

Government of the Macao Special Administrative Region
Financial Services Bureau

Automatic Exchange of Information (AEOI)

Status Message v1.3

User Guide

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Version History

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

Version no.	Description	Section updated	Version date
1.0	The initial release.		Jul 2017
1.1	- The description of File Error Code 50103 is modified. - New File Error Codes (50116 to 50119) are added.	Part B I.	Jan 2018
1.2	- Some changes are made to the content. - The description of some elements contained in section IIc and IId is modified. - Diagrams for Validation Errors - File Error [Section IIc] and Validation Errors - Record Error [Section IId] are modified. - The description of some existing error codes is modified. - Some Error Codes are newly added and some existing ones are removed.	Introduction Part A *Appendix A* Part B	Dec 2025
1.3	- New Record Error Codes (60017-60024) are added.	Part B	Oct 2026

Introduction

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

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

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

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

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

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

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

How the User Guide links to the Status Message

Structure and general requirements

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

The Status Message Information sections are:

I. Message Header with the AeoiId, message type, language of the message and the timestamp.

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

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

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

General principles of the Status Message

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

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

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

Relationship between the status indicated and validation errors

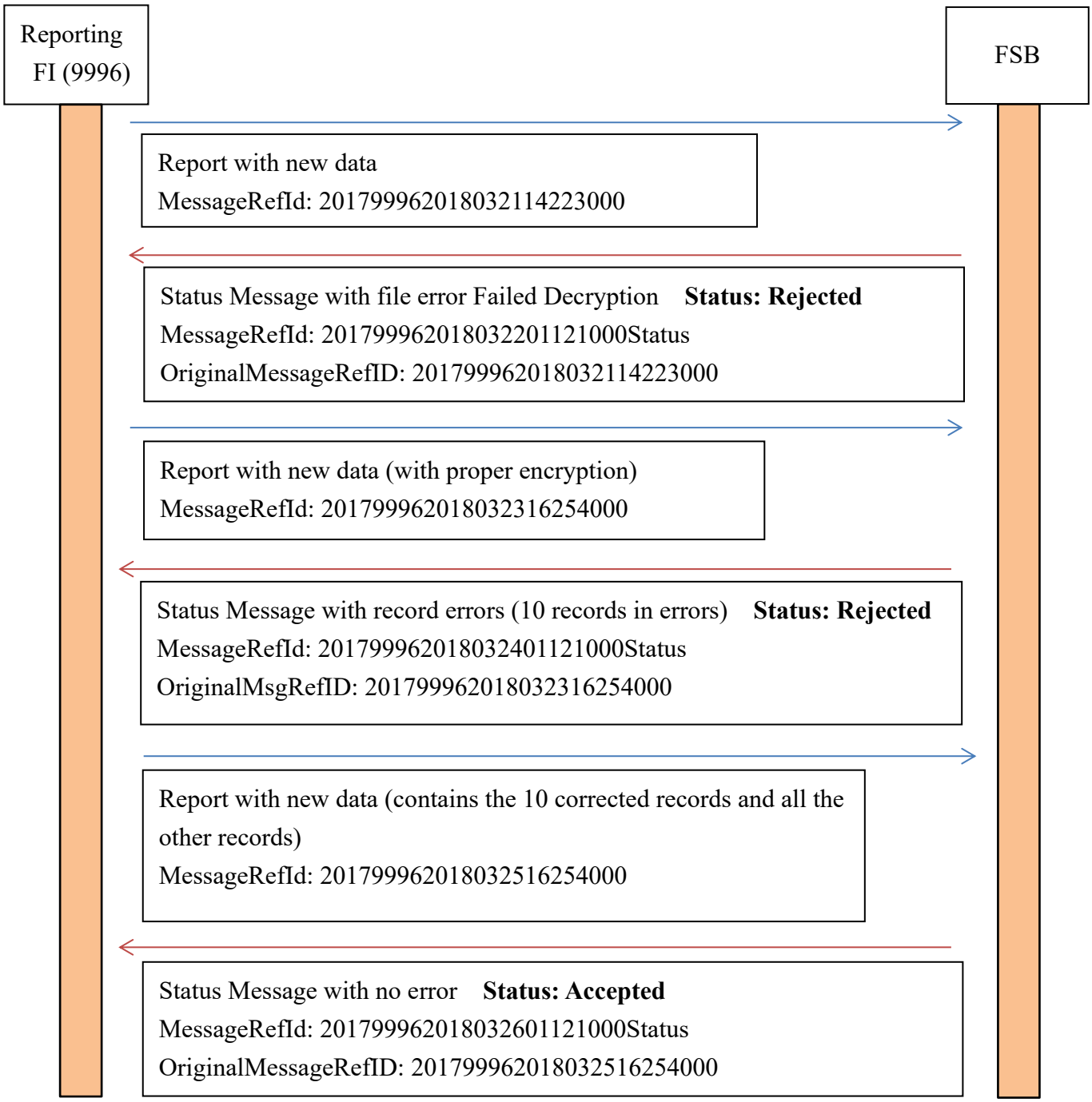
When FIs received the Status Message indicates that the original message has been rejected, the file must be corrected and resubmitted when the rejection is due to at least one error (file error or record error).

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

Examples for the sequence of exchanges under the Status Message

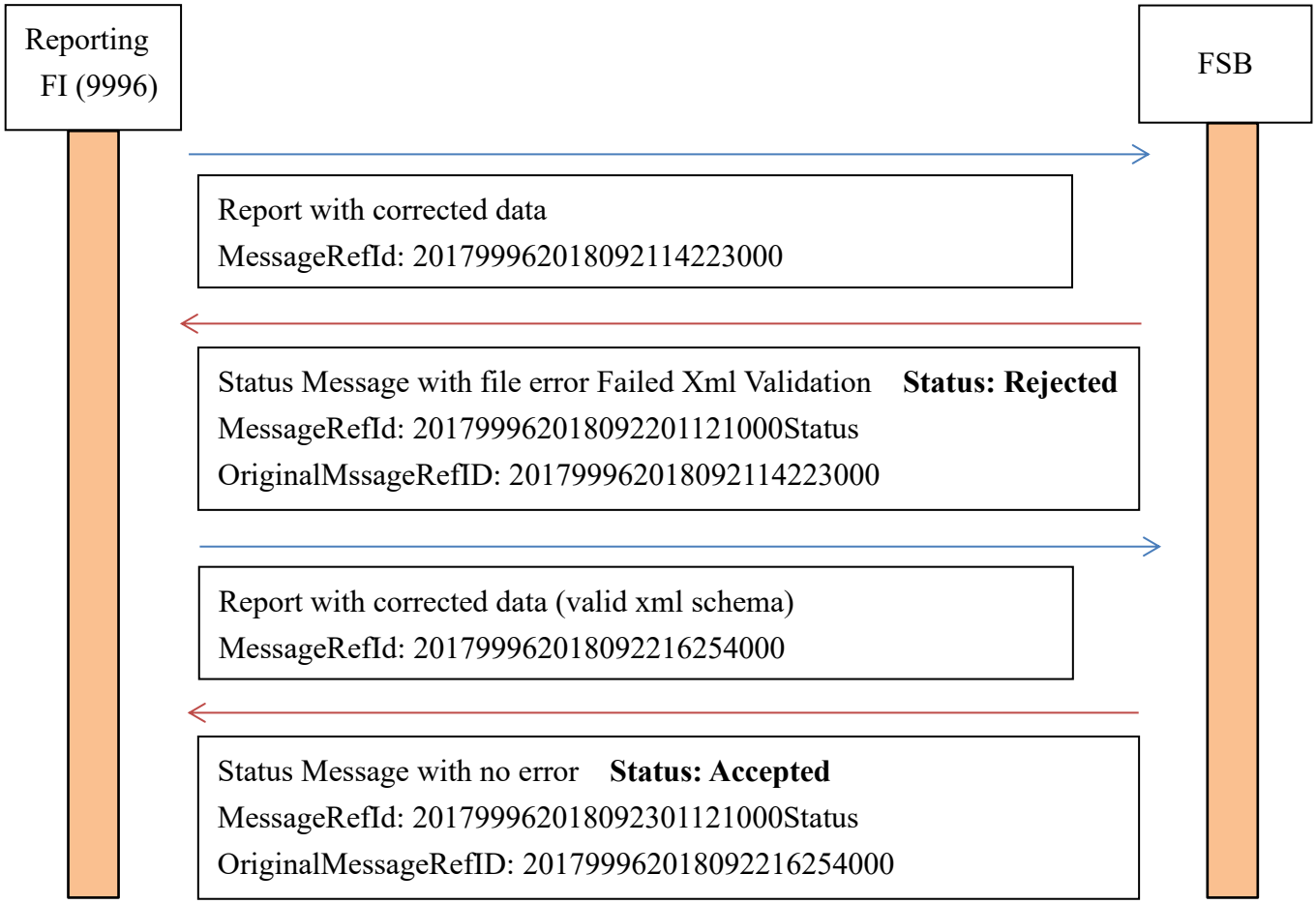
A. Before submission deadline:

If errors in the data file are discovered before submission deadline, the FI has to submit a data file which contains all the corrected and other account report(s) to rectify the situation.



B. After submission deadline:

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



Part A : Status Message Information

I. Message Header

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

1.1 AEOI ID

Element	Attribute	Size
AeoiId		4-digit

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

1.2 MessageType

Element	Attribute	Size
MessageType		

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

1.3 Warning

Element	Attribute	Size
Warning		Max 4’000 characters

This data element specifies cautionary instruction from FSB.

1.4 Contact

Element	Attribute	Size
Contact		Max 4’000 characters

This data element specifies contact information for FSB.

1.5 MessageRefId

Element	Attribute	Size
MessageRefId		Max 200 characters

The Message Ref Id element contains the unique identifier of the status message. e.g. 20179996201803211422300 0Status

1.6 Timestamp

Element	Attribute	Size
Timestamp		

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

II. Status Message

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

2.1 OriginalMessage

Element	Attribute	Size
OriginalMessage		

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

2.2 ValidationErrors

Element	Attribute	Size
ValidationErrors		

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

2.3 ValidationResult

Element	Attribute	Size
ValidationResult		

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

IIa. Original Message

2.4 OriginalMessageRefID

Element	Attribute	Size
OriginalMessageRefID		Max 200 characters

The Original Message Ref ID element contains the unique identifier of the original message.
e.g. 20179996201803211422300O

IIb. Validation Errors

The Validation Errors element allows providing:
– File validation errors;
– Record validation errors

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

2.5 FileError

Element	Attribute	Size
FileError		

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

2.6 RecordError

Element	Attribute	Size
RecordError		

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

IIc. Validation Errors – File Error

The File Error element is composed of:

2.7 Code

Element	Attribute	Size
Code		Max 10 characters

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

2.8 Details

Element	Attribute	Size
Details		Max 4’000 characters

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

IId. Validation Errors – Record Error

The Record Error element is composed of:

2.9 Code

Element	Attribute	Size
Code		Max 10 characters

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

2.10 Details

Element	Attribute	Size
Details		Max 4’000 characters

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

2.11 DocRefIDInError

Element	Attribute	Size
DocRefIDInError		Max 200 characters

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

2.12 FieldsInError

Element	Attribute	Size
FieldsInError		

The Fields in Error element allows listing the fields which are causing the error. The element can be repeated in case the error is caused by more than one field (e.g the Account Balance must be zero, if the account was indicated as closed in the Account Closed attribute). The Fields in Error element contain the path of the error-causing field (i.e. an XPath without namespaces, corresponding to the XML Schema element). For field-level errors in XML file records, the value of FieldsInError is the complete path to the data element requiring correction, in the following form:

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

Example:

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

Individual Account Holder:
MO_AEOI/CrsBody/ReportingGroup/AccountReport/AccountHolder/Individual/Address/AddressFix/City

Organisation Account Holder:
MO_AEOI/CrsBody/ReportingGroup/AccountReport/AccountHolder/Organisation/Address/AddressFix/City

Controlling Person:
MO_AEOI/CrsBody/ReportingGroup/AccountReport/ControllingPerson/Individual/Address/AddressFix/City

IIe. Validation Results

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

2.13 Status

Element	Attribute	Size
Status		

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

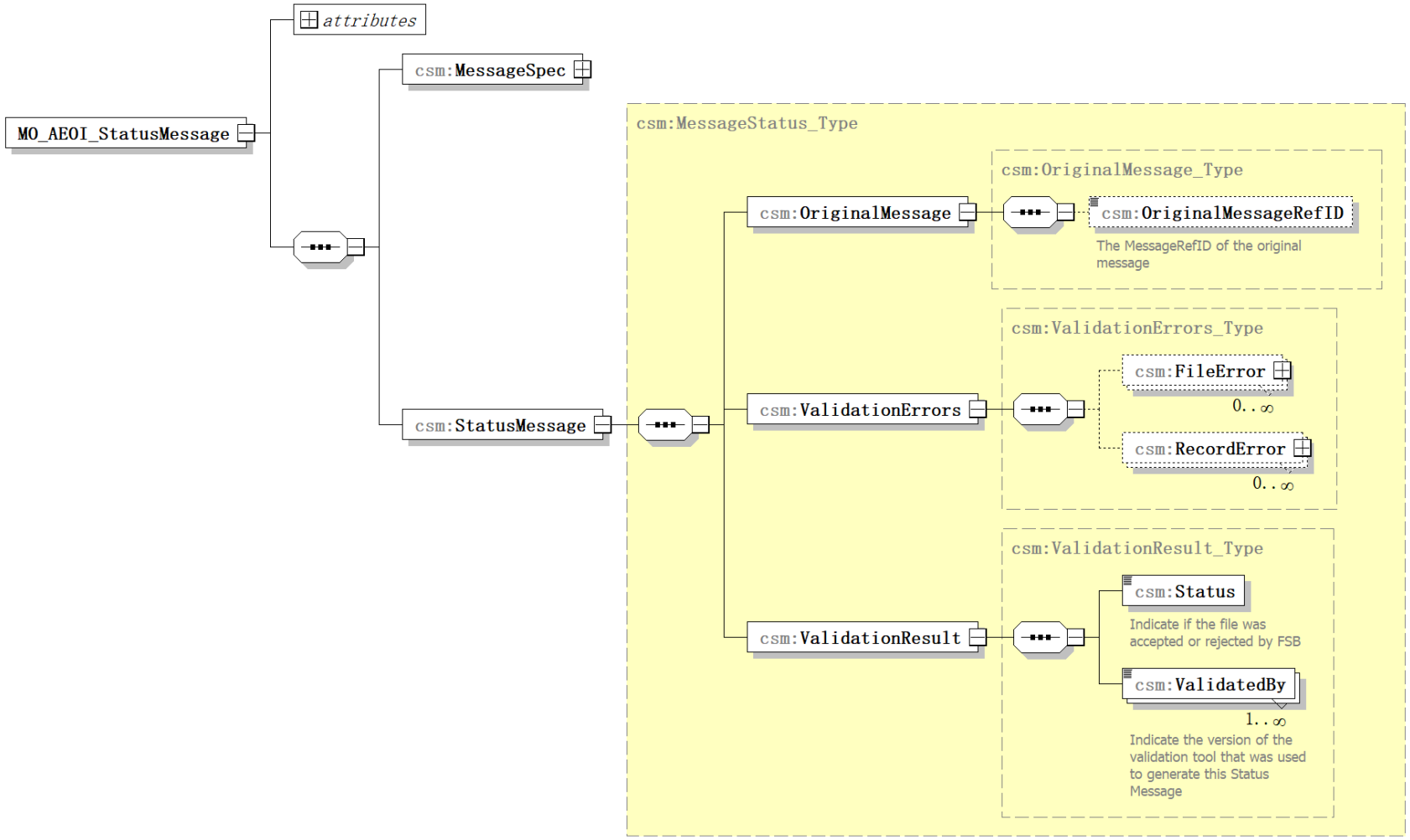
– Accepted - The file has been accepted; or
– Rejected - The file has been rejected.

2.14 ValidatedBy

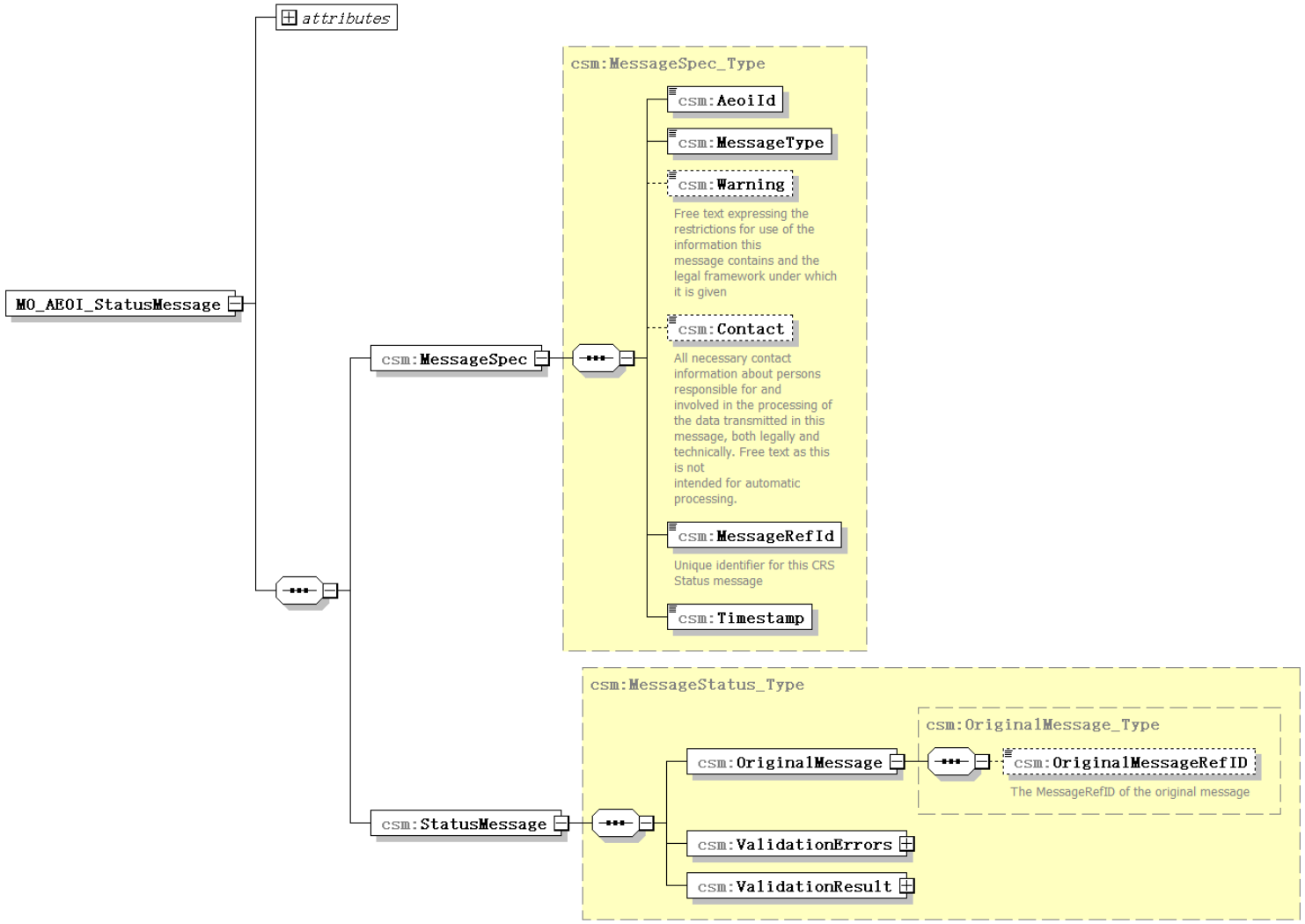
Element	Attribute	Size
ValidatedBy		Max 400 characters

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

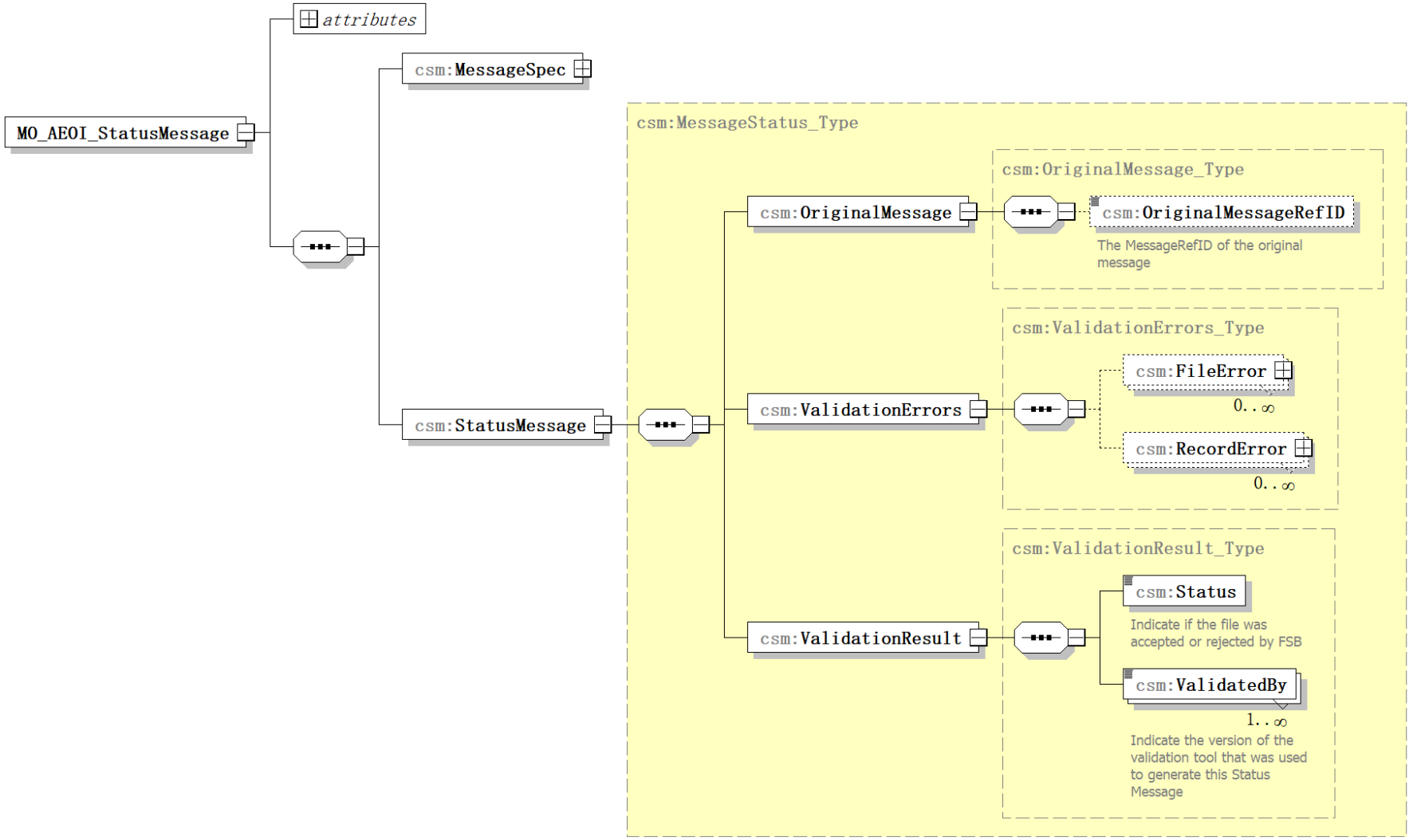
Appendix A
Status Message XML Schema Diagrams



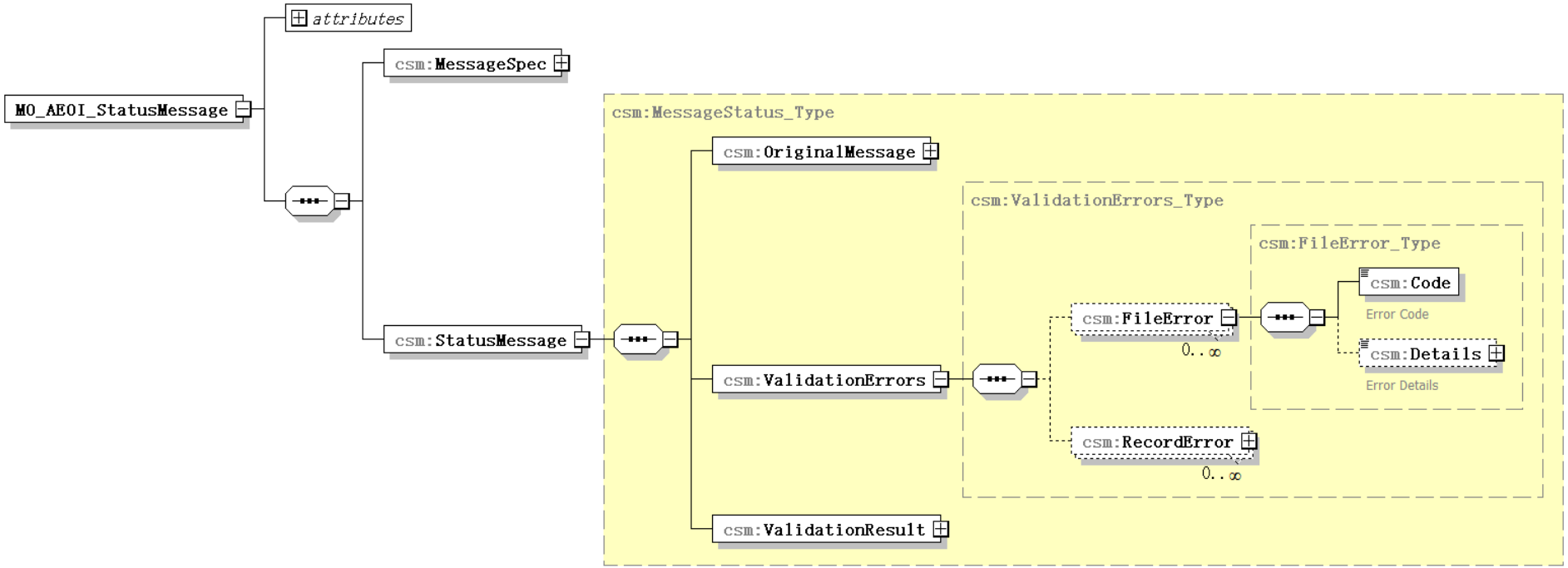
Message Header [Section I]



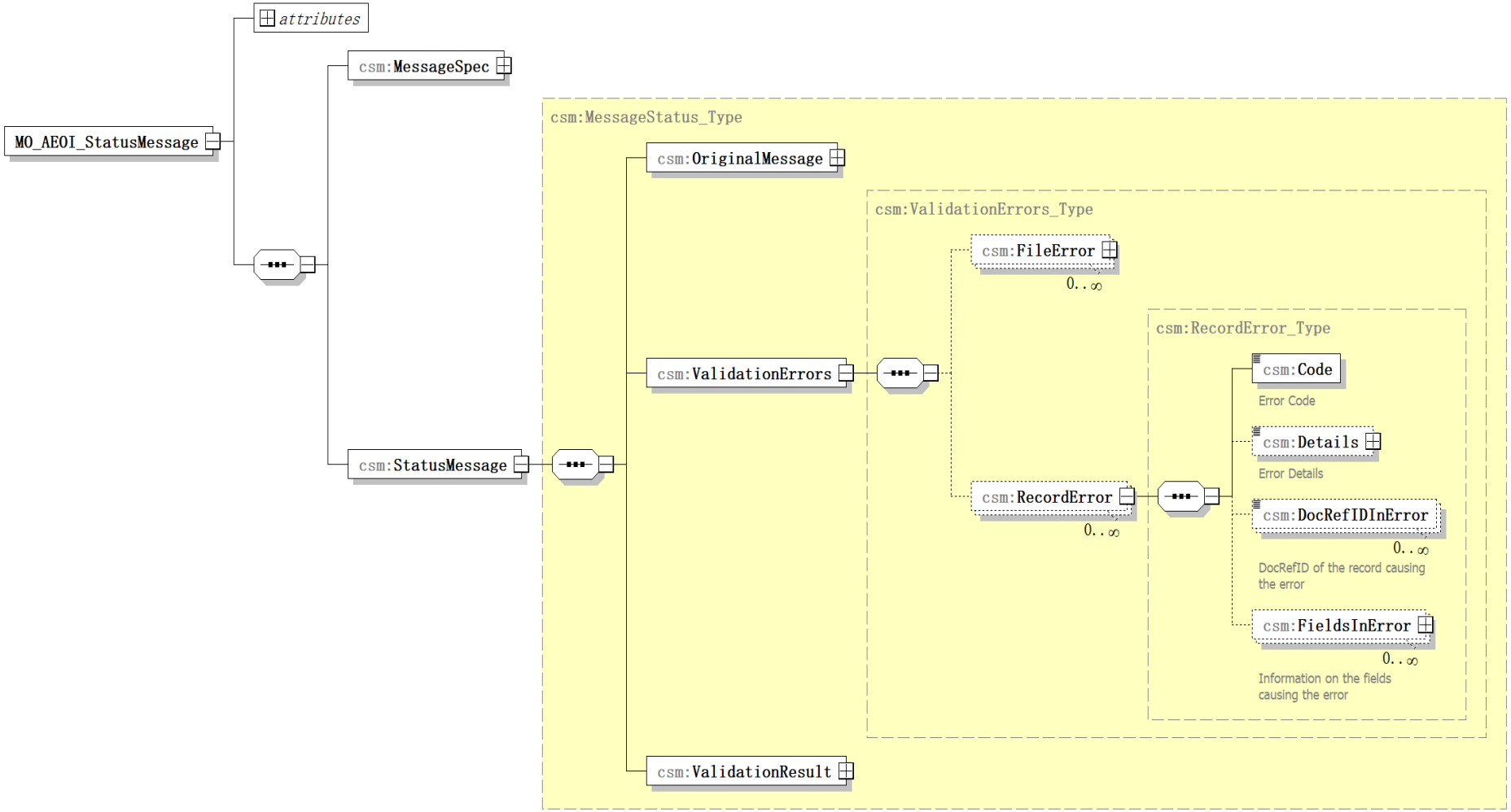
Original Message [Section IIa]



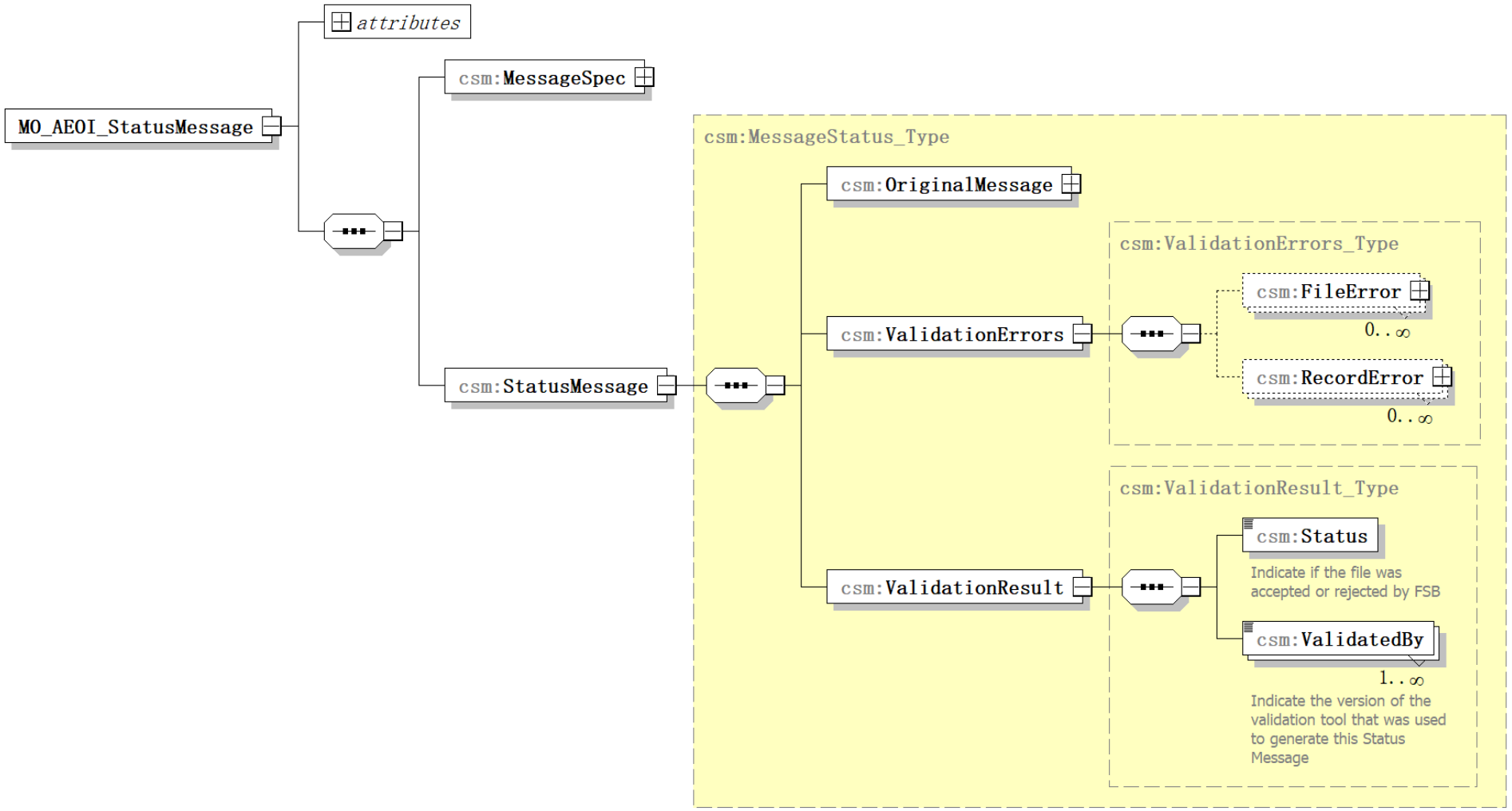
Validation Errors – File Error [Section IIc]



Validation Errors – Record Error [Section IId]



Validation Results [Section IIe]



Part B : Status Message Error Codes

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

I. File Validations (50 000 – 59 999)

File Error Code	File error description
50004	Failed signature check
50020	Expired or invalid digital certificate is used
50021	Failed online verification for digital certificate
50022	The uploaded digital certificate(s) is/are invalid or expired
50101 *	Invalid Filename Format or filename date exceeds submission date
50102	Failed Decryption
50103	Failed Decompression (Before Decryption)
50105	Failed Virus Scan
50106	Failed Schema Validation
50107	MessageRefID must match with filename
50108	MessageRefId has already been used
50109	File Contains Test Data for Production Environment
50110	File Contains Production Data for Test Environment
50111	Invalid AeoiId
50112	Invalid FIName
50113	MessageTypeIndic must be New Data for file submission before deadline
50114 *	The time in filename cannot be earlier than that of the accepted file
50116	Failed Decompression (After Decryption)
50117	Encrypted Data File not found
50118	Encrypted Key File not found
50119	The filename of the extracted XML file must match with the filename of the uploaded file
50122	ReturnYear must match with the first 4 digits of the filename
50123 *	The first four digits of the filename must match with the year of the reporting period
50124 *	The file size cannot exceed 100MB
50125 *	Invalid submission sequence for split file
50126	Split file(s) following a rejected file will not be processed
50127 *	Previous split file not found
50128 *	Filename has already been used

55006 *	Filename_Error: The last two digits of the file name for post-deadline uploads should be "00"
55008	Failed threat scan: File data cannot contain special characters [--], [/*] or [&#]
55009	Failed threat scan: File data cannot contain special characters [&] or [<]
55014	Value with only blank space is unacceptable

*The error code and corresponding description will be displayed on the webpage upon file submission.

II. Record Validations

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

Record Error Code	Validation Name	Validation description
60000	Account Number IBAN	AccountNumber should match with the IBAN format. (The IBAN structure [ISO13616] is a sequence of • 2 upper case letters between A and Z, representing the ISO-3166 two letter country code where the account is located; • 2 digits between 0 and 9, representing a check digit; • 1 to 30 digits between 0 and 9 and/or letters between A and Z (upper and/or lower case). For example, GB29RBOS60161331926819. Validation is on structure only. No syntax validation)
60001	Account Number ISIN	AccountNumber should match with the ISIN format. (The ISIN structure [ISO6166] is a sequence of 12-character alphanumerical code. It consists of threeparts: • 2 upper case letters between A and Z, representing the ISO-3166 two letter country code where the account is located; • A nine character alpha-numerical national security identifier; • A single check digit. For example, US0378331005.' Validation is on structure only. No syntax validation)
60003	Account Balance and Closed account	The Account Balance must be zero if account was indicated as closed in the account closed attribute
60005	Controlling Person type must be omitted	When the Account Holder is an Organisation and the "Account Holder Type" is CRS102 or CRS103, the "Controlling Person Type" must be omitted. (CRS102= CRS Reportable Person; CRS103= Passive Non-Financial Entity that is a CRS Reportable Person)

60006	Controlling Person type must be provided	When the Account Holder is an Organisation and the "Account Holder Type" is CRS101, the "Controlling Person Type" must be provided. (CRS101= Passive Non-Financial Entity with - one or more controlling person that is a Reportable Person)
60014	BirthDate	The date of birth should be in the range of greater than or equal to 1900 and less than or equal to current year
60017	Specified Electronic Money Product	A Specified Electronic Money Product (AccountNumber is OECD606) must be a Depository Account (AccountType is CRS1101) or not reported (AccountType is CRS1100)
60018	IBAN	An International Bank Account Number (AccountNumber is OECD601) must be a Depository Account (AccountType is CRS1101) or not reported (AccountType is CRS1100)
60019	Equity Interest Type	If the Equity Interest Type is provided, the AccountType must be Debt or Equity Interest in Investment Entity (AccountType is CRS1104) or not reported (AccountType is CRS1100)
60020	Cash Value Insurance Contract or Annuity Contract	A Cash Value Insurance Contract or Annuity Contract (AccountType is CRS1103) can only be “Other Any other type of account number e.g. insurance contract” (AccountNumber is OECD605)
60021	Payment Type When the Account Type is Depository Account	When the Account Type is a Depository Account (AccountType is CRS1101), the payment type must be Interest (Type is CRS502)
60022	Payment Type When the Account Type is Debt or Equity Interest in Investment Entity	When the Account Type is a Debt or Equity Interest in Investment Entity (AccountType is CRS1104), the payment type must be Gross Proceeds/Redemptions or Other – CRS (Type is CRS503 or CRS504)
60023	Payment Type When the Account Type is Cash Value Insurance Contract or Annuity Contract	When the Account Type is a Cash Value Insurance Contract or Annuity Contract (AccountType is CRS1103), the payment type must be Gross Proceeds/Redemptions or Other - CRS (Type is CRS503 or CRS504)

60024	Number of Joint Account Holders	The Number of the account holder must be at least two
60101	Duplicate Element	Duplicate element (with the same content and attribute)
60103	Undocumented Account and ResCountryCode	ResCountryCode “MO” should be used for Undocumented account

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

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

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

IIc. Record Validation – Error codes used for unknown reasons. (90 000 – 99 999)

RecordError Code	Validation Name	Validation description
99999	UnknowError	There is an unknown issue, and the DSF is currently handling it.