#)

[Key file](#)

[Metadata file](#)

All validation checks apply to the production and test environments. Certain critical errors will cause the immediate rejection of a transmission, and additional error checks will not be performed. Be aware that even if you correct the initial error, your transmission package may be rejected again if additional errors are found.

Overall Package (Data Package)

1. The transmission packet is in an incorrect format (not ZIP). The file extension must be .ZIP.
2. The file was compressed with an incorrect compression algorithm.
All files must be compressed using the standard Deflate algorithm and common ZIP tools such as WinZip, 7Zip, etc. More information can be found at <http://www.irs.gov/Businesses/Corporations/Compression-tools>.
3. The data packet has an incorrect file name.
The data packet filename must be in the format UTC_FATCAEntitySenderId.zip, where UTC represents a timestamp including milliseconds.

For example, the filename 2024115T163045320Z_000000.00000.TA.124.zip represents a file submitted by the Host Country Tax Authority (HCTA) for Canada created at 2024 January 15 16:30:45.320 Z.
4. The transmission packet contains subfolders.
The transmitted ZIP file may not contain subfolders and data packets should only contain archived files at the root level.
5. The transmission packet contains additional files.
There are too many files archived in a folder. The ZIP file should only contain one payload file, one metadata file, and either one or two keys. No other files can be included. Ensure you have the proper naming UTC_FATCAEntitySenderId.zip.
6. The transmission packet failed virus scan.
The transmission packets are scanned for viruses during the upload process and will be rejected and/or deleted if a virus or other threats are detected.

Payload file

7. The payload was not attached to the file.
A valid XML payload is required with each transmission packet. The requirement also applies to test packages. If the payload file is not present, the transmission is rejected even if the other parts of the data packet are created properly.

8. The payload file was not in the proper XML format.

The payload file must be in XML format document and created according to the published XML schema. If the data is presented in a non-XML format, your transmission will be rejected.

9. The payload file has an incorrect filename.

The payload file name must be in the proper naming convention or format FATCAEntitySenderID_Payload.

For example, if the sender is an HCTA, the file name should be 000000.00000.TA.NNN_Payload, where NNN is the three digit ISO code for the HCTA's country. Note that there is no extension on the file. Also check for correct capitalization.

10. The payload file is not encrypted or fails entropy check.

It is not possible to determine whether a file is properly encrypted. IDES applies an entropy check to determine if a file was likely to be encrypted. If the file does not pass the entropy check, it will not be accepted. Encrypt the payload using a randomly generated AES-256 key with the following settings:

- Cipher Mode: CBC
- Salt: No Salt
- Initialization Vector: 16 byte IV
- Key size: 256 bits/32 bytes
- Encoding: None
- Padding: PKCS#5 or PKCS#7

11. The payload file is not signed.

The payload file must be digitally signed by the sender using the standard RSA digital signature method. More information can be found at <http://www.irs.gov/Businesses/Corporations/Digital-Signatures-for-Data-Preparation>.

12. The digital signature is not valid.

IDES require an enveloping signature and the SHA2-256 algorithm. If an incorrect digital signature type or algorithm is used, the digital signature will fail validation. Any changes to the XML after the digital signature has been performed will cause the validation to fail. There are digital signature validation tools available that can be used to verify the signature is valid before submission.

13. The digital signature used the wrong signature type, such as enveloped or detached.

The XML must be signed with an enveloping digital signature. If the wrong digital signature type is applied the data packet will fail validation. If you create a different kind of signature but move the signature block within the XML file so that it appears to be an enveloping signature, the file will still fail validation.

14. The key used for signature does not match the certificate store.

The private key used to perform the digital signature must correspond with the certificate that was uploaded during IDES enrollment. IRS sample keys and certificates should not be included as part of the data packet.

15. The file contained incorrect encryption settings. The file may contain one or more incorrect settings, such as:

- Wrong cipher mode
- Salt settings
- Wrong key size
- Encoding applied
- Wrong padding

More information can be found at <http://www.irs.gov/Businesses/Corporations/IDES-Data-Transmission-and-File-Preparation> or review Item 10 above.

16. The FATCA XML Schema v2.0 contains invalid elements.

Only elements described in the published XML schema may be used. Certain elements are required in the transmitted payload XML. Review the FATCA XML Schema v2.0 User Guide at <https://www.irs.gov/pub/irs-pdf/p5124.pdf> for details.

17. The FATCA XML Schema v2.0 contains illegal characters.

Certain characters cannot be used in the FATCA data packet or must be replaced with entity references. Review the information at <http://www.irs.gov/Businesses/Corporations/FATCA-XML-Schemas-and-Business-Rules-for-Form-8966> for details.

Note that some signature tools may insert illegal characters in the KeyInfo element when generating a signature. The KeyInfo element should be removed before submitting the data packet.

Key File

18. There is no key file in the transmission data packet.

A key file representing each receiver for the package must be present in the data packet.

19. The key file has an incorrect file name.

The key file name must be in the correct format FATCAEntityReceiverId_Key. Files received by the IRS should have a file named 000000.00000.TA.840_Key.

20. The data packet has the incorrect key size.

The unencrypted key file should have a length of 48 bytes (32 bytes for AES, plus 16 bytes for IV). Encrypt the key file and place it in the archived data packet. The key size should be 256 bytes. Verify the key size before and after encryption. If you move the key file between operating systems, it may add extra characters that cause an incorrect key size or transmission failure.

21. The key file is not encrypted or fails entropy check.

It is not possible to determine whether a file is properly encrypted. IDES applies an entropy check to determine if a file was likely to be encrypted. If the file does not pass the entropy check, it will not be accepted. Encrypt the payload using a randomly generated AES-256 key with the following settings:

- Cipher Mode: CBC
- Salt: No Salt
- Initialization Vector: 16 byte IV
- Key size: 256 bits/32 bytes
- Encoding: None
- Padding: PKCS#5 or PKCS#7

22. The key file is encrypted with an incorrect key.
The key must be encrypted with the AES public key of the recipient. For files received by the IRS, use the public key available at www.ides-support.com.
23. The wrong padding was used during the encryption process.
The padding used during the key encryption must be PKCS#1 v1.5. Ensure the tool used to perform the encryption has the correct padding settings.
24. The data packet is missing the second key file (Model 1 Option 2 Only).
If you submit under Model 1 Option 2, there should always be two keys present in the archived data packet. One key for the IRS and the second key will be used by the HCTA.
- More information on keys required for the Model 1 Option 2 can be found in Step 6, Section [11.2 Prepare the FATCA XML File](#) of the IDES User Guide.
25. The data packet contains a second key file, and you are not under a Model 1 Option 2 (M1O2) IGA.
Only submitters under a Model 1 Option 2 agreement should submit a data packet with two key files. All other submitters should submit an archived data packet that contains only one key file.

Type of File	Model 1, Option 2 (Only) - Attach 4 Files	Models 1 & 2 - Attach 3 Files
Metadata	FATCAEntitySenderId_Metadata.xml	FATCAEntitySenderId_Metadata.xml
Key File(s):	FATCAEntityReceiverId_Key	FATCAEntityReceiverId_Key
	HCTAFATCAEntityId_Key	N/A
Payload	FATCAEntitySenderId_Payload	FATCAEntitySenderId_Payload

Table 41 – Data Packaging Tips

Metadata File

26. The metadata file has an incorrect file name.
The metadata file name must be in the recommended format FATCAEntitySenderId_Metadata.xml.
- For example, if the sender is an HCTA, the file name should be 000000.00000.TA.NNN_Metadata.xml, where NNN is the three digit ISO code for the HCTA's country
27. The metadata file is encrypted.
The metadata file must NOT be encrypted. IDES reads the metadata file and uses the elements to identify and route the transmission.
28. There are invalid elements in the metadata schema.
Please review the [Metadata user guide](#) for information on the fields to use in the Metadata file.
29. There are missing elements required in the metadata schema.
IDES validates the following mandatory elements in the metadata Schema:
- FATCAEntitySenderId (see #31 below)
 - FATCAEntityReceiverId
 - FATCAEntCommunicationTypeCd
 - SenderFileId
 - FileCreateTS
 - TaxYear (see #33 below)
 - FileRevisionInd

30. There is an incorrect type code (NTF or RPT) in the metadata schema.
All FATCA reporting files submitted to the IRS should have the transmission type code RPT. RPT is the only allowable entry. The NTF code is used for Notifications that are sent in response by IRS. If the incorrect code (NTF) is used on a report, the file cannot be processed and will fail validation.
31. The metadata SenderID element does not match the IDES account used.
The SenderID in the metadata file must represent the GIIN associated with the user who is logged in to IDES and transmitting the data packet.
32. The metadata ReceiverID element is not the IRS GIIN.
The ReceiverID in the metadata file must be the IRS GIIN: 000000.00000.TA.840.
33. The metadata TaxYear element is invalid or missing. A valid TaxYear must be specified.
34. The metadata file contains illegal or restricted characters.
Certain characters are prohibited and must be encoded or replaced with entity references. Review the information at <http://www.irs.gov/Businesses/Corporations/FATCA-XML-Schemas-and-Business-Rules-for-Form-8966> for details.

IDES Testing Window

The IDES Open Testing windows provide users with a safe test environment (Problem Solving Environment (PSE)) to submit test FATCA Report files in non-production to troubleshoot data file submission issues. Enrolled IDES users can log into the PSE/testing environment during open testing windows to submit their files using the same credentials used for production.

Periodically, there may be FATCA system upgrades that would necessitate an ad-hoc open test window. There is one annual open test windows per year regardless of whether there have been changes to the FATCA Reporting process.

Your participation in IDES open testing is voluntary.

Additional information on the IDES testing is found on the [IDES Testing Schedule](#) webpage.

Please subscribe to the [FATCA News and Information List](#) to stay current on IRS news, guidance, regulations, reporting process changes, and testing windows.

Note: Please DO NOT submit production files to the test environment nor test files to the production environment.

Appendix G: IDES Gateway UI Accessibility

Getting Started

Visually impaired users can use Secure Transport Web Client with screen reader applications. Web Client has passed accessibility validation for visually impaired users with JAWS (Job Access with Speech) on Windows.

Tips when using JAWS

If you are using Job Access with Speech (JAWS) as your screen reader, we recommend using Microsoft Edge as your browser with the latest version of JAWS. You do not need to change the screen reader setting for use with Web Client.

When in the Forms mode you can also use Web Client keyboard shortcuts to navigate faster and easier. To enter the Forms mode at any time, turn off the virtual cursor and press **JAWS + z** to hear when the virtual cursor is turned off or on.

Tips when using NVDA

If you are using Non Visual Desktop Access (NVDA), we recommend using Mozilla Firefox as your browser. You do not need to change the screen reader setting to navigate around Web Client.

NVDA will automatically enter the Focus mode when focus is on a tabs control, on a Remote folder. The Focus mode allows you to use the arrow keys to navigate between files and folders, tabs.

When in the Focus mode you can also use Web Client keyboard shortcuts to navigate faster and easier. To toggle between the Focus and Browse mode at any time press **NVDA + SPACEBAR** to hear a specific tone for each mode.

Accessing Web Client

The following topics describe accessing Web Client with a screen reader.

Logging in

To log in with a screen reader:

1. Use the **TAB** key to navigate between fields.
2. **TAB** to the User ID edit box and type in your user identification.
3. **TAB** to the Password edit box, type in your password and press **ENTER**. You are taken to the default view of Web Client. Alternatively, focus and press the **Log In** button.

Recovering your password

If you forgot your password:

On the login page use the **TAB** key to focus the **Forgot Your Password** link and activate it.

Session timeout

After a period of inactivity Web Client will automatically log out. To log in again, focus and activate the Login Page link.

Navigating Web Client

The following topics describe navigating Web Client with a screen reader.

Navigation overview

By default, after logging in the focus is on the Remote Folders tab. To navigate through the list of files and folder, press the **DOWN** and **UP** arrows. To open an item, press **o** or **Enter**.

Web Client has a number of keyboard shortcuts to make navigation faster and easier. For a complete list of keyboard shortcuts, refer to the [Shortcut Tables](#).

Another fast and easy way to navigate using the screen reader built-in commands:

- For JAWS users: **JAWS + F7** to display the *Links* list, **JAWS + F6** to display the *Headings* list, and **JAWS + F5** to Select a form field
- For NVDA users: **NVDA + F7** to display the *Elements* list with links, headings, and landmarks

Note that when the focus is on a tab control; the screen reader commands are automatically disabled and allows the usage of keyboard shortcuts.

To regain control of the virtual cursor and to use screen reader commands:

- For JAWS users: Press the **NUMPAD PLUS** key to hear the virtual PC cursor enabled. Alternatively, you can press **ESC** or **ENTER**.
- For NVDA users: Press **NVDA + SPACEBAR** to hear the specific tone for the *Focus* mode.

Web Client buttons and menus

The Web Client button and menus enable you to perform actions on your files, folders, and messages. Most of these buttons and menu actions have keyboard shortcuts for quick access. To navigate you can also use **TAB** or **SHIFT + TAB**.

Managing Files and Folders

The following topics provide instructions for managing files and folders with a screen reader.

Open folders

To open a folder from your Remote Folders view list:

1. Use the **DOWN** and **UP** arrows to navigate through the list. If you have switched to icons view, use the **RIGHT** and **LEFT** arrows.
2. To open a folder, press **Enter**.

Upload a file

To upload a file in a remote folder:

1. Navigate through the *IDES Gateway* list and open the folder where you want to upload the file.
2. Press the **Upload Files** button or, if you are using shortcuts, press **u**.
3. Use **TAB** to focus the *Select file to upload* button and press **SPACEBAR** to activate.
4. Select the files to be uploaded and then press **ENTER**.

Download a file

To download a file from a remote folder:

1. Navigate through the *IDES Gateway* list and select the file you want to download.
2. Press the **Download** button or, if you are using shortcuts, press **d** or **ENTER**.
3. Use your browser file download feature to complete the download.

Move a file

To move a file from one remote folder to another:

1. Navigate through the *IDES Gateway* list and select the file you want to move.
2. Press the **Actions** button to open the actions menu or, if you are using shortcuts, press **a**.
3. Press the **DOWN** arrow until you reach the *Move* command and then press **ENTER**.
4. Navigate through the *IDES Gateway* list and select the folder where you want to move the file.
5. Press the **DOWN** arrow until you reach the target folder and then press **ENTER**.

Read details about a file or folder

To read more details about a file or folder:

1. Press the **Actions** button to open the actions menu or, if you are using shortcuts, press **a**.
2. Press the **DOWN** arrow until you reach the *Properties* command and then press **ENTER**.
3. A dialog will be focused with the details listed in a table. You can use the **DOWN** and **UP** arrows to quickly read the list using your screen reader.

Alternatively, if you are using shortcuts, press **CTRL + i** to display the *Properties* dialog without using the *Actions* menu.

Using the Uploads monitor

The *Transfers* queue is a region of the application where you can track the status of uploaded files.

In the screen reader you can see if a transfer is in progress, finished, or failed. You can also pause and resume running transfers, as well as delete finished or running transfers.

Although it can be collapsed and expanded, the contents are visible to screen reader users and accessible with **TAB**, even when the region is collapsed.

To quickly focus on the Transfer queue:

- Use screen reader commands to focus on and activate the *Transfers* queue heading two link – either available from the list of links or from the list of headings
- Use the Go to keyboard shortcuts for Web Client. The shortcut to open the *Transfers* queue is **g** then **q**
- While focused on the browser address bar press **SHIFT + TAB**. The *Transfers* list is the last item in Web Client and will immediately be focused

Pause or resume a transfer

To pause or resume a running transfer:

1. Focus on the *Transfers* queue.
2. **TAB** to focus on the *Transfers* list and use the **UP** and **DOWN** arrow keys to select a transfer.
3. Press the *Pause* or *Resume* buttons or, if you are using shortcuts, press **p** or **r**.

Delete a transfer

To delete a transfer:

1. Focus on the *Transfers* queue.
2. **TAB** to focus on the *Transfers* list and use the **UP** and **DOWN** arrow keys to select a transfer.
3. Press the *Delete* button or, if you are using shortcuts, press **DELETE** or **#**.

Keyboard Shortcuts for Web Client

Web Client has a number of keyboard shortcuts to make navigation faster and easier.

For the best experience screen readers automatically enable the use of shortcuts when focused on a tabs control, on a *Remote* folder.

To allow use of shortcuts at any time:

- For JAWS users: Press **JAWS + z** to hear that the virtual cursor is turned off. Press the same combination if you want to turn the virtual cursor on again.
- For NVDA users: Press **NVDA + SPACEBAR** to hear the specific tone for the *Focus* mode. Press the same combination if you want to return to browse mode again.

Tables

Use following list of keyboard shortcuts instead of mouse actions to perform actions in Web Client:

Application

To do this	Press
Go to the previous tab	Ctrl + Left or Ctrl + Page Up
Go to the next tab	Ctrl + Right or Ctrl + Page Down
With focus on a tab, go to the previous tab	Left
With focus on a tab, go to the next tab	Right
With focus on a tab, close the tab	Esc
With focus anywhere within a tab, close the tab	Alt + Delete
Display a list of all keyboard shortcuts	?

Table 42 – Application Keyboard Shortcuts

Go To

To do this	Press
Go to the <i>Uploads</i> queue	g then q

Table 43 – Go To Keyboard Shortcuts

Selection

To do this	Press
Go to the next item in a list	j or Down or Right
Go to the previous item in a list	k or Up or Left
Select all items in a list	Shift + a or Ctrl + a
Clear the selection in a list	Shift + n
Extend the selection in a list	Shift + j or Shift + Down Shift + k or Shift + Up
Select or deselect an item	x or Ctrl + Spacebar

Table 44 – Selection Keyboard Shortcuts

Files and Folder Actions

To do this	Press
Upload file	u
Download a selected file	d
Delete a selected file	# or Delete
Open a folder	o or Enter
Go to the previous folder	Backspace
Move a file	v
File properties	i
Refresh a folder	e
Display all actions menu	a

Table 45 – Files and Folders Keyboard Shortcuts

Transfer queue actions

To do this	Press
Cancel a running transfer or remove a completed transfer	# or Delete
Pause a transfer	p
Restart a transfer	r

Table 46 – Transfer Queue Keyboard Shortcuts

Tips when using shortcuts

- Users of Mac OS X use the **COMMAND** key in place of the **Ctrl** key.
- In Google Chrome, **CTRL+SHIFT+ t** reopens the last closed tab, so it cannot be used to move the input focus to the **To** field. Use **TAB** instead.
- In the full version of Web Client, after you press **u** or **CTRL+ u** to display the Open window, use **CTRL+ ENTER** to open folders and **ENTER** to select a file or folder to upload.
- Apple Safari loses input focus after the applet is loaded to display the files under My Computer and when you press **u** or **CTRL+ u** to display the Open window. Use a keyboard shortcut, such as **COMMAND+TAB**, to return focus to Safari so that you can use the Web Client keyboard shortcuts.
- In the Compose Mail page in Internet Explorer, use the **SPACEBAR** to invoke the **Attach File** button. You may need to press the **SPACEBAR** twice.

Documentation Accessibility

The accessibility of the documentation has been tested with JAWS.

Keyboard-only navigation

- The documentation source code contains ARIA (Accessible Rich Internet Applications) to improve the natural tab order and add focus where needed.

- ARIA landmarks are used to identify the main elements of the online help windows.

Screen reader support

- The documentation structure is clear and the source code of the online help can be interpreted by JAWS.
- Alternative text is provided for images whenever necessary.
- The PDF documents are tagged to provide a logical reading order.

Support for high contrast and accessible use of colors

- The documentation can be used in high-contrast mode.
- There is sufficient contrast between the text and the background color.
- The graphics have the right level of contrast and take into account the way color-blind people perceive colors.

Appendix H: IDES Communication Types

This table details the communication types that can be exchanged through IDES.

Acronym	Communication Type	Description
RPT	FATCA Report	Sent by a registered entity, a Host Country Tax Authority (HCTA) to meet FATCA filing requirements or sent by a Foreign Filer to transmit information returns.
NTF	FATCA Notification	A response to a sender of a FATCA Report file concerning the outcome of processing the received FATCA Report file or the sender of a Foreign Filer report file concerning the outcome of processing the received FATCA Notification.
CAR	FATCA Competent Authority Request (IRS Use Only)	Sent to Model 2 HCTAs in response to pooled reports from reporting Model 2 FFIs on non-consenting U.S. accounts and nonparticipating FFIs
REG	FATCA Registration Data (Reserved. Do not use)	Annual registration list with POC's; Sent yearly (August timeframe)
EOIR	Exchange of Information Request	Sent ad-hoc when another jurisdiction requests specific information from the IRS or in response to a specific information request from the IRS
ICAP	International Compliance Assurance Program	Information sent through the OECD's ICAP program to other jurisdictions; Sent ad-hoc
JA	Joint Audit	Sent ad-hoc to other jurisdictions that request information from the IRS or in response to an information request from the IRS

Table 47 – IDES Communication Types

Appendix I: Validate Digital Certificate Chain

IRS approved certificate authorities may issue an intermediate certificate as part of their certificate chain. If you are having IDES transmission issues, it can be beneficial to review your certificate chain and compare that to the list of certificates provided at <https://www.irs.gov/businesses/corporations/digital-certificates>. To view your certificate and compare it to the information provided, you can follow these steps

1. Navigate to the folder containing your certificate file. These files will most commonly be provided in either a .cer, .crt, or .pem file format.
2. Open the certificate by double-clicking the certificate file to open it in the **Windows Certificate Viewer**.

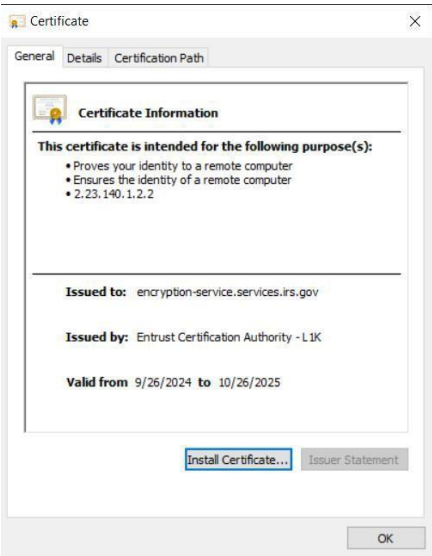


Figure 178 – Windows Certificate Viewer

3. In the Certificate window, go to the **Certification Path** tab. Here you will see a hierarchical view of the certificate chain.

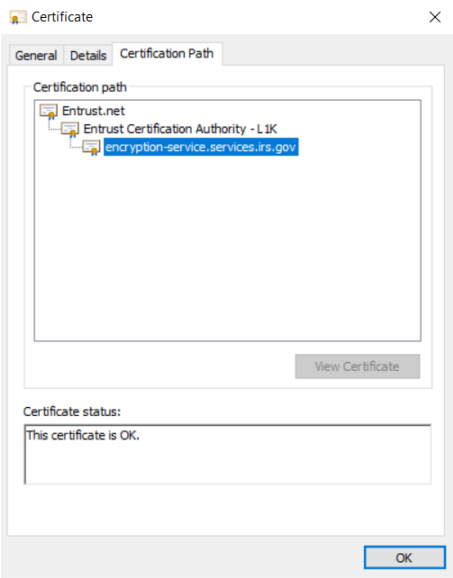


Figure 179 – Certificate Chain

4. Identify the Certificates

- The top-most certificate is the **Root Certificate** from your chosen Certificate Authority (CA).
- The bottom-most certificate is your **end-user certificate**. This is the certificate issued to you.
- The certificate listed between them is the **intermediate certificate**, which links your end-user certificate to the Certificate Authority (CA). The name provided for this certificate corresponds to the certificates named in the intermediate certificate list provided online.
- By clicking the **View Certificate** button on either your Root or Intermediate certificate, you can view additional details and content related to the certificate.