



Inland Revenue Department
The Government of the Hong Kong Special Administrative Region
of the People's Republic of China

AEOI Portal
User Guide of Data Preparation Tool

For more information, please visit [the webpage about the AEOI Portal](#).

Preface

This user guide is to provide step-by-step instructions on how to use the Data Preparation Tool to prepare a data file. It specifies:

- (a) how a new data file is prepared when the Financial Account Information Return (“Return”) has not yet been filed;
- (b) how a data file for amendment or deletion of records is prepared if the Return has already been filed.

This guide is provided for information purposes only, and is subject to changes without notice. Screenshots contained in this guide are intended for illustration only.

Enquiries may be made to the Inland Revenue Department (“IRD”) by email to:

- (a) aeoi_gen@ird.gov.hk (General Enquiry);
- (b) aeoi_it@ird.gov.hk (Enquiry relating to XML Schema).

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A Get Access to the Data Preparation Tool

(a) After having logged into the AEOI Account of the Financial Institution (“FI”), the user can select “Use Data Preparation Tool” under “Manage Return” tab.

The screenshot shows the Inland Revenue Department's AEOI Portal. The user is logged in as CHAN Tai Man, ABC Bank (Hong Kong) Limited. The 'Manage Return' dropdown menu is open, and the 'Use Data Preparation Tool' option is highlighted with a red box. The menu also includes 'Check Return Status', 'Manage Data Files', and 'File Return'. Below the menu is a table of messages:

Date	Icon	Subject
2 JAN 2018 00:15	✉	Notice of 提交報表
20 OCT 2017 11:15	📧	Validation 測試用的數據檔案驗證結果
10 OCT 2017 10:21	📧	AEOI Account Opening Completed 已完成開立自動交換資料帳戶

(b) The screen “Data Preparation Tool” will be opened in a separate window. The FI’s name and AEOI ID are displayed to confirm that a data file is to be prepared for this FI.

The screenshot shows the 'Data Preparation Tool' interface. The financial institution details are displayed as follows:

Financial Institution	
Name	ABC Bank (Hong Kong) Limited
AEOI ID	AB12345

Below the details, there are two columns of actions:

- AEOI Return not yet filed:**
 - Create New Data File
 - Open Temporary File for Further Updating
 - Import Data File for Creation of New Data
- AEOI Return filed already:**
 - Import Data File for Record Amendment / Deletion
 - Open Temporary File for Further Updating
 - Create Data File for Addition / Amendment / Deletion of Records

A note at the bottom states: "You have to use a dedicated tool to sign and encrypt the XML files before uploading them to AEOI Portal. The Encryption Tool can be downloaded here".

B Common features

1. Some characters are not accepted within the data of the XML file. Thus input of these characters in the Data Preparation Tool is not allowed.

Unacceptable Characters	Description
--	Double Dash
/*	Slash Asterisk
&#	Ampersand Hash

2. A data file in extensible markup language (XML) is created by input of the required information field by field. In general, copy and paste functions can be applied field by field.

C Preparation of Data Files

1. Create New Data File (AEOI Return not yet filed)

1.1 Select “Create New Data File”.

The screenshot shows the 'Data Preparation Tool' interface. At the top, there is a header with the Inland Revenue Department logo and the text 'The Government of the Hong Kong Special Administrative Region of the People's Republic of China'. The page title is 'Data Preparation Tool'. Below the header, there is a section for 'Financial Institution' with the following details: Name: ABC Bank (Hong Kong) Limited, AEOI ID: AB12345. There are two main sections: 'AEOI Return not yet filed' and 'AEOI Return filed already'. The 'AEOI Return not yet filed' section contains three buttons: 'Create New Data File' (highlighted with a red box), 'Open Temporary File for Further Updating', and 'Import Data File for Creation of New Data'. The 'AEOI Return filed already' section contains three buttons: 'Import Data File for Record Amendment / Deletion', 'Open Temporary File for Further Updating', and 'Create Data File for Addition / Amendment / Deletion of Records'. At the bottom, there is a light blue banner with the text: 'You have to use a dedicated tool to sign and encrypt the XML files before uploading them to AEOI Portal. The Encryption Tool can be downloaded here.'

1.2 Summary Page of the data file is shown.

The screenshot shows the 'Summary Page' of the data file. At the top, there is a header with the Inland Revenue Department logo and the text 'The Government of the Hong Kong Special Administrative Region of the People's Republic of China'. The page title is 'Data Preparation Tool'. Below the header, there is a section for 'Data file contains the required information in relation to reportable accounts of: *'. There are four radio button options: 'the Financial Institution', 'a sub-fund of the Financial Institution (if the Financial Institution is an umbrella fund with sub-funds)', 'a scheme participating in pooling agreement or approved pooled investment fund', and 'a trustee-documented trust'. Below this, there are fields for Name: ABC Bank (Hong Kong) Limited, AEOI ID: AB12345, and Year * (a dropdown menu). There is also an 'Attention Note' field. Below the fields, there is a table with the following columns: Document Reference ID, Account Number, Account Holder, and Account Balance. The table content is 'No record found'. At the bottom, there is a footer with the text '* Mandatory fields' and a row of buttons: 'Add Record', 'Print All', 'Print Summary', 'Exit', and 'Save'.

- (a) Click the radio button to indicate the party to which the reportable accounts in the data file to be created are related.

There are four allowable options:

- the FI;
- a sub-fund (if the FI is a non-corporate umbrella fund with sub-funds);
- a scheme (if the FI is a pooling agreement or an approved pooled investment fund (“APIF”) with schemes participating in the pooling agreement or APIF);
- a trustee-documented trust (“TDT”) (of which the FI is a trustee).

- (i) If the reportable accounts in the data file to be created are maintained by a sub-fund, enter the name of sub-fund.



Inland Revenue Department
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of the People's Republic of China

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Data Preparation Tool

Data file contains the required information in relation to reportable accounts of: *

the Financial Institution
 a sub-fund of the Financial Institution (if the Financial Institution is an umbrella fund with sub-funds)
 a scheme participating in pooling agreement or approved pooled investment fund
 a trustee-documented trust

Name of Sub-fund *

AEIO ID

Year *

Attention Note ⓘ

Document Reference ID	Account Number	Account Holder	Account Balance
No record found			

* Mandatory fields

Add Record Print All Print Summary Exit Save

- (ii) If the reportable accounts in the data file to be created are maintained by a scheme participating in the pooling agreement or APIF, enter the name of scheme.

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of the People's Republic of China

Data Preparation Tool

Data file contains the required information in relation to reportable accounts of: *

- the Financial Institution
- a sub-fund of the Financial Institution (if the Financial Institution is an umbrella fund with sub-funds)
- a scheme participating in pooling agreement or approved pooled investment fund
- a trustee-documented trust

Name of Scheme *

AEOI ID AB12345

Year *

Attention Note ⓘ

Document Reference ID	Account Number	Account Holder	Account Balance
No record found			

* Mandatory fields

Add Record Print All Print Summary Exit Save

- (iii) If the reportable accounts in the data file to be created are maintained by a TDT, enter the name of TDT.

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The Government of the Hong Kong Special Administrative Region
of the People's Republic of China

Data Preparation Tool

Data file contains the required information in relation to reportable accounts of: *

- the Financial Institution
- a sub-fund of the Financial Institution (if the Financial Institution is an umbrella fund with sub-funds)
- a scheme participating in pooling agreement or approved pooled investment fund
- a trustee-documented trust

Name of Trustee-documented Trust *

AEOI ID AB12345

Year *

Attention Note ⓘ

Document Reference ID	Account Number	Account Holder	Account Balance
No record found			

* Mandatory fields

Add Record Print All Print Summary Exit Save

- (b) **Year** – Click the drop-down arrow to select the year to which the data file to be

created is related.

- (c) **Attention Note** – Input notes, if any, on matters requiring the attention of IRD.
- (d) Click “Add Record” to start creation of new record.

1.3 Account Details

The screenshot displays the 'Data Preparation Tool' interface. At the top, there is a navigation bar with icons for home, search, and user profile, along with language options (ENG) and an 'EXIT' button. The Inland Revenue Department logo and name are on the left, and the title 'Data Preparation Tool' is on the right. The main content area is divided into two sections: 'Account Details' and 'Account Holder'. The 'Account Details' section includes fields for 'Account Number *', 'Account Number Type' (a dropdown menu), 'Account Status' (radio buttons for Active, Closed, Dormant), and 'Undocumented Account' (radio buttons for No, Yes). The 'Account Holder' section is titled 'Individual Holder #1' and includes 'Account Holder Type' (radio buttons for Individual, Entity), 'Residence Country *' (a dropdown menu with a search icon and a 'More' button), and 'Tax Identification Number' (a field with a search icon and an 'Issued By' dropdown menu with a search icon and a 'More' button).

- (a) **Account Number** – Enter the account number of the record. If an International Bank Account Number (IBAN) or International Securities Information Number (ISIN) is available for input, there is no need to input the space between all the alphanumeric characters.

- (b) **Account Number Type** – Click the drop-down arrow to select the type of account number.

There are five allowable options:

- International Bank Account Number (IBAN);
- Other Bank Account Number (OBAN);
- International Securities Information Number (ISIN);
- Other Securities Information Number (OSIN);
- Any other type of account number.

- (c) **Account Status** – Select the status of the account: Active, Closed or Dormant.

- (d) **Undocumented Account** – Indicate whether the account is Undocumented

Account or not.

1.4 Account Holder

(a) **Account Holder Type** – Select the type of account holder. There are two allowable options:

- Individual;
- Entity.

(b) **Individual** – Enter details of Individual Account Holder.

(i) **Residence Country**

- Click the drop-down arrow to select the residence jurisdiction for the individual being reported upon. The drop-down list is based on the ISO-3166 country code list¹ which is currently used by banks and other financial institutions, and hence by tax administrations.
- For undocumented account, select “Hong Kong”.
- Click “More” if the individual is certified or treated as tax resident in more than one jurisdiction.

(ii) **Tax Identification Number**

- **Number** – Enter the Tax Identification Number (TIN) used by the

¹ The use of this list does not imply the expression of any opinion whatsoever concerning the legal status of the territories listed. Its content is without prejudice to the status of or sovereignty over any territory, to the delimitation of international frontiers and boundaries and to the name of any territory, city or area.

residence jurisdiction to identify the Individual Account Holder. Where TIN is not available for a Pre-existing Account in the records of the FI, this may be left blank. However, the FI is required to collect such information by the end of the second calendar year following the year in which such account was identified as Reportable Account.

- **Issued By** – Click the drop-down arrow to select the jurisdiction that issued the TIN. The drop-down list is based on the ISO-3166 country code list as mentioned in paragraph 1.4(b)(i) above. If the issuing jurisdiction is not known then this may be left blank.
- Click “More” if the individual has more than one TIN.

(iii) **Name** – Enter the name of individual account holder. It is divided into several parts:

- **Name Type** – Click the drop-down arrow to select the type of name. There are seven allowable options:
 - Individual;
 - Alias;
 - Nickname;
 - Also known as;
 - Doing Business as;
 - Legal;
 - Name At Birth.
- **Preceding Title** – Enter the preceding title. Example: His Excellency, Estate of the Late ...
- **Title** – Enter the title. Example: Mr, Dr, Ms, Herr, etc.
 - Click “More” if the individual has multiple titles.
- **First Name** – First name must be provided.
 - Input an initial or “NFN” in case no complete first name can be provided.
- **Middle Name** – Enter the middle name. Example: Sakthi in “Nivetha Sakthi Shantha”.
- **Name Prefix** – Enter the name prefix, such as de, van, van de, von, etc. Example: Derick de Clarke.
- **Last Name** – Last name must be provided. Can be Given Name, Forename, Christian Name, Surname, Family Name, etc.
- **Generation Identifier** – Enter the generation identifier. Example: Jnr, Thr Third, III.
- **Suffix** – Enter the suffix. Can be compressed initials. Example: PhD,

VC, QC.

- **General Suffix** – Enter general suffix. Example: Deceased, Retired.
- Click “More” at the bottom of **Name** if the individual has more than one name.

(iv) **Address** – Enter the address of individual account holder.

- **Address Format** – The address can be provided in fixed format or free format.
- Click “More” if the individual has more than one address.

For fixed address format:

The screenshot displays the 'Data Preparation Tool' interface for entering an address. The header includes the Inland Revenue Department logo and the text 'The Government of the Hong Kong Special Administrative Region of the People's Republic of China'. The main form area is titled 'Address #1' and contains the following fields:

- Address Format:** Radio buttons for 'Fixed' (selected) and 'Free'.
- Legal Address Type:** A dropdown menu.
- Suite:** A text input field.
- Floor:** A text input field.
- Building:** A text input field.
- Street:** A text input field.
- District:** A text input field.
- City:** A text input field with a red asterisk indicating it is required.
- Country:** A dropdown menu with a red asterisk indicating it is required.
- Country Subentity:** A text input field.
- Postal Code:** A text input field.
- PO Box:** A text input field.
- Remarks:** A text area with a speech bubble icon.

A 'More' button is located at the bottom right of the form area.

- **Legal Address Type** – Click the drop-down arrow to select the type of legal address. There are five allowable options:
 - Residential or Business;
 - Residential;
 - Business;
 - Registered Office;
 - Unspecified.
- **Suite** – Enter the suite.
- **Floor** – Enter the floor.
- **Building** – Enter the building.
- **Street** – Enter the street.
- **District** – Enter the district.
- **City** – City must be provided. For undocumented account, enter

“undocumented”.

- **Country Subentity** – Enter the country subentity.
- **Country** – Country must be provided by clicking the drop-down arrow to select. The drop-down list is based on the ISO-3166 country code list as mentioned in paragraph 1.4(b)(i) above. For undocumented accounts, select “Hong Kong”.
- **Postal Code** – Enter the postal code.
- **PO Box** – Enter the PO Box.
- **Remarks** – Besides separating the logical parts of the address in fixed format, the user can enter the data in this field if he/she also wants to indicate a suitable breakdown into print-lines by delimiters in the free text form.

For free address format:

The screenshot shows the 'Data Preparation Tool' interface. At the top, there is a purple header with navigation icons and the text 'ENG | 繁體 | EXIT'. Below the header, the 'Inland Revenue Department' logo and name are visible on the left, and 'Data Preparation Tool' is displayed on the right. The main content area shows a form titled 'Address #1'. The form has a 'Country' dropdown menu, an 'Address' field with five stacked text input boxes, and a 'Legal Address Type' dropdown menu. The 'Address Format' section has two radio buttons: 'Fixed' and 'Free', with 'Free' being selected. A 'More' button is located at the bottom right of the form area.

- **Legal Address Type** – Click the drop-down arrow to select the type of legal address. There are five allowable options:
 - Residential or Business;
 - Residential;
 - Business;
 - Registered Office;
 - Unspecified.
- **Country** – Country must be provided by clicking the drop-down arrow to select. The drop-down list is based on the ISO-3166 country code list as mentioned in paragraph 1.4(b)(i) above. For undocumented accounts, select “Hong Kong”.

- **Address** – Enter the address information in free text. Input of a maximum of 5 lines and 150 characters in each line can be accommodated.

The screenshot displays the 'Data Preparation Tool' interface. At the top, there is a purple header with the Inland Revenue Department logo and text: 'Inland Revenue Department, The Government of the Hong Kong Special Administrative Region of the People's Republic of China'. To the right of the header, there are navigation icons and the text 'ENG | 繁體 | EXIT'. The main content area is titled 'Data Preparation Tool' and contains a 'Birth Information' section. This section includes a 'Date of Birth' field with a calendar icon and a 'DD/MM/YYYY' placeholder. Below this is a 'Place of Birth' section with a checkbox. Underneath the checkbox are four input fields: 'City', 'City Sub-entity', 'Country' (a dropdown menu), and 'Former Country Name'.

(v) **Birth Information**

- **Date of Birth** – Enter the date of birth of the individual account holder. Where date of birth is not available for a Pre-existing Account in the records of the FI, this may be left blank. However, the FI is required to collect such information by the end of the second calendar year following the year in which such account was identified as Reportable Account.
- **Place of Birth** – Tick the checkbox if information of the place of birth is reported. A current jurisdiction or a former jurisdiction should be supplied, together with City or City and City Sub-entity.
 - City – Enter the city.
 - City Sub-entity – Enter the city sub-entity.
 - Country – Current jurisdiction can be provided by clicking the drop-down arrow to select. The drop-down list is based on the ISO-3166 country code list as mentioned in paragraph 1.4(b)(i) above.
 - Former Country Name – Enter the name of former jurisdiction.

(c) **Entity** – Enter details of Entity Account Holder.

Entity Holder #1

Account Holder Type Individual Entity

Entity Holder Type *

- CRS Reportable Person
- Passive Non-Financial Entity that is a CRS Reportable Person
- Passive Non-Financial Entity with – one or more controlling person that is a Reportable Person

Residence Country *

Entity Identification Number

Number Type Issued By

Name of Entity *

Name Type

Address

Address #1

Address Format Fixed Free Legal Address Type

Suite Floor

Building

- (i) **Entity Holder Type** – Click the radio button to indicate the type of entity holder. There are three allowable options:
- CRS Reportable Person;
 - Passive Non-Financial Entity that is a CRS Reportable Person;
 - Passive Non-Financial Entity with – one or more controlling person that is a Reportable Person.
- (ii) **Residence Country**
- Click the drop-down arrow to select the residence jurisdiction for the entity being reported upon. The drop-down list is based on the ISO-3166 country code list as mentioned in paragraph 1.4(b)(i) above.
 - For undocumented account, select “Hong Kong”.
 - Click “More” if the entity is certified or treated as tax resident in more than one jurisdiction.
- (iii) **Entity Identification Number**
- **Number** — Enter the identification number (IN) used by the residence jurisdiction to identify the Entity Account Holder. Where IN is not available for a Pre-existing Account in the records of the FI, this may be left blank. However, the FI is required to collect such information by the end of the second calendar year following the year in which such account was identified as Reportable Account.
 - **Type** – Enter the type of the Entity Identification Number. This may be

the business registration number (BRN), US GIIN, a TIN, company registration number, Global Entity Identification Number (EIN) or other similar identifying number specified by the tax administration.

- **Issued By** – Click the drop-down arrow to select the jurisdiction that issued the IN. The drop-down list is based on the ISO-3166 country code list as mentioned in paragraph 1.4(b)(i) above. If the issuing jurisdiction is not known then this may be left blank.
- Click “More” if the entity has more than one IN.

(iv) **Name of Entity**

- **Name Type** – Click the drop-down arrow to select the type of name. There are seven allowable options:
 - Individual;
 - Alias;
 - Nickname;
 - Also known as;
 - Doing Business as;
 - Legal;
 - Name At Birth.
- **Name** – Enter the legal name of the Entity.
- Click “More” if the entity has more than one name.

(v) **Address**

Enter the address of entity account holder. Refer to paragraph 1.4(b)(iv) above.

- (d) Click “More” at the bottom of **Account Holder** if the account has more than one account holder.

1.5 Account Balance and Payments

Account Balance and Payments

Account Type *

Account Balance *

Gross amount paid or credited to the account during the year

Dividends

Interest

Proceeds from the Sale / Redemption of Property

Other Income

- (a) **Account Type** – Click the drop-down arrow to select the type of account. There are five allowable options:
- Custodial Account;
 - Depository Account;
 - Debt or Equity Interest in Investment Entity;
 - Cash Value Insurance Contract;
 - Annuity Contract.
- (b) **Account Balance** – Click the drop-down arrow to select the currency and enter the amount.
- (c) **Gross amount paid or credited to the account during the year** – Tick the checkbox of payment types – Dividends, Interest, Proceeds from the Sale / Redemption of Property, or Other Income, as appropriate. Click the drop-down arrow to select the currency and enter the payment amount.
- 1.6 Click “Add Record” to continue to add a new record.
- 1.7 Click “Previous Record” to go to the previous record.
- 1.8 Click “Delete” to delete the current record.
- 1.9 Click “Print” to print the details of the current record.

1.10 Click “Go to Summary” to go to the Summary Page. Document Reference ID, Account Number, Name of Account Holder and Account Balance of reportable accounts added in the data file are shown in the Summary Page.

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ENG | 繁體 | EXIT

Data Preparation Tool

Data file contains the required information in relation to reportable accounts of: *

- the Financial Institution
- a sub-fund of the Financial Institution (if the Financial Institution is an umbrella fund with sub-funds)
- a scheme participating in pooling agreement or approved pooled investment fund
- a trustee-documented trust

Name of Financial Institution: ABC Bank (Hong Kong) Limited

AEOI ID: AB12345

Year *:

Attention Note ⓘ

Document Reference ID	Account Number	Account Holder	Account Balance
20170505092727000001	01234567890-001	TAI MAN CHAN	GBP 50,000.00
20170517154120000001	12345678901-002	MEI LAI NG	USD 200,134,886.00
20170517154120000002	12345678902-012	DEF Company Limited	HKD 2,349,963.00
20170518091227000002	23456789012-005	BCD Company Limited	AUD 2,354,789.89
20170518091227000003	65432107891-089	FGH Company Limited	JPY 2,356,657,989.00

«
<
1
>
»

* Mandatory fields

Add Record
Print All
Print Summary
Exit
Save

1.11 Click “Print All” to print the Summary Page and details of all reportable accounts contained in the data file.

1.12 Click “Print Summary” to print the Summary Page.

1.13 Click “Save” to save the data file.



Here is the **number of reportable accounts (including undocumented accounts)** contained in the data file. You need to input such information during signing and encryption process.

Number of reportable accounts contained in the data file	New	Amendment	Deletion
Reportable Accounts	5	0	0
Undocumented Accounts Included Therein	1	0	0

Have you completed inputting data for all the records in this file?



Yes, an XML file together with 3 corresponding files will be generated and saved.

- 2017AB123452017051913185301.xml
This file will be saved in extensible markup language (XML). You need to sign and encrypt the XML file with e-Cert (Organisational) with AEOI Functions and upload the encrypted data file to the AEOI Portal.
- 2017AB123452017051913185301-editable.dat
This file will be saved with suffix "-editable". You can make use of this data file via the "Open Temporary File for Further Updating" function to review the saved input data.
- 2017AB123452017051913185301-final.dat
This file will be saved with suffix "-final". After submission of AEOI Return, you can make use of this corresponding data file via the "Import Data File for Record Amendment / Deletion" function for the amendment to / deletion of records that have been uploaded to the AEOI Portal previously.
- 2017AB123452017051913185301.txt
This file shows the number of reportable accounts contained in the data file. You need to input such information during signing and encryption process.



No, a temporary file will be saved.

- 2017AB123452017051913185301-temp.dat
This file will be used for further updating.

Data File Protection

Password

Confirm Password



- (a) Respective number of reportable accounts (including undocumented accounts) and number of undocumented accounts will be displayed.

(b) The user can select to save a data file ready for encryption (if inputting data is completed) or a temporary file for further updating.

(i) To save a data file ready for encryption, select the first option:



Yes, an XML file together with 3 corresponding files will be generated and saved.

- 2017AB123452017051913185301.xml
This file will be saved in extensible markup language (XML). You need to sign and encrypt the XML file with e-Cert (Organisational) with AEOI Functions and upload the encrypted data file to the AEOI Portal.
- 2017AB123452017051913185301-editable.dat
This file will be saved with suffix "-editable". You can make use of this data file via the "Open Temporary File for Further Updating" function to review the saved input data.
- 2017AB123452017051913185301-final.dat
This file will be saved with suffix "-final". After submission of AEOI Return, you can make use of this corresponding data file via the "Import Data File for Record Amendment / Deletion" function for the amendment to / deletion of records that have been uploaded to the AEOI Portal previously.
- 2017AB123452017051913185301.txt
This file shows the number of reportable accounts contained in the data file. You need to input such information during signing and encryption process.

(ii) To save a temporary file for subsequent updating, select the second option:



No, a temporary file will be saved.

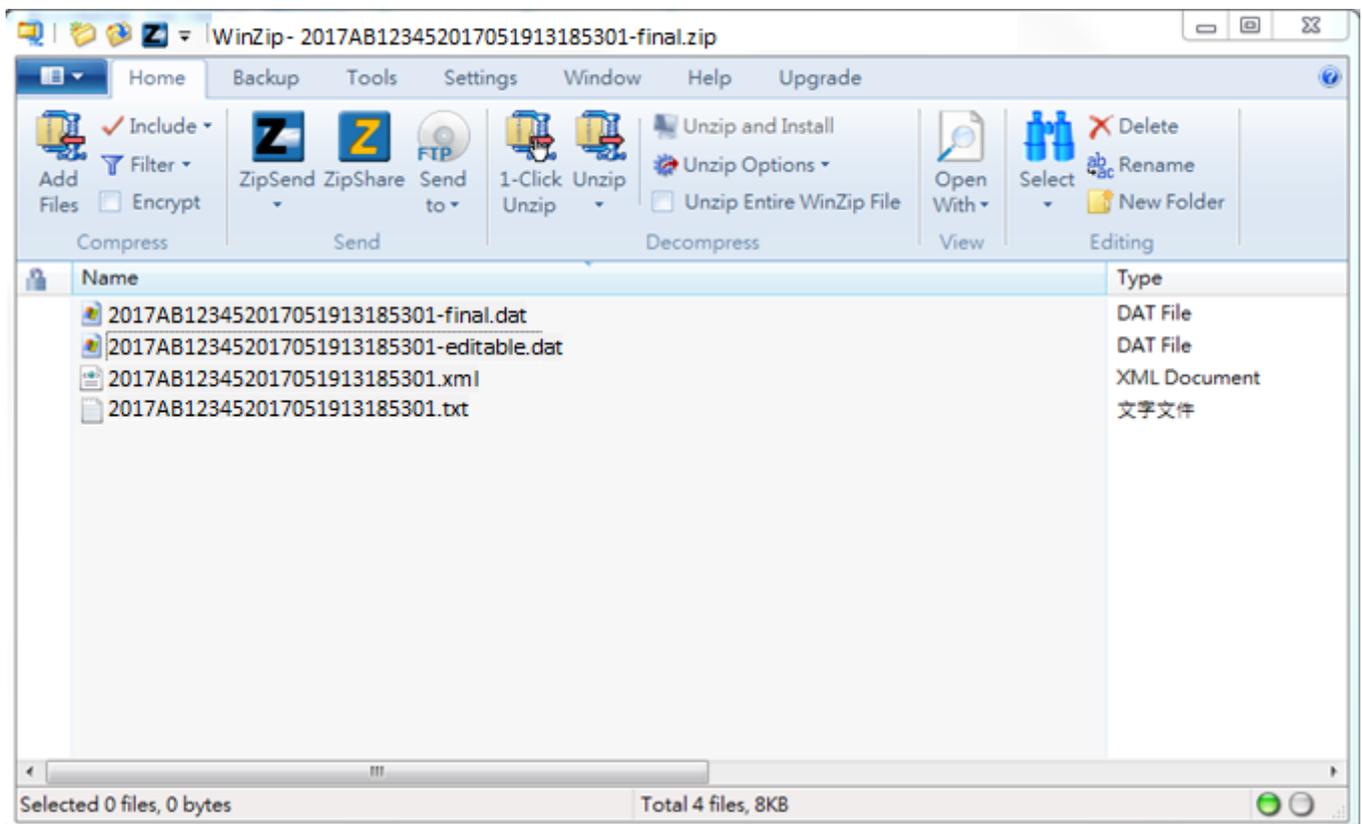
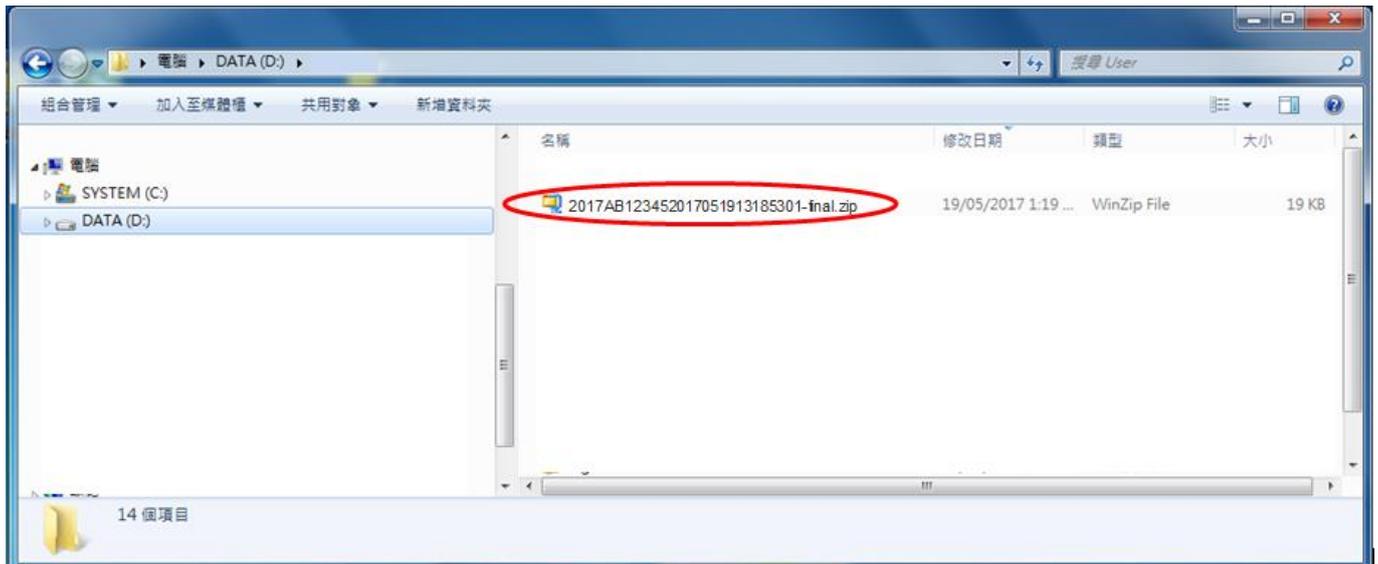
- 2017AB123452017051913185301-temp.dat
This file will be used for further updating.

(iii) For data file protection, the data file generated by the Data Preparation Tool will be encrypted with password. The user is required to input a password and then click “Save”. **IRD cannot retrieve or recover the password if it is forgotten.**

Data File Protection

Password	<input type="password" value="*****"/>
Confirm Password	<input type="password" value="*****"/>

- (c) If the first option is selected, a zip file with file extension “....-final.zip” will be generated and saved in the user’s computer. The user can double click on the zip file to extract the four files onto the user’s computer, including a data file in extensible markup language (XML) with file extension “.....xml” together with corresponding data files with file extension “....-final.dat”, “....-editable.dat” and a text file.



- (i) The XML data file is prepared for reporting the required financial account information to IRD. Before uploading to the AEOI Portal, the XML data file is required to be encrypted with the Encryption Tool provided by IRD, which is available for download on the landing page of the AEOI Portal.
- (ii) The final data file with file extension “...-final.dat” should be kept safely by the user. It may be used for importing data into the Data Preparation Tool for preparation of record amendment / deletion.
- (iii) To review the records in the final data file prepared by the Data Preparation Tool, the user can import the corresponding data file with file extension “...-editable.dat” through “Open Temporary File for Further Updating”. (Refer to paragraph 7 if addition / amendment / deletion of records in the final data file is required.)
- (iv) The user can find respective number of reportable accounts (including undocumented accounts) and number of undocumented accounts in the file with file extension “...txt”.

The screenshot shows a text file window titled "2017AB123452017051913185301.txt". The window contains the following text:

```

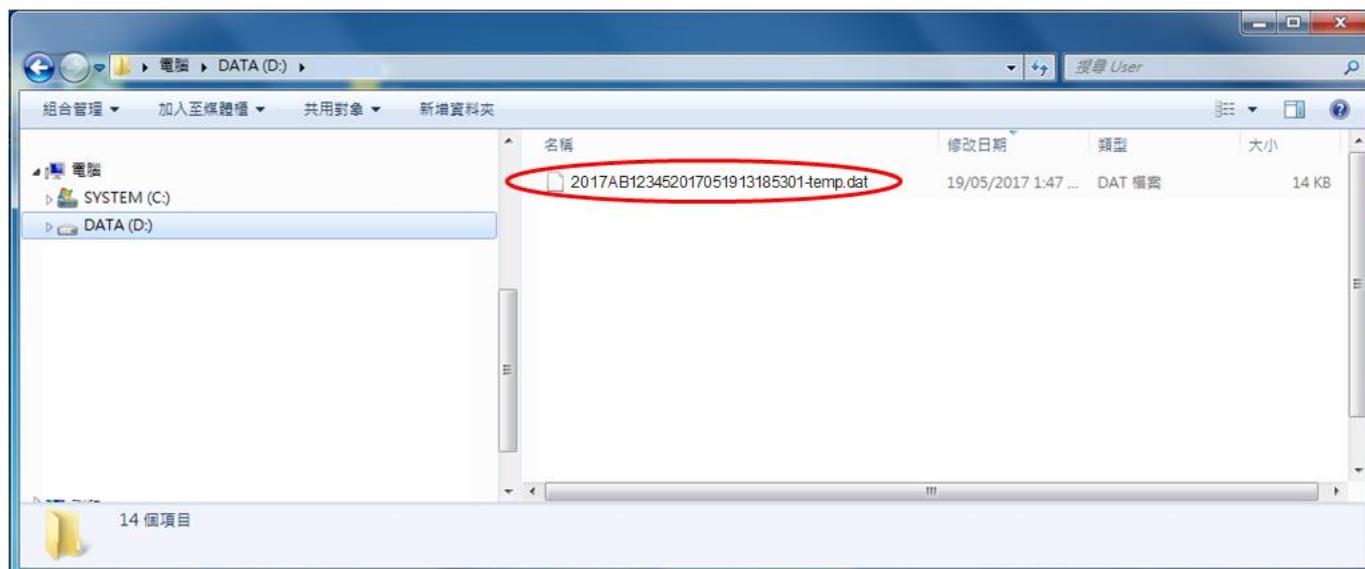
Number of reportable accounts contained in the data file

```

	New	Amendment	Deletion
Reportable Accounts	50	0	0
Undocumented Accounts Included Therein	0	0	0

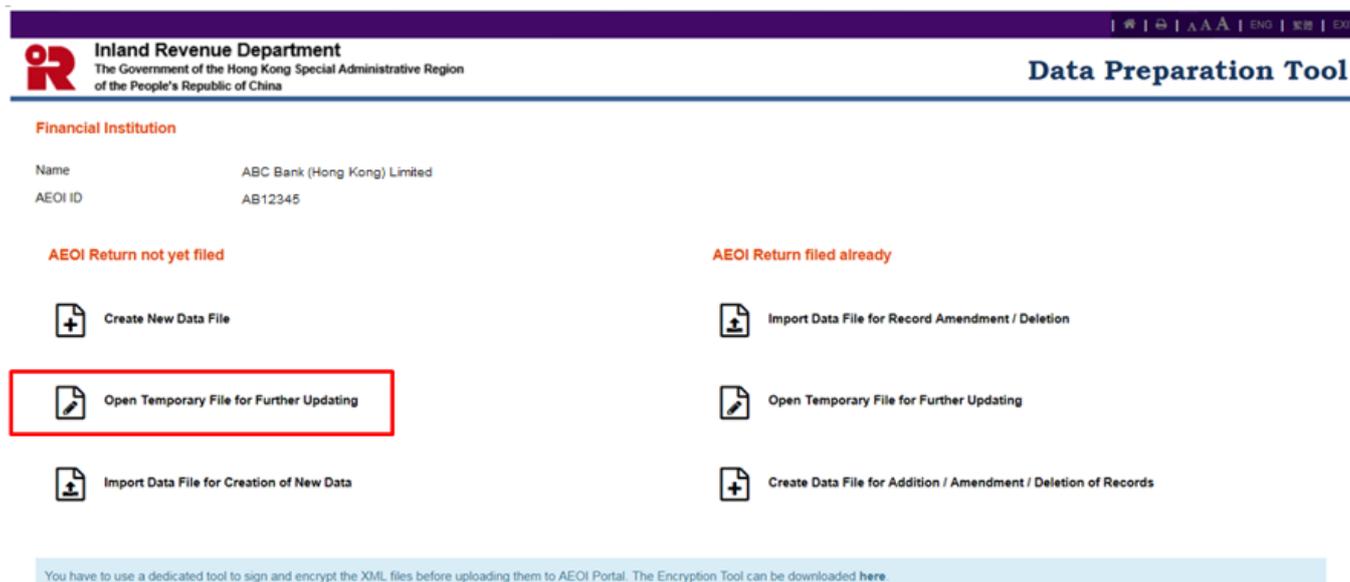
The status bar at the bottom right of the window indicates "第 9 列, 第 1 行" (Column 9, Row 1).

- (d) If the second option is selected, a temporary file with file extension “...-temp.dat” will be generated and saved in the user’s computer for subsequent further updating.

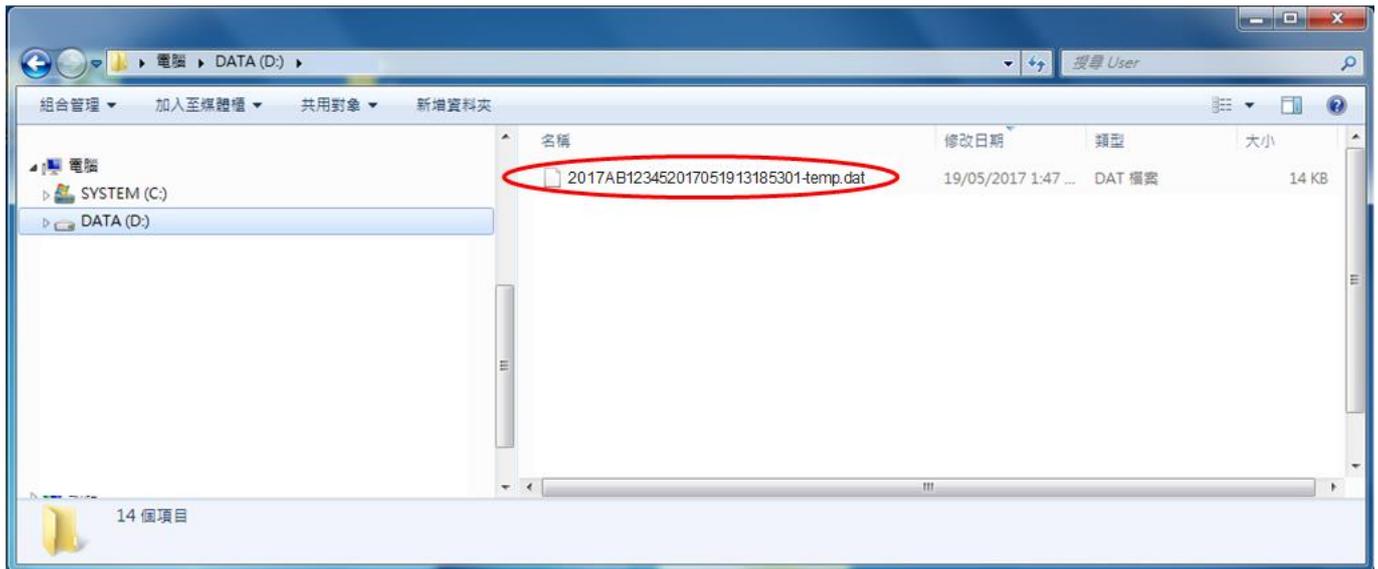


2. Open Temporary File for Further Updating (AEOI Return not yet filed)

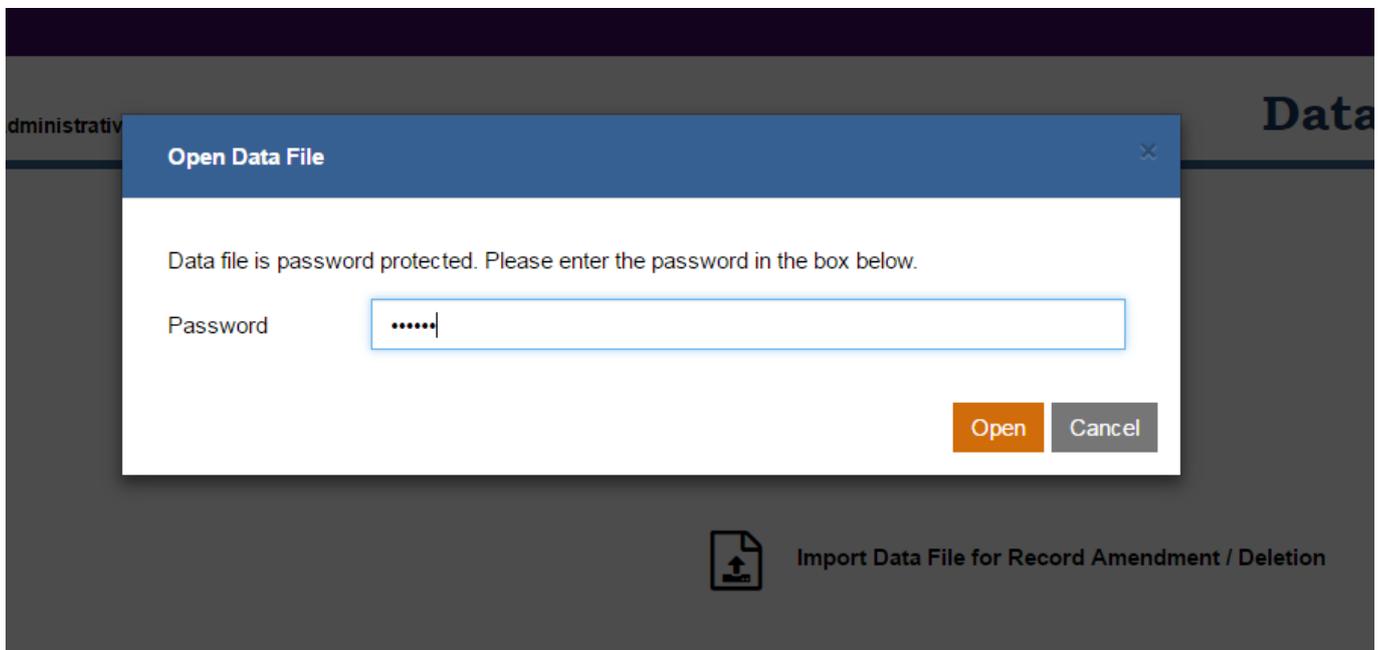
2.1 The temporary file as created by paragraph 1.13(d) above can be imported into the Data Preparation Tool for further updating. Select “Open Temporary File for Further Updating”.



2.2 Browse and click the temporary file.

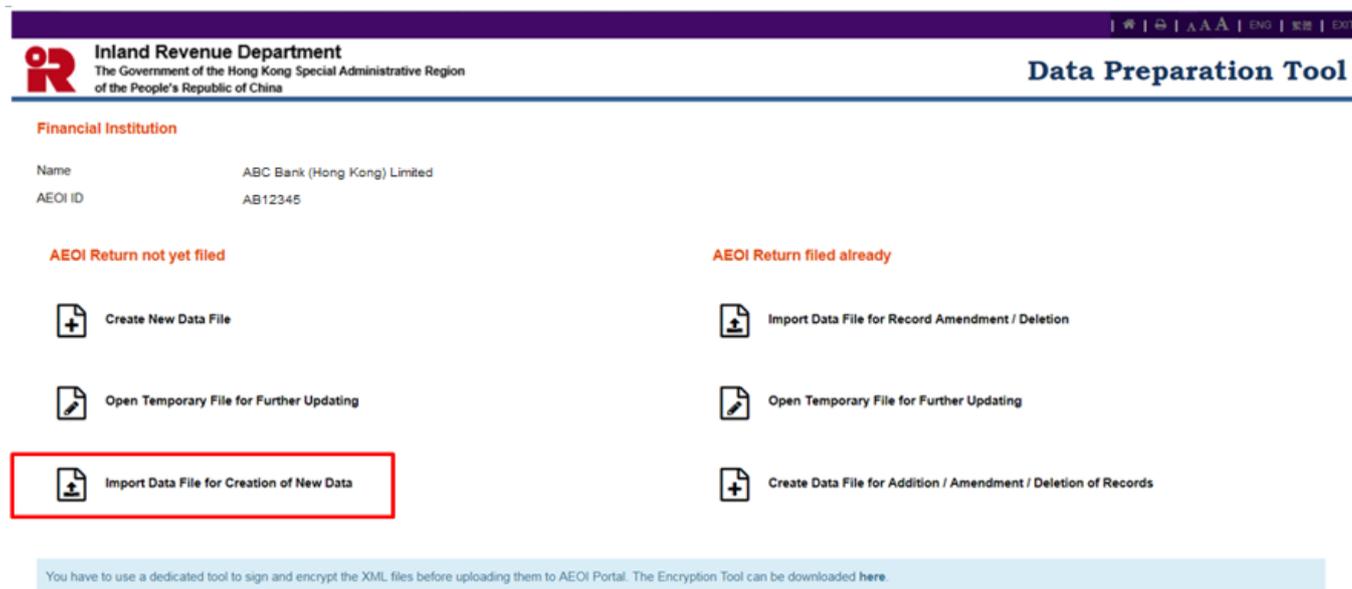


2.3 Input the password and click “Open”.

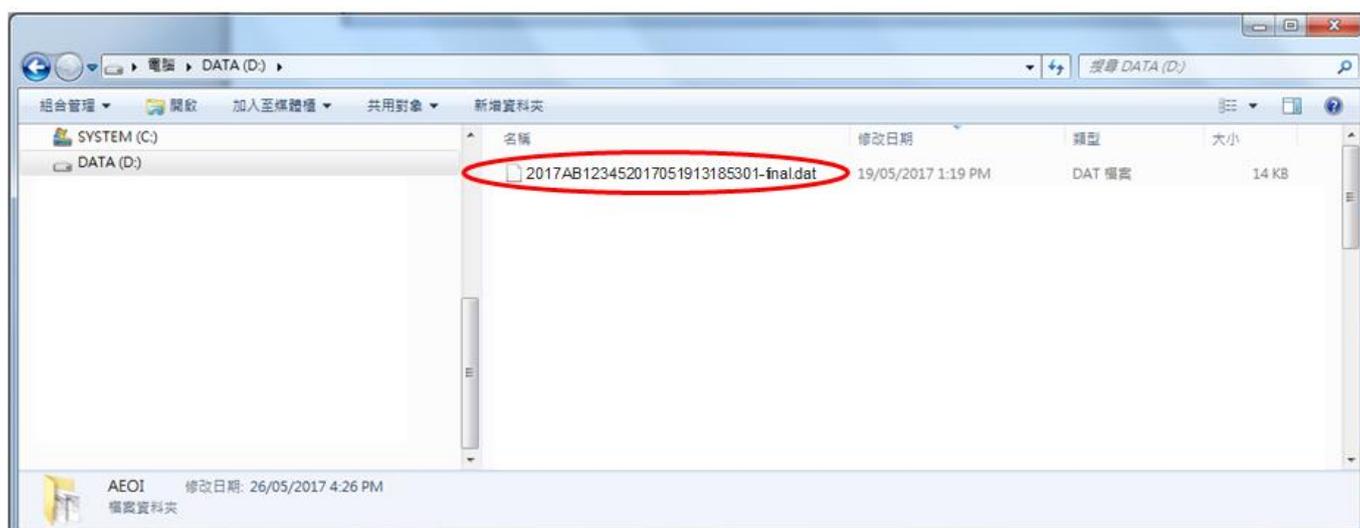


3. Import Data File for Creation of New Data (AEOI Return not yet filed)

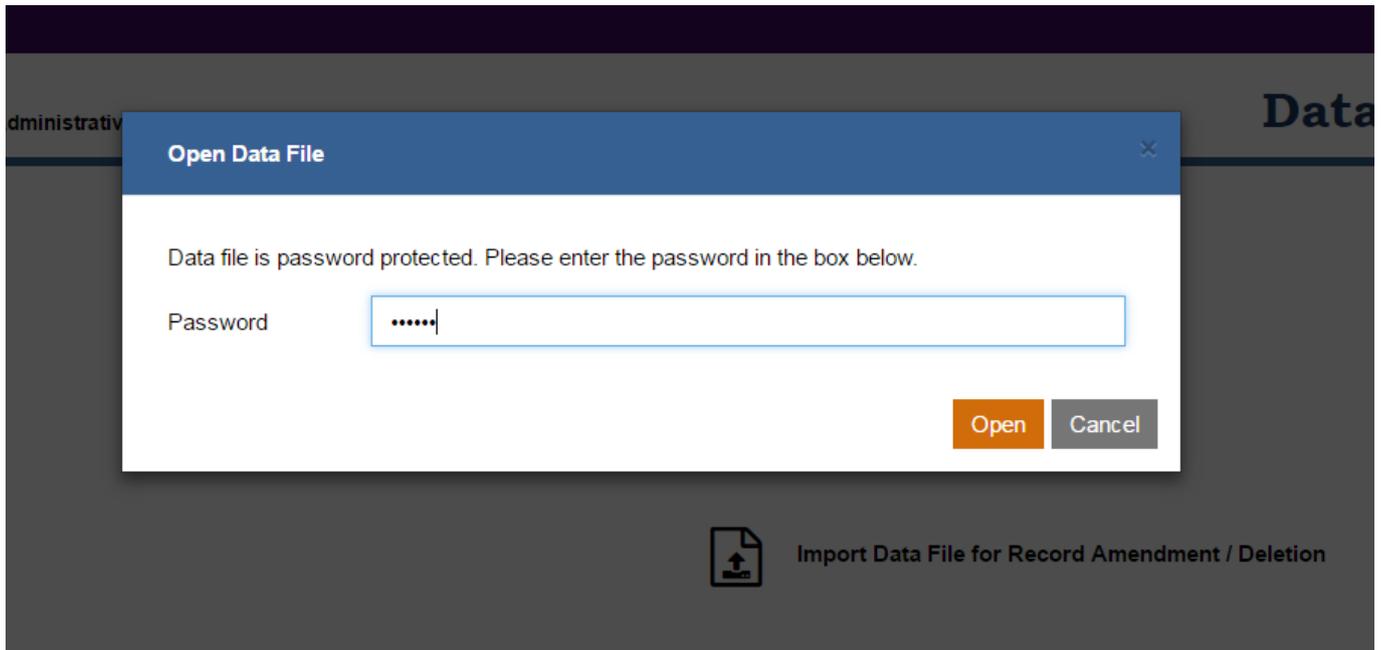
3.1 To save input effort, the user can import the final data file relating to the Return submitted for previous year to create the new data file for the current year. Select “Import Data File for Creation of new Data”.



3.2 Browse and click the file with file extension “...-final.dat”.



3.3 Input the password and click “Open”.



3.4 All the records in the final data file will be imported and displayed.

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Inland Revenue Department
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Data Preparation Tool

Data file contains the required information in relation to reportable accounts of: *

- the Financial Institution
- a sub-fund of the Financial Institution (if the Financial Institution is an umbrella fund with sub-funds)
- a scheme participating in pooling agreement or approved pooled investment fund
- a trustee-documented trust

Name of Financial Institution: ABC Bank (Hong Kong) Limited

AEOI ID: AB12345

Year *: 2018 ▾

Attention Note ⓘ

Document Reference ID	Account Number	Account Holder	Account Balance
20170505092727000001	01234567890-001	TAI MAN CHAN	GBP 50,000.00
20170517154120000001	12345678901-002	MEI LAI NG	USD 200,134,886.00
20170517154120000002	12345678902-012	DEF Company Limited	HKD 2,349,963.00
20170518091227000002	23456789012-005	BCD Company Limited	AUD 2,354,789.89
20170518091227000003	65432107891-089	FGH Company Limited	JPY 2,356,657,989.00

« < 1 > »

* Mandatory fields

Add Record Print All Print Summary Exit Save

- (a) Click the radio button to reselect the party to which the reportable accounts in the data file to be created are related, as appropriate.
- (b) Click the drop-down arrow to select the current year to which the data file to be created is related.

3.5 Click Document Reference ID / Account Number to open the record to update the financial account information as appropriate for the current year.

4. Import Data File for Record Amendment / Deletion (AEOI Return filed already)

4.1 To save input effort, the user can import the final data file containing the record to be corrected, corresponding to which the encrypted XML data file has been submitted to the AEOI Portal, to create a new data file for record amendment / deletion.

4.2 Click “Import Data File For Record Amendment / Deletion”

Inland Revenue Department
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Data Preparation Tool

Financial Institution

Name: ABC Bank (Hong Kong) Limited
AEOI ID: AB12345

AEOI Return not yet filed

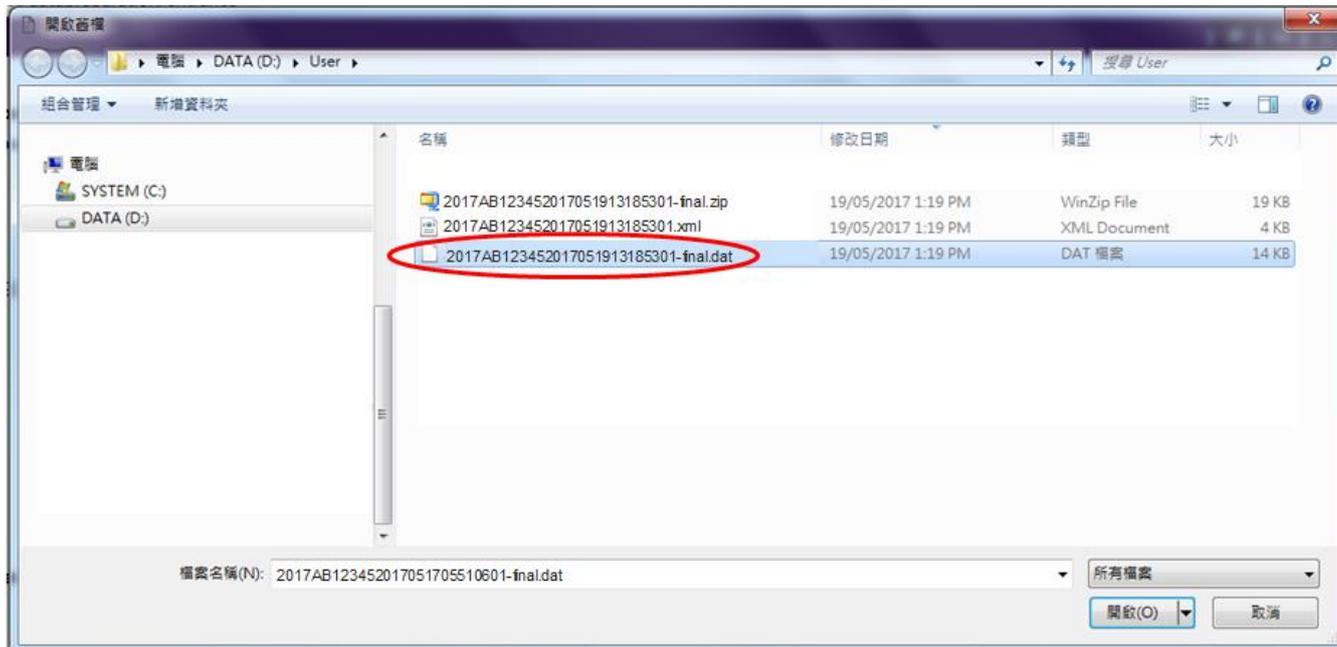
- Create New Data File
- Open Temporary File for Further Updating
- Import Data File for Creation of New Data

AEOI Return filed already

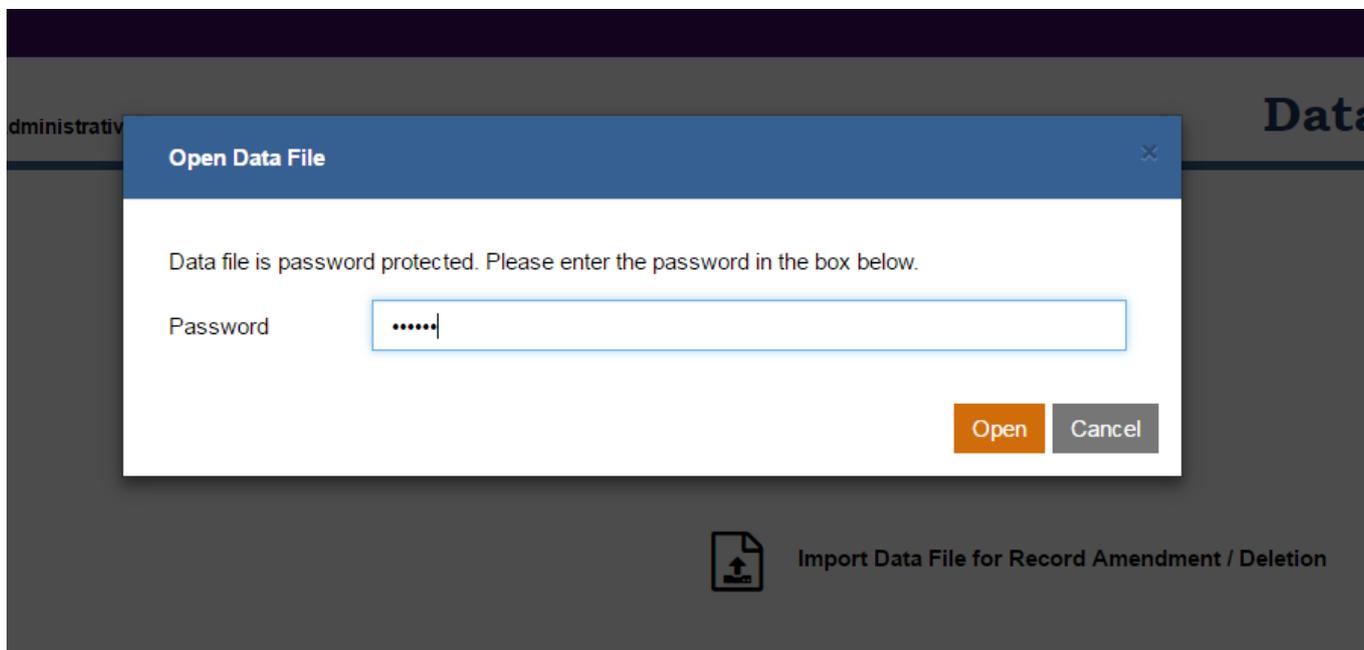
- Import Data File for Record Amendment / Deletion
- Open Temporary File for Further Updating
- Create Data File for Addition / Amendment / Deletion of Records

You have to use a dedicated tool to sign and encrypt the XML files before uploading them to AEOI Portal. The Encryption Tool can be downloaded [here](#).

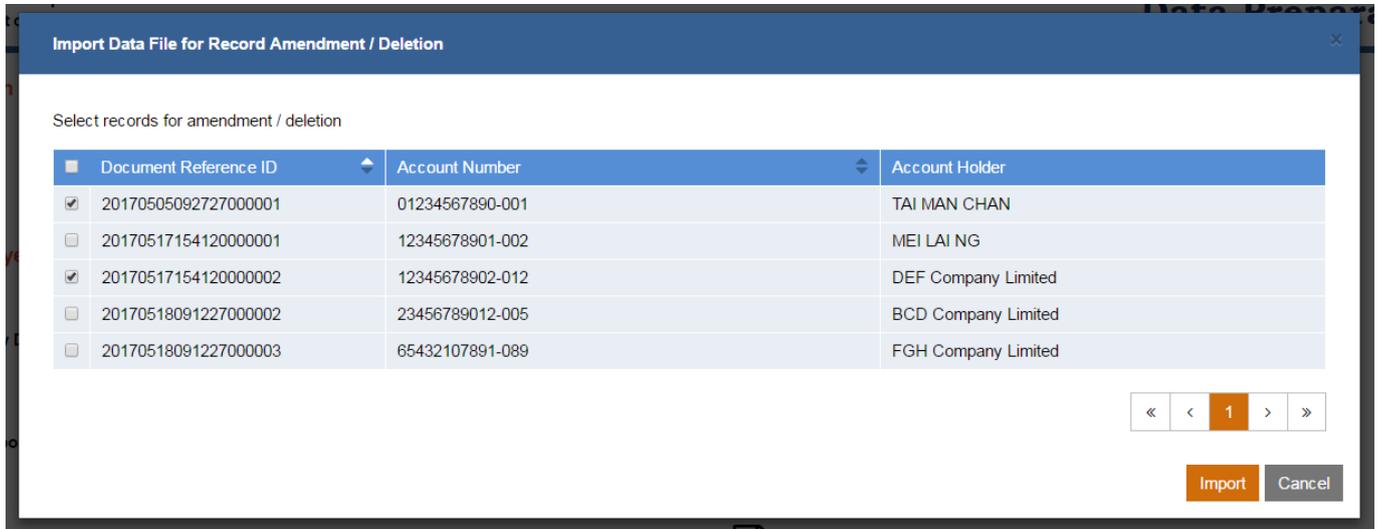
4.3 Select the final data file.



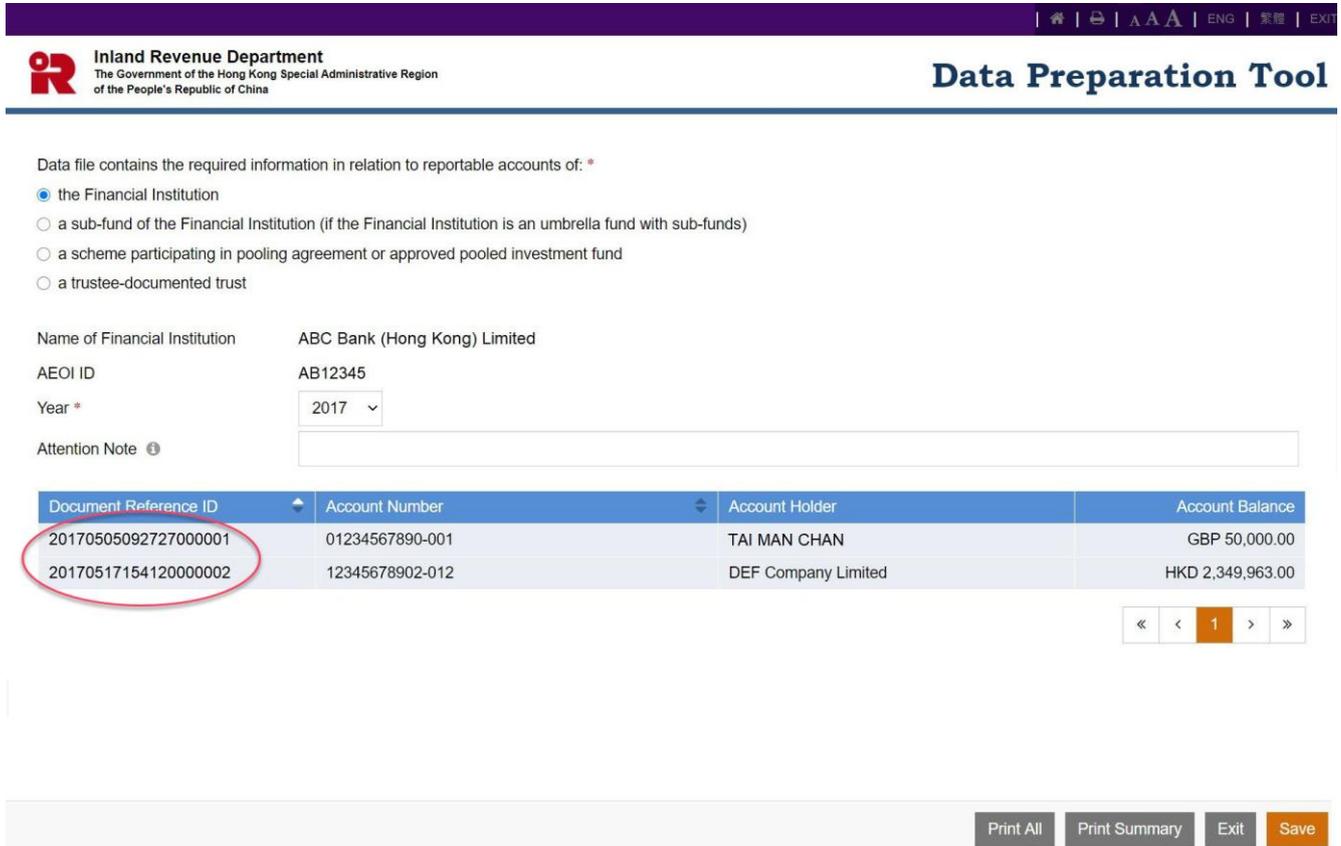
4.4 Input the password and click "Open".



4.5 All the records in the final data file will be imported and displayed. Tick the checkbox to select the records for amendment / deletion. Click “Import”.



4.6 The selected records will be extracted and shown in the Summary Page. Click Document Reference ID / Account Number to open the record for amendment.



4.7 Amend Submitted Record



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Data Preparation Tool

Record Details

Action * Amend submitted record ▾

Original Record

File Serial Number * ③

Document Reference ID *

Account Number *

(a) **Action** – Click the drop-down arrow to select the type of action. There are two allowable options:

- Amend Submitted Record;
- Delete Submitted Record.

To amend, select the option “Amend Submitted Record”.

(b) **File Serial Number** – Enter the File Serial Number, which has been given by IRD when acknowledging receipt of the XML data file previously submitted to the AEOI Portal. It can be found in the AEOI Portal through “Manage Data Files” function under the “Manage Return” tab.

(c) **Document Reference ID** – Retrieve for display only.

(d) **Account Number** – Retrieve for display only.

(e) **Account Details, Details of Account Holder, Account Balance and Payment** are retrieved for amendment, as appropriate.

Account Details

Account Number *

Account Number Type Other Bank Account Number (OBAN) ▾

Account Status Active Closed Dormant

Undocumented Account ③ No Yes

Account Holder

Individual Holder #1 ⤴ ✕

Account Holder Type Individual Entity

Residence Country * United Kingdom ▾ ✕ Japan ▾ ✕ More

Tax Identification Number 0123456789 Austria ▾ ✕ More

Name **Name #1** ⤴ ✕

Name Type ▾

Preceding Title ③

Title ③ ✕ More

First Name * ③

Middle Name ③

Name Prefix ③

Last Name * ③

Generation Identifier ③ ✕ More

Suffix ③ ✕ More

General Suffix ③

Address

Address #1 ^ x

Address Format Fixed Free Legal Address Type

Suite Floor

Building

Street

District City *

Country Subentity Country *

Postal Code PO Box

Remarks ⓘ

[More](#)

Birth Information

Date of Birth ⓘ

Place of Birth

City City Sub-entity

Country

Former Country Name

Account Balance and Payments

Account Type *

Account Balance *

Gross amount paid or credited to the account during the year

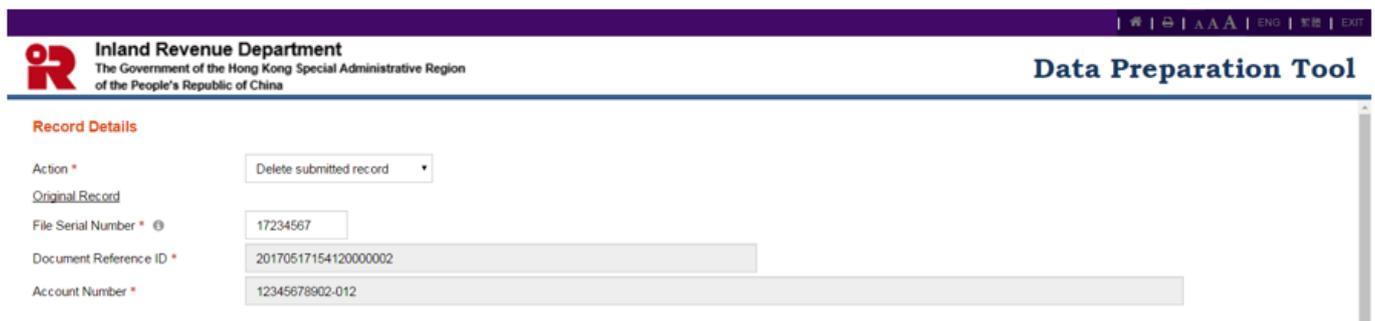
Dividends

Interest

Proceeds from the Sale / Redemption of Property

Other Income

4.8 Delete Submitted Record



Inland Revenue Department
The Government of the Hong Kong Special Administrative Region
of the People's Republic of China

Data Preparation Tool

Record Details

Action *

[Original Record](#)

File Serial Number *

Document Reference ID *

Account Number *

- (a) **Action** – Click the drop-down arrow to select the type of action. To delete, select the option “Delete Submitted Record”.
- (b) **File Serial Number** – Enter the File Serial Number, which has been given by IRD when acknowledging receipt of the XML data file previously submitted to the AEOI Portal. It can be found in the AEOI Portal through “Manage Data Files” function under the “Manage Return” tab.
- (c) **Document Reference ID** – Retrieve for display only.
- (d) **Account Number** – Retrieve for display only.
- (e) **Account Details, Details of Account Holder, Account Balance and Payment** are displayed for reference only. For deletion of a previous submitted record, the user is not required to amend / delete any data.

4.9 To save the data file for record amendment / deletion, the user can refer to paragraph 1.13 above.

5. Open Temporary File for Further Updating (AEOI Return filed already)

5.1 To further update an unfinished data file, the temporary file concerned can be imported into the Data Preparation Tool for further updating.

5.2 Select “Open Temporary File for Further Updating” and refer to paragraph 2 above.

The screenshot displays the 'Data Preparation Tool' interface. At the top, there is a purple header with the Inland Revenue Department logo and name, and the text 'The Government of the Hong Kong Special Administrative Region of the People's Republic of China'. To the right of the header, there are navigation icons and the text 'ENG | 繁體中文 | EXIT'. Below the header, the title 'Data Preparation Tool' is displayed in a blue box. The main content area is divided into two columns. The left column is titled 'Financial Institution' and shows the name 'ABC Bank (Hong Kong) Limited' and AEOI ID 'AB12345'. Below this, there are two sections: 'AEOI Return not yet filed' and 'AEOI Return filed already'. The 'AEOI Return not yet filed' section contains three options: 'Create New Data File', 'Open Temporary File for Further Updating', and 'Import Data File for Creation of New Data'. The 'AEOI Return filed already' section contains three options: 'Import Data File for Record Amendment / Deletion', 'Open Temporary File for Further Updating', and 'Create Data File for Addition / Amendment / Deletion of Records'. The 'Open Temporary File for Further Updating' option in the 'AEOI Return filed already' section is highlighted with a red rectangular box. At the bottom of the interface, there is a light blue banner with the text: 'You have to use a dedicated tool to sign and encrypt the XML files before uploading them to AEOI Portal. The Encryption Tool can be downloaded here.'

6. Create Data File for Addition / Amendment / Deletion of Records (AEOI Return filed already)

6.1 The user can create a new data file afresh for addition / amendment / deletion of data records.

6.2 Select “Create Data File for Addition / Amendment / Deletion of Records”.

The screenshot shows the 'Data Preparation Tool' interface. At the top, it displays the Inland Revenue Department logo and name, along with the text 'The Government of the Hong Kong Special Administrative Region of the People's Republic of China'. The title 'Data Preparation Tool' is on the right. Below this, the 'Financial Institution' section is visible, with fields for 'Name' (ABC Bank (Hong Kong) Limited) and 'AEOI ID' (AB12345). There are two columns of options: 'AEOI Return not yet filed' and 'AEOI Return filed already'. The 'AEOI Return filed already' column contains the option 'Create Data File for Addition / Amendment / Deletion of Records', which is highlighted with a red rectangular box. A footer note states: 'You have to use a dedicated tool to sign and encrypt the XML files before uploading them to AEOI Portal. The Encryption Tool can be downloaded here.'

6.3 Select “Add records” or “Amend / delete records”.

The screenshot shows a dialog box titled 'Create New Data File'. It has a close button (X) in the top right corner. There are two main options, each with a document icon and a plus sign:

- Add records**: For addition of records that have not been reported previously. This option is highlighted with a blue border.
- Amend / delete records**: For amendment to / deletion of records that have been reported previously.

Below the second option, there is a 'Remarks:' section with the following text:

If you have the data file with suffix "-final", please use "Import Data File for Record Amendment / Deletion" function.

Apart from the amended information, other unchanged account information should also be input.

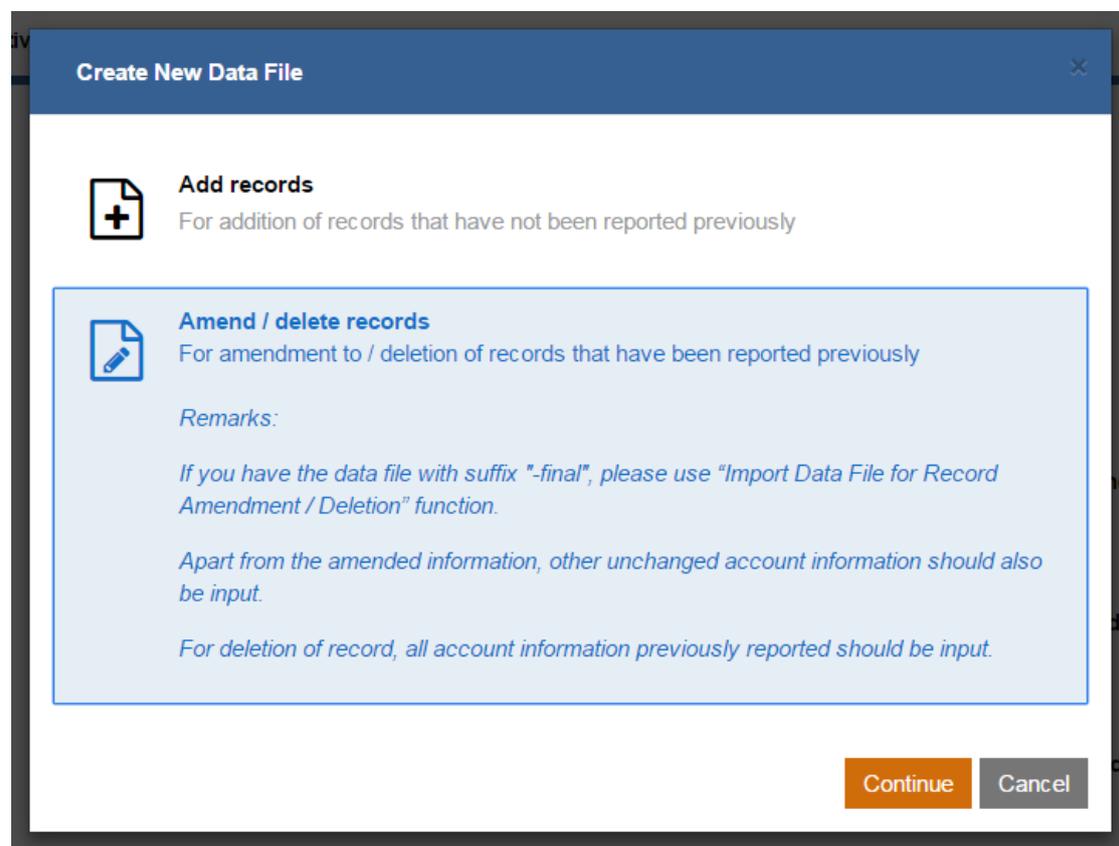
For deletion of record, all account information previously reported should be input.

At the bottom right, there are two buttons: 'Continue' (orange) and 'Cancel' (grey).

6.4 For addition of records that have been omitted, select “Add records”. Click “Continue” to proceed.

- (a) Follow the steps as mentioned in paragraph 1.2 to 1.12 above to create new records in the data file.
- (b) Follow the steps as mentioned in paragraph 1.13 above to save the data file.

6.5 For amendment or deletion of records that have been reported previously, select “Amend / delete records”. Click “Continue” to proceed.



- (a) The user can prepare the data file afresh.
- (b) Apart from the amended information, other unchanged account information should also be input.
- (c) For deletion of record, all account information previously reported should be input.
- (d) Follow the steps as mentioned in paragraph 1.13 above to save the data file.

7. Addition / Amendment / Deletion of Records in the Final Data File

7.1 In case that the final data file (encrypted or not) has been prepared by paragraph 1.13(c), it is subsequently realized that addition / amendment / deletion of records in the final data file is required. To effect the changes, the user can import the corresponding data file with file extension “...-editable.dat” into the Data Preparation Tool through “Open Temporary File for Further Updating” by taking the steps as mentioned in paragraphs 2.1 to 2.3 except that “...-editable.dat” file instead of “...-temp.dat” file should be used.

7.2 After the changes of the records have been made and the data file is ready for encryption, the user can take the steps as mentioned in paragraph 1.13(b)(i) to generate and save a zip file, which will contain a new set of four files as mentioned in that paragraph.

7.3 This function is also applicable to the final data file prepared for record amendment or deletion after submission of the AEOI Return. In this case, the user can import the corresponding data file with file extension “...-editable.dat” to the Data Preparation Tool through “Open Temporary File for Further Updating” by taking the steps as mentioned in paragraphs 5.1 to 5.2 and then make the addition / amendment / deletion of records, where appropriate.