Backup Withholding Tool

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Overview:
The Backup Withholding Tool is a single screen DNAcreator application developed to create, modify, and inactivate backup withholdings on a member's dividend earning accounts due to IRS notifications. It also allows a user to create new or modify existing notes for a specific person. This tool combines the Person Fields, Person Notes, and Withholding screens that spread across different modules or menus resulting in time savings and error reduction.

Key Benefits:
- Combines screens spread across different modules or menus
- Saves time and reduces errors

Processing:
The menu item of this application, named Backup Withholdings can be found under the Maintenance menu in the screen of Services/Relationships. After a user selects the menu item, the Backup Withholdings screen will be opened, in which two group boxes are displayed and the tool is ready for the user to search interested persons and perform backup withholdings of selected persons:

Search Person

This group box consists of a Search Criteria input area and Persons grid, which is the first step of the application to find the person whose backup withholdings need to be maintained.

1. *Search Criteria*

   To search for a person, a user may first search for the person by the person’s last name and/or first name or part of the last name and/or first name (wildcard). Because of the Core API inquiry limitation, the wildcard can be only used at the end of the search string. If more than one person with the same name is found, the user needs to select the person from the list based on other information displayed.

   The user can also search for a person using the member/customer number or Tax ID. Since only one person may be found in this case, the person’s Backup Withholdings information is displayed and the person is highlighted in the grid.

2. *Persons*

   All persons that satisfy the person search criteria are listed in the grid Persons, from which an interested person can be selected to retrieve the person’s backup withholdings.

Backup Withholdings

This group box consists of the User Fields frame, the Notes grid, and the Account Withholding grid. Please note that there is no interdependency among these three parts, but they are associated with a selected person and his/her accounts.

1. *User Fields*

   The App uses three person user fields for person level backup withholding information:

   - BackupWithholdingDate (e.g. BWHD)
     This person user field is used to record the date of backup withholding. It must be in date format.

   - BackupWithholdingReason (e.g. BWHR)
     This person user field is used to record the reason of backup withholding. It must be in string format.

   - BackupWithholdingEnforced (e.g. BWHE)
     This person user field is used to record the enforcement flag of backup withholding. It must in YN format.

   Users may choose existing person user fields or create their own. In either case, the person user fields must have unique codes and correct data types.

   A collection of allowable values (User Field Values) must be defined for the BackupWithholdingReason user field. For example:

User Field Values

User Field Code	User Field Value	Value Text
BWHR	IRS Notification	IRS Notification
BWHR	SSN Missing or Inc...	SSN Missing or Incorrect
BWHR	Member Request	Member Request
BWHR	None	None

   The two allowable values (User Field Values) must be defined for the BackupWithholdingEnforced user field. For example:

User Field Values

User Field Code	User Field Value	Value Text
BWHE	Y	Yes
BWHE	N	No

For the details about these variables, see the section Calculation Variables.

If there are no values set for these User Fields for the selected person initially, these three fields display empty. Otherwise, the fields will be populated.

With proper permissions, a user will be able to set or modify these user fields using the Save and Cancel buttons.

The user can always press *Cancel* button to discard the changes and restore fields' values to original values since last time that the *Save* button was pressed.

2. *Notes*

   All notes belong to the selected person are listed in the Notes grid

   All users can view the details of a note by double clicking on a note entry. If proper update permissions are granted, a user can create a new note or modify an existing note using the Create and Edit buttons.

3. *Account Withholding*

   This grid contains all existing (active and inactive) withholdings for the selected person. A user can create a new withholding using the Create button or edit an existing withholding using the Edit button.

Authorization:
To grant a user access to this App, the system admin can either add the "BckpWthhld Tool App Auth" AuthCd (AuthCd = R0SA) to the user or add the "BckpWthhld Tool App AuthItem" (AuthItemCd = R0SB) and "BckpWthhld Tool Upd AuthItem" AuthItemCd (AuthItemCd = R0SC) to an Auth group, such as the Financial Service Representatives (FSR), to which the user has access privileges. In either case, the system admin also needs to add the CoreAPIs (7714, 7707, 7722, 7783, and 7828) AuthItems to an AuthCd (FSR, R0SA) to give a user update and retrieval permissions.

The following table lists the AuthCd and AuthItems that are used in the App:

Name	Code	Type	Description (how used)
BckpWthhld Tool App Auth	R0SA	AuthCd	Authorization code for App form access
BckpWthhld Tool App AuthItem	R0SB	AuthItemCd	Authorization item code for form item access permission.
BckpWthhld Tool Upd AuthItem	R0SC	AuthItemCd	Authorization code for App update (through CoreAPIs)
CAPR 7707	7707	AuthItemCd	Authorization item for person user field maintenance request.
CAPR 7714	7714	AuthItemCd	Authorization item for retrieve persons from database

Name	Code	Type	Description (how used)
CAPR 7722	7722	AuthItemCd	Authorization item for note maintenance request.
CAPR 7828	7828	AuthItemCd	Authorization item for withholding maintenance request.
CAPR 7783	7783	AuthItemCd	Authorization item for activity maintenance request.

Parameters:
N/A.

Variables:
In order for this App to be customized for different financial institutions, a set of Configuration Variables has been created with default values populated into the DNA database. A financial institution can assign different values according to its system settings.

Calculation Categories:

A calculation category is required to associate the variables to the application. The following calculation category is used for that purpose.

Category Code	Category Description
9RFC	Custom Category

Calculation Types:

A calculation type is required to associate the variables to the application. The following calculation type is used for that purpose.

Type Code	Type Description	MjMiYN
9R0S	Backup Withholdings	N

Calculation Variables:

The following calculation variables are required for the application. They are populated within the '9R0S' calculation type.

Variable	Code	Description (how used)	Data Type	Default
BackupWithholdingDate	9R9J	*Backup withholding date*, which indicates when the backup withholding will take effective. It is a User Field that is defined with UserFieldCd (e.g. BWHD) and its value that can be set with this application.	STR	BWHD

Variable	Code	Description (how used)	Data Type	Default
BackupWithholdingEnforced	9R9K	*Backup withholding is enforced?* which indicates whether the backup withholding needs to be enforced. It is a User Field that is defined with UserFieldCd (e.g. BWHE) and its value that can be set with this application.	STR	BWHE
BackupWithholdingReason	9R9L	*Backup withholding reason*, which is a User Field that is defined with UserFieldCd (e.g. BWHR) and its value that can be set with this application.	STR	BWHR
ExclAcctStatCds	9R9M	Excluded account status codes from account returns	STR	CLS,CO
InclAcctMjMiCds_1	9R9N	Included account major/minor pairs, list 1.	STR	SAV:PSAV,SAV:YNIS,SAV:CMAS,SAV:MMKT,CK:CHK,CK:MPWR
InclAcctMjMiCds_2	9R9O	Included account major/minor pairs, list 2.	STR	TD:6MCO,TD:6MNC,TD:12CO,TD:12NC,TD:18CO,TD:18NC,TD:24CO,TD:24NC,TD:36CO,TD:36NC,TD:48CO,TD:48NC,TD:60CO,TD:60NC,TD:6JCO,TD:6JNC,TD:12JC
InclAcctMjMiCds_3	9R9P	Included account major/minor pairs, list 3.	STR	TD:12JN,TD:18JC,TD:18JN,TD:24JC,TD:24JN,TD:36JC,TD:36JN,TD:48JC,TD:48JN,TD:60JC,TD:60JN,TD:12MP,TD:55WK,TD:36MV,TD:13MM,TD:29MO,TD:3MCC
InclAcctMjMiCds_4	9R9Q	Included account major/minor pairs, list 4.	STR	
InclAcctMjMiCds_5	9R9R	Included account major/minor pairs, list 5.	STR	
InclAcctMjMiCds_6	9R9S	Included account major/minor pairs, list 6.	STR	
InclAcctMjMiCds_7	9R9T	Included account major/minor pairs, list 7.	STR	
InclAcctMjMiCds_8	9R9U	Included account major/minor pairs, list 8.	STR	

Scheduling and re-run information (for batch applications):

N/A

Notices:
N/A

Report (s):
N/A

File Layout(s):
N/A

Screens:
See “Screen Appearance” section.

Navigation:

Services > Relationships > Maintenance > Backup Withholdings.

Screen Appearance:

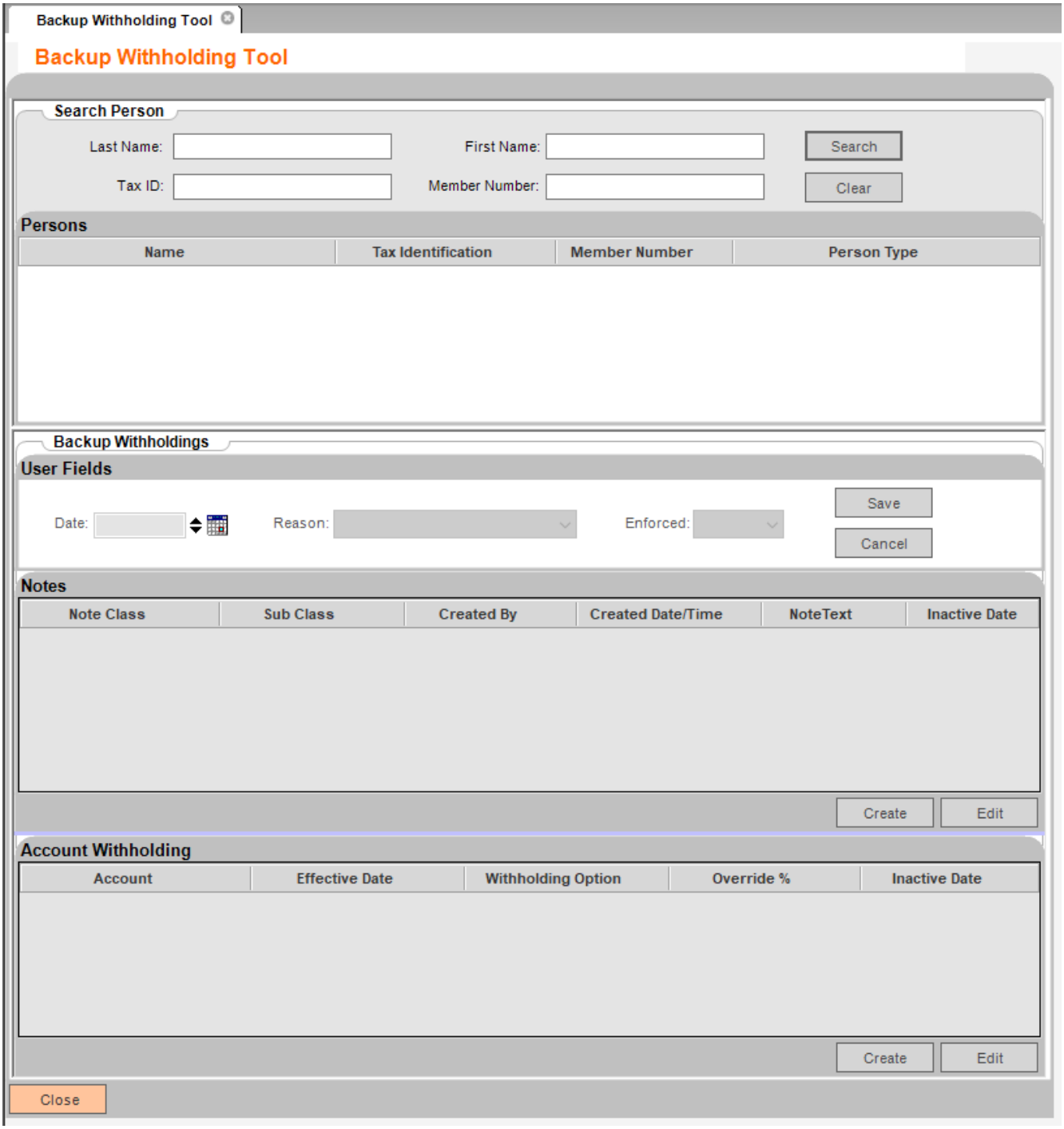

Figure 1: Application Initial Screen

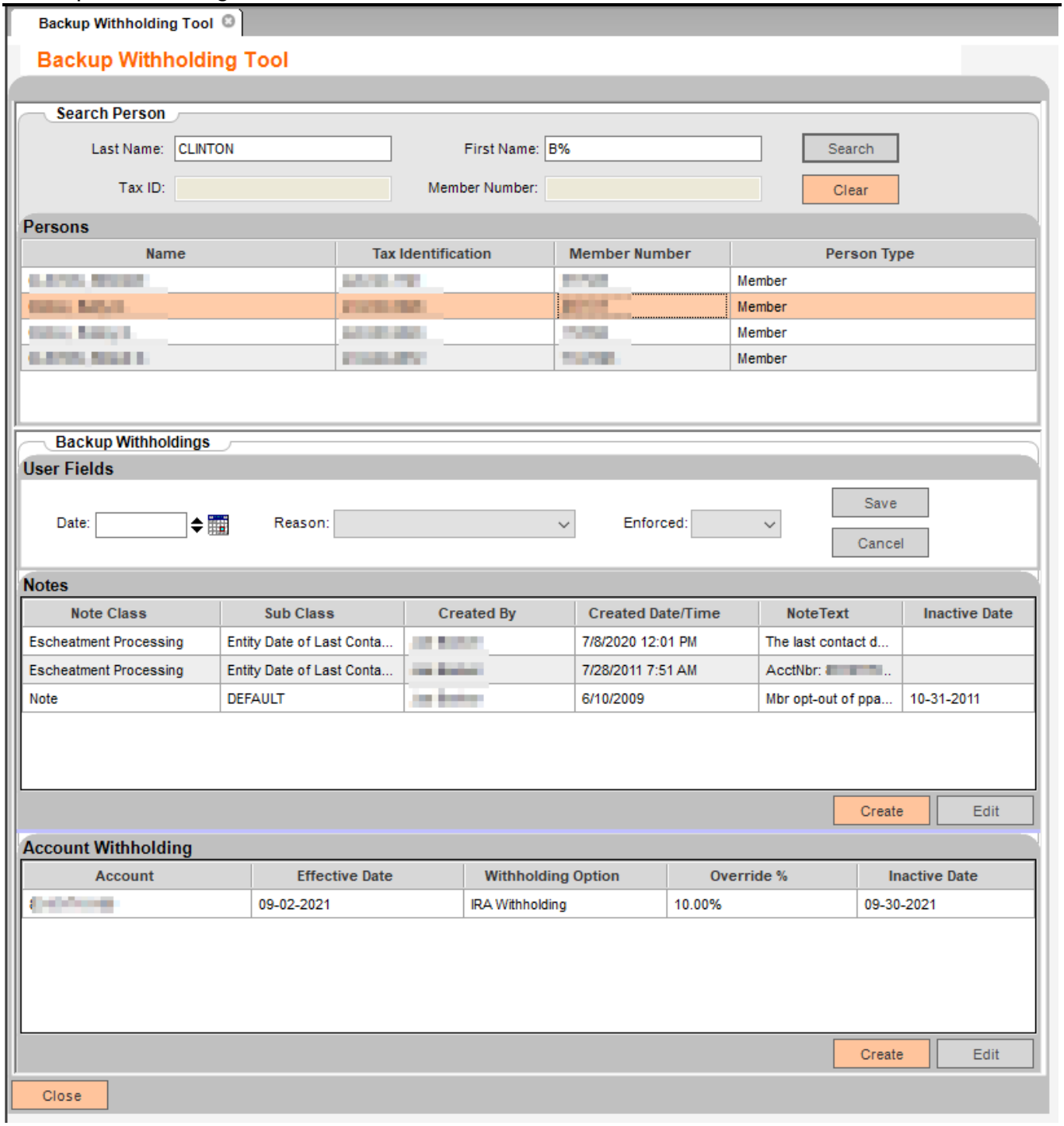

Figure 2: Search person with names and selected a person from returned list to display withholding information for selected person.

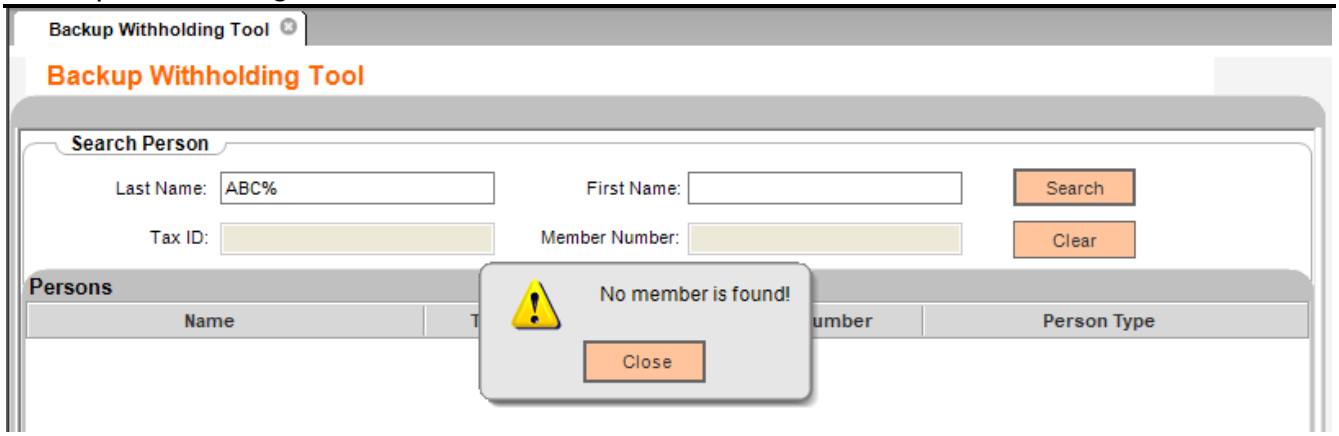

Figure 3: No *member* found for a financial institution base on search criteria.

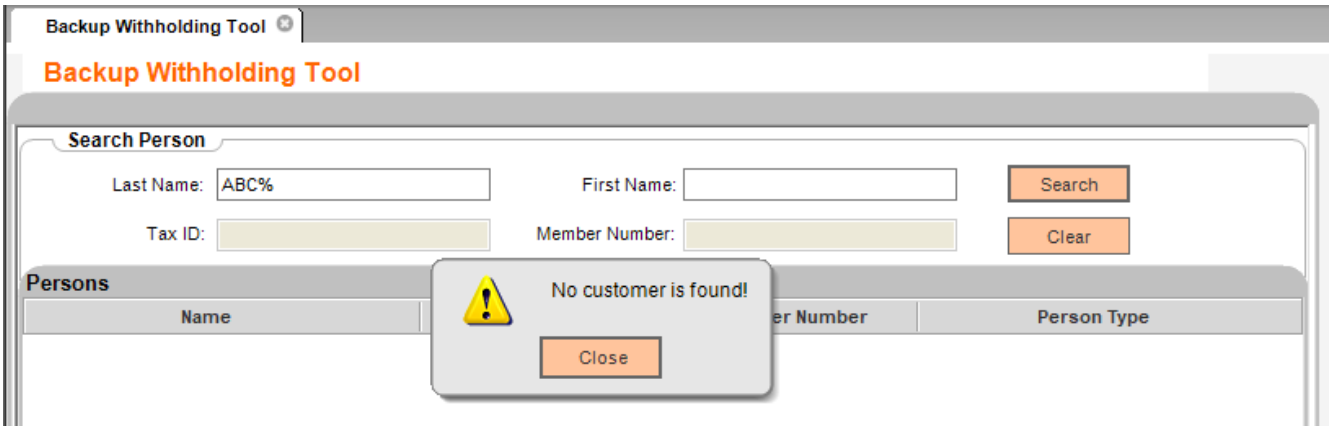

Figure 4: No *customer* found for a financial institution base on search criteria.

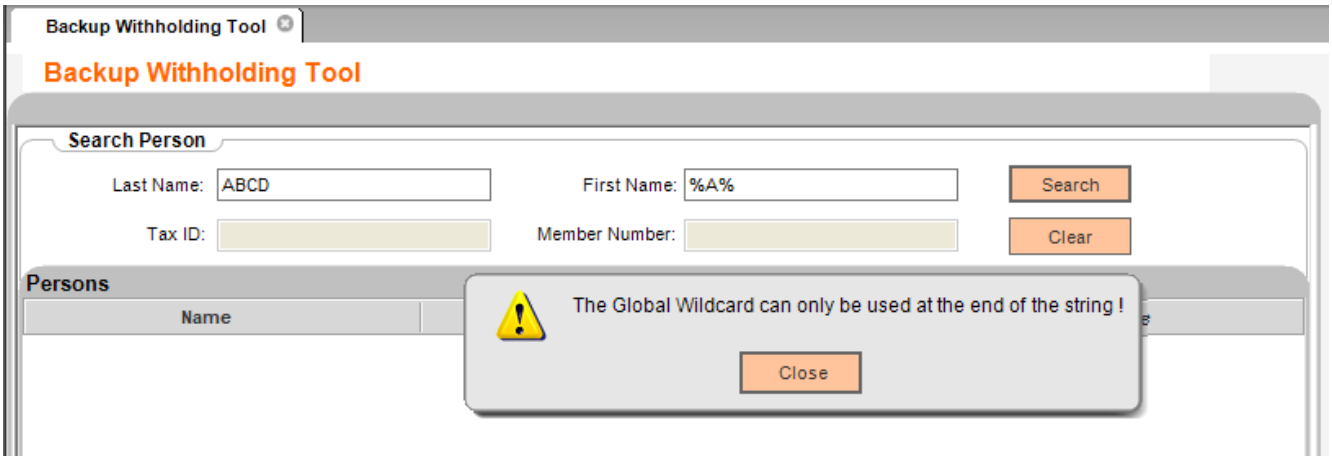

Figure 5: The Global Wildcard can only be used at the end of the search string.

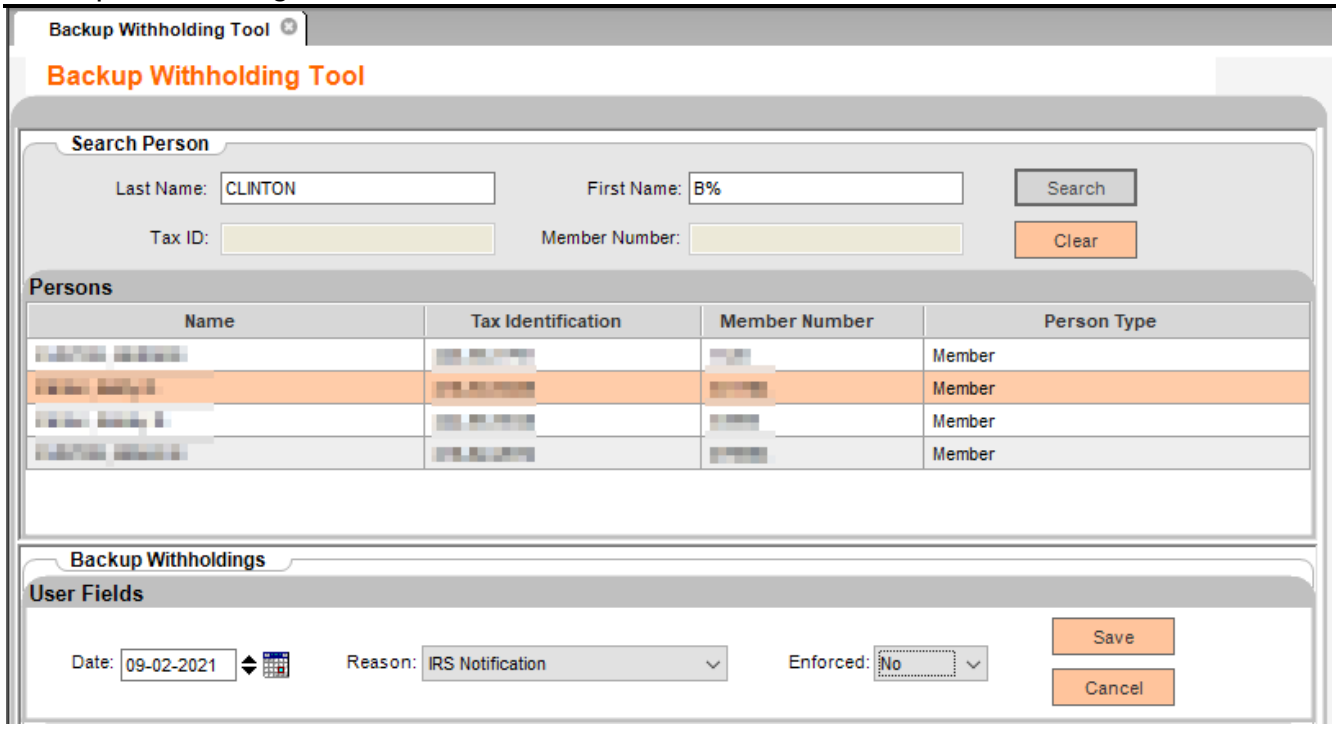

Figure 6: User Fields for Backup Withholdings.

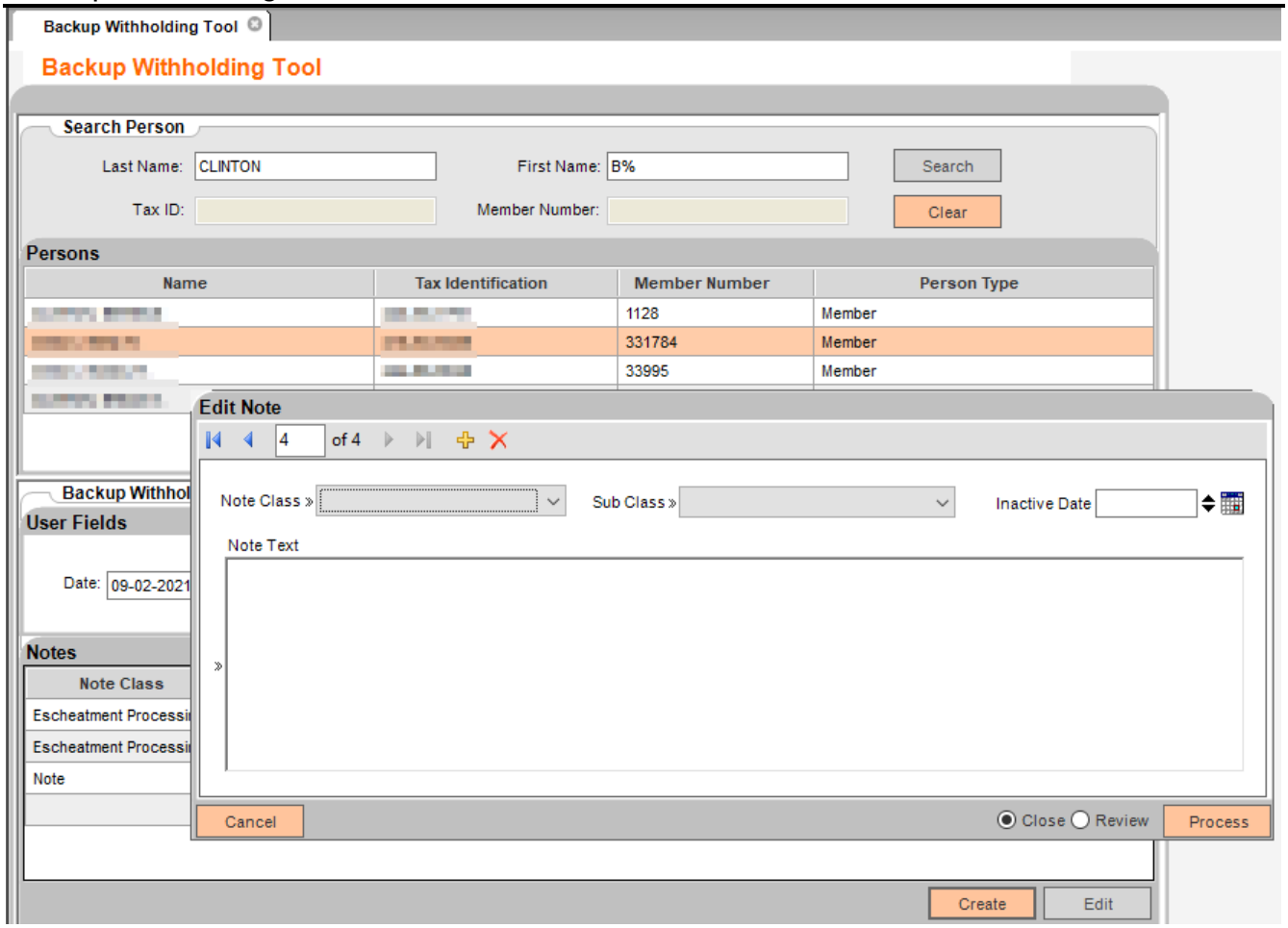

Figure 7: Notes – Press Create button to pop up *Edit Note* for creating a new note.

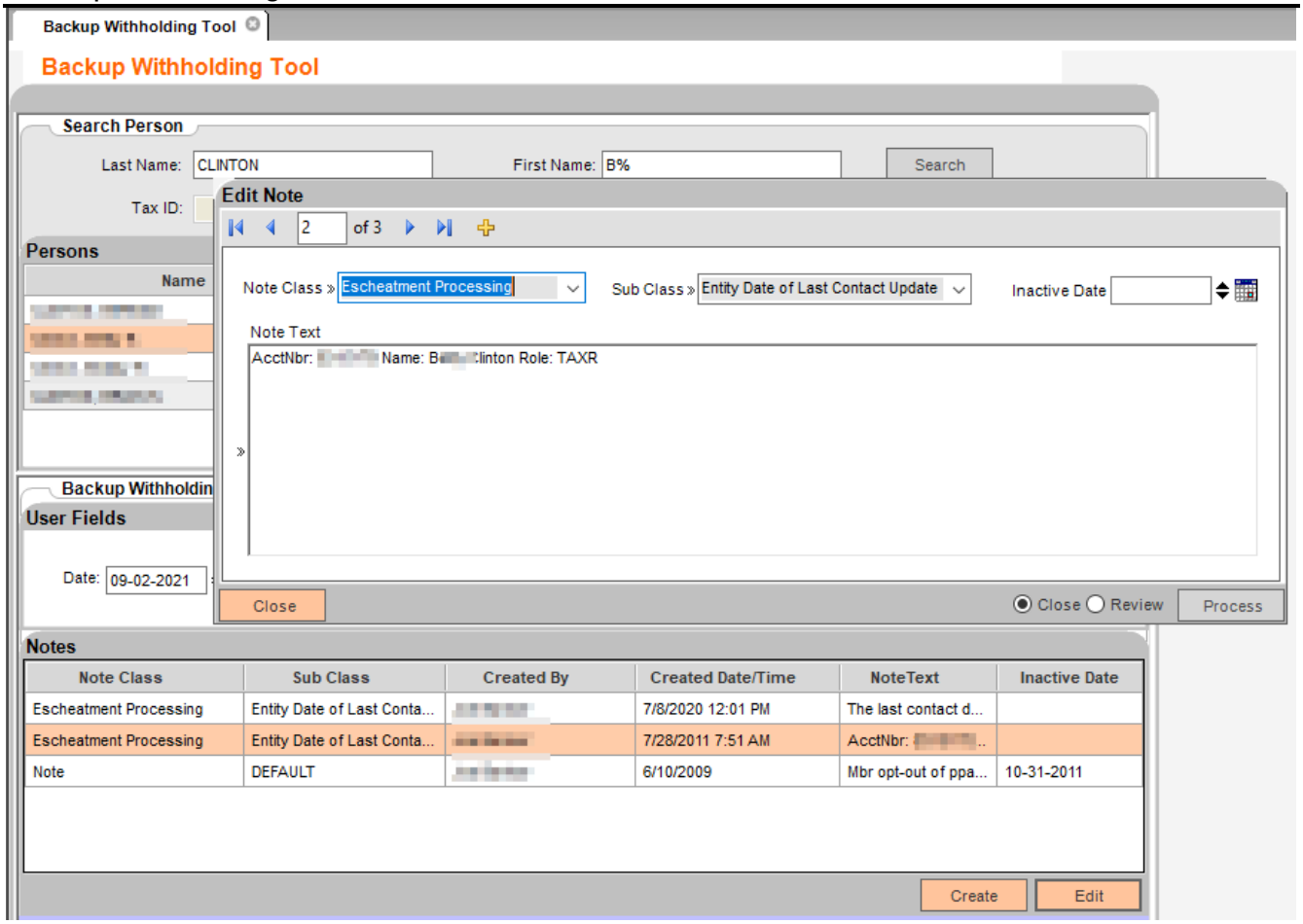

Figure 8: Select a note from the *Notes* grid and then press Edit button to popup the *Edit Note*.

Figure 9: The *Edit Note* form.

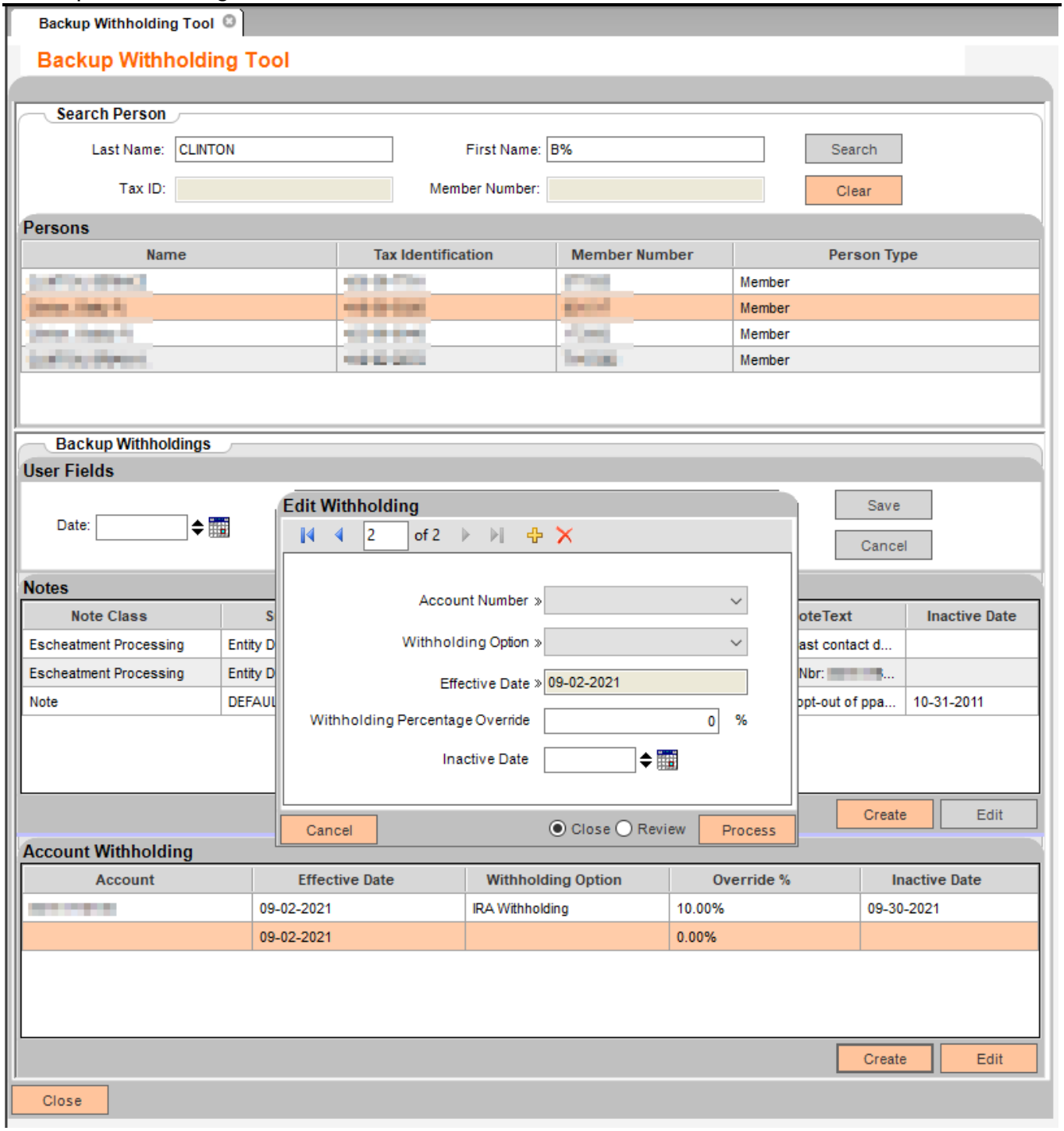

Figure 10: Account Withholding – Press Create button to pop up *Edit Withholding* for adding a new note.

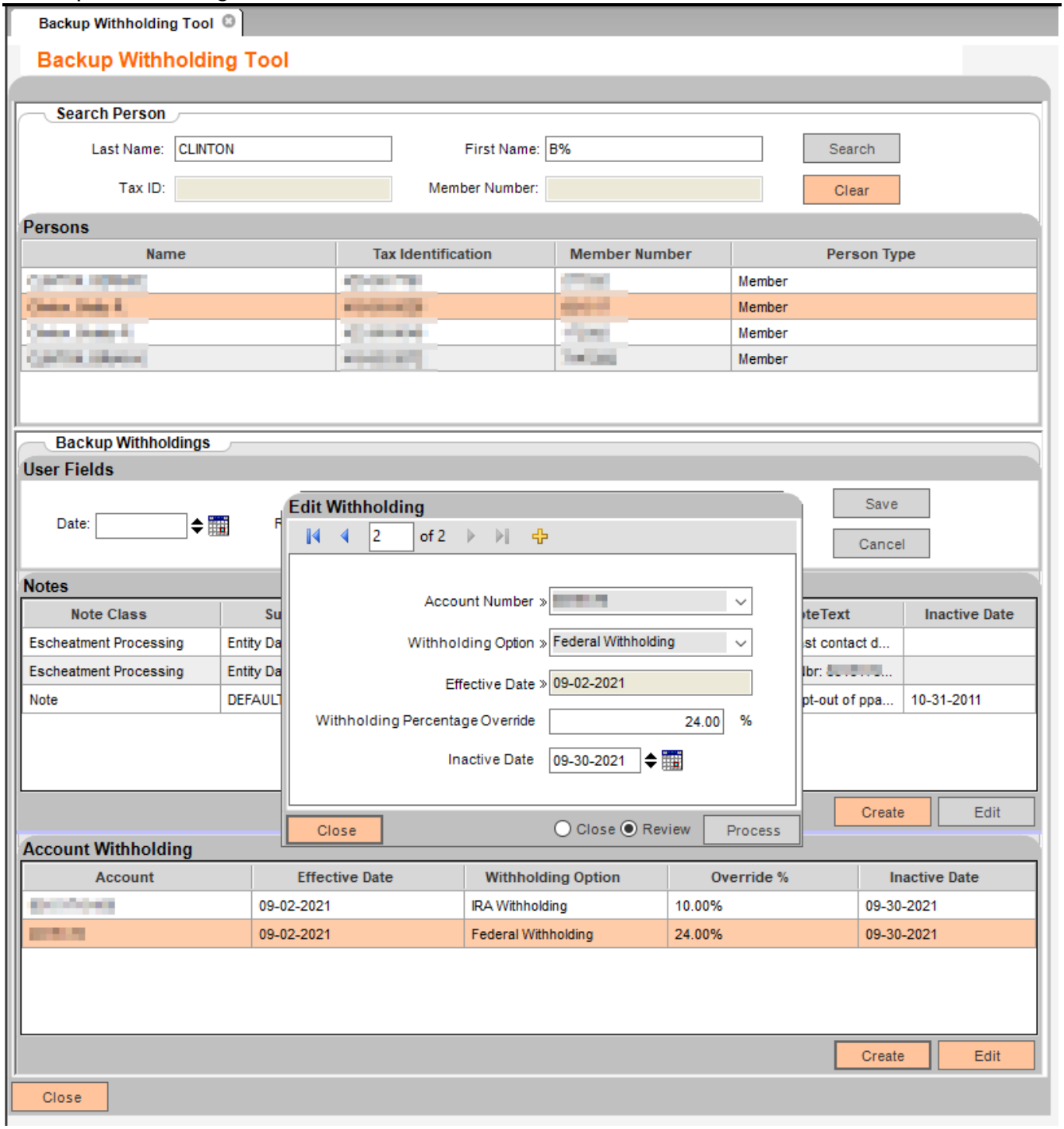

Figure 11: Select a withholding from the grid of the Account Withholding and then press Edit button to pop up *Edit Withholding*.

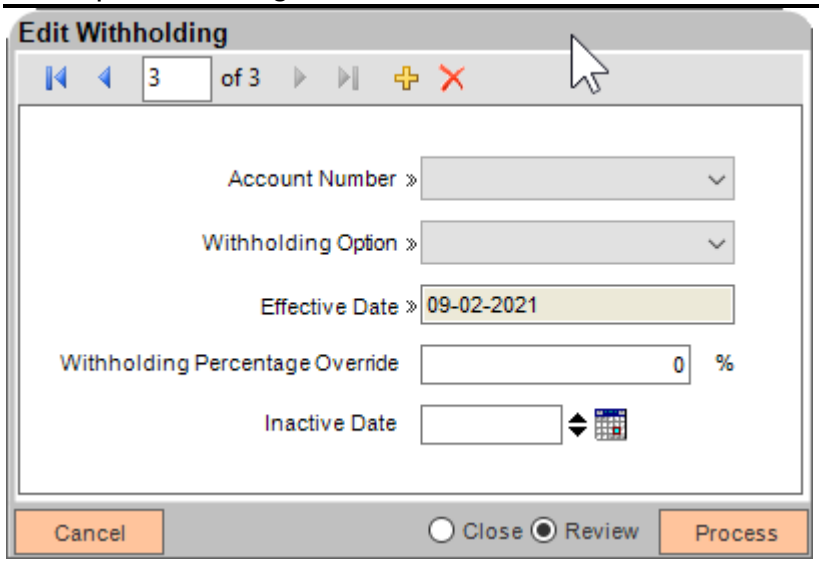

Figure 12: *Edit Withholding* Form.

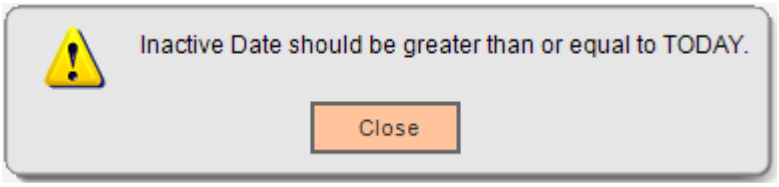

Figure 13: Warning message indicating that Inactive date cannot be older than TODAY for both *Edit Note* and *Edit Withholding* Forms.

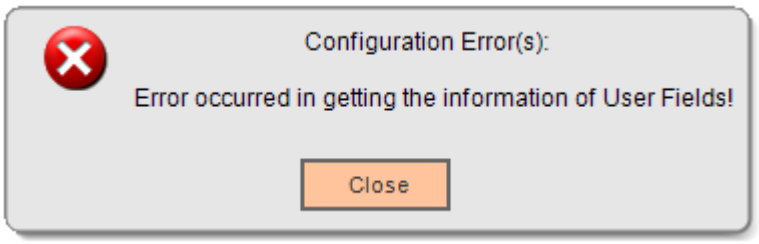

Figure 144: Error message indicating that error occurred in getting the information of the User Fields.

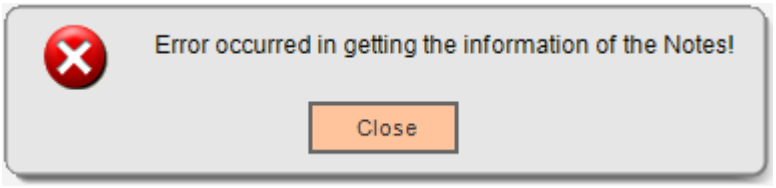

Figure 15: Error message indicating that error occurred in getting the information of the Notes.

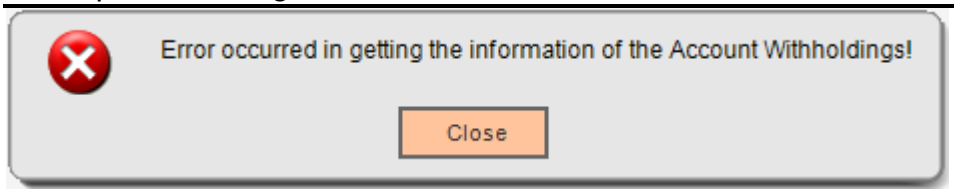

Figure 16: Error message indicating that error occurred in getting the information of the Account Withholdings.

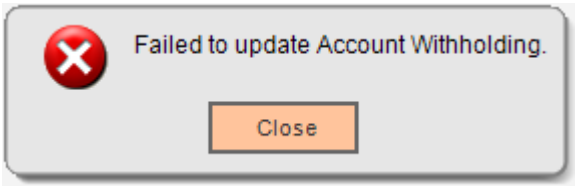

Figure 17: Error message indicating that error occurred in updating Account Withholding.
There is also an error message: “Failed to update Notes.” if there is an error occurred in updating Notes.
There is also an error message: “Failed to update User Fields.” if there is an error occurred in updating User Fields.

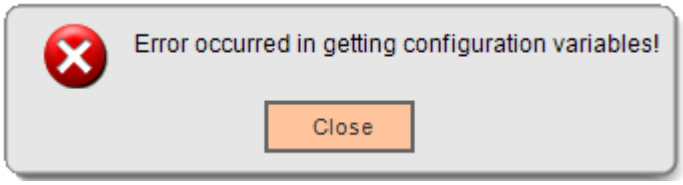

Figure 18: Error message indicating the failure of loading configuration variables.

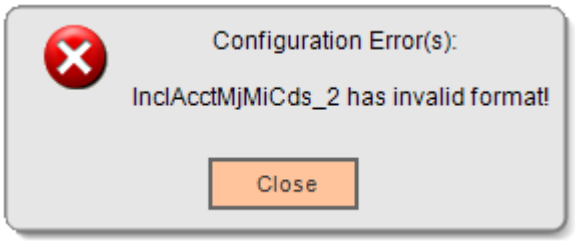

Figure 19: Error message indicating that the value of the variable InclAcctMjMiCds_2 contains invalid format. If any other variables have invalid format values, same error message will pop up with corresponding variable name.

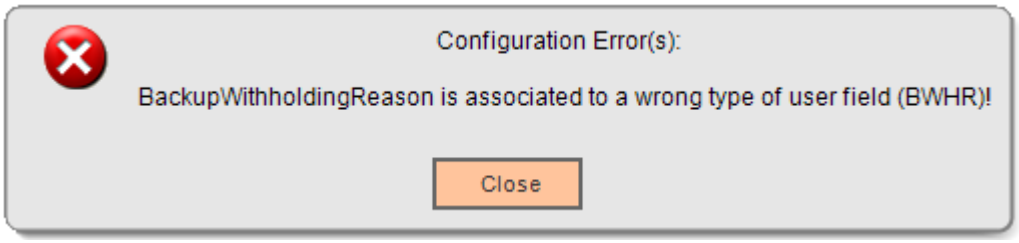

Figure 20: Error message indicating that the variable BackupWithholdingDate is associated to a wrong type of user field, BWHD, in this case. Same situation may happen to variables BackupWithholdingEnforced and BackupWithholdingReason.

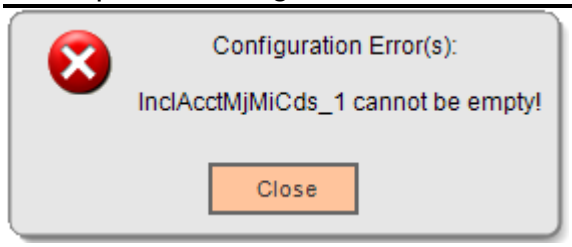

Figure 21: Error message indicating that a configuration variable value cannot be empty if it is required.

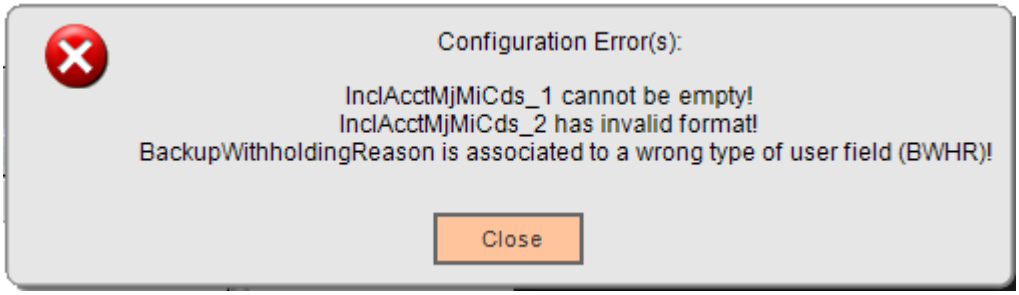

Figure 22: This error message illustrates several errors occurred to different configuration variables.

Figure 23: This error message indicates that tax id must consist of 9 digits.

Field Listing:

1. Backup Withholding Tool

Field	Description
Search Persons	
Last Name	Person's last name search string. If a % is included at the end of the string, a wildcard search is applied.
First Name	Person's first name search string. If a % is included the end of the string, a wildcard search is applied.
Tax ID	Person's Tax ID search string. No wildcard search is allowed.
Member/Customer Number	Member/customer number search string. No wildcard search is allowed.
Search	Command button that performs search according to criteria specified by text boxes.
Clear	Command button that clears up all text boxes and girds if they are populated.
Persons	
Name	Person name, which is formatted as Last name, First name Middle Initial (ex. Doe, John B).
Tax Identification	Person's tax id, such as SSN. If it is a person's SSN, it is formatted as xxx-xx-xxxx (ex. 123-45-6789).
Member Number	Member number or customer number depending on the type of a financial institution.
Person Type	Person type such as Member or Customer type.
User Fields	
Date	Backup withholding date.
Reason	Backup withholding reason.
Enforced	Backup withholding is enforced?
Save button	Save all changes to the database.
Cancel Button	Revert all changes made to the fields to original values since last time that the Save button was clicked.
Notes	
Note Class	Note class.
Note Sub Class	Note sub class.
Created By	The name of the user that created this note.
Create Date/Time	When this note was created.
Note Text	Note text.
Inactive Date	Inactive date.
Notes Command buttons	
Create	It is used to pop up the Note Editor for editing new note.
Edit	It is used to pop up the Note Editor for editing notes.
Account Withholding	
Account	Account number.
Effective Date	Effective date for the withholding.
Withholding Option	Withholding option.
Override %	Withholding percentage override.
Inactive Date	Inactive date for the withholding.
Account Withholding Command Buttons	

Field	Description
Create	It is used to pop up the Withholding Editor for editing a new withholding.
Edit	It is used to pop up the Withholding Editor for editing withholdings.
Frame Buttons	
Close	Close the screen without persisting.

2. **Edit Note**

Field	Description
Tool Strip	
Navigator	Navigate to any note for editing.
Create Button, displayed with symbol “+”	Create a new note.
Remove Button, displayed with symbol “X”	Remove a newly created note before being committed. It is not applied to exiting notes.
Note Fields	
Note Class	Set note class from the dropdown list in creation mode.
Sub Class	Set note sub class from the dropdown list in creation mode.
Inactive Date	Inactive date for the note.
Note Text	Note text.
Frame Buttons	
Close/Cancel Button	Close the screen without persisting changes.
Process Button	Persist all change made to the fields.
Close Radio Option	If selected, when the Process button is clicked, the Note Editor screen will be closed.
Review Radio Option	If selected, when the Process button is clicked, the Note Editor will remain in editing state.

3. **Edit Withholding**

Field	Description
Tool Strip	
Navigator	Navigate to any withholding for editing.
Create Button, displayed with symbol “+”	Create a new withholding.
Remove Button, displayed with symbol “X”	Remove a newly created withholding before being committed. It is not applied to exiting withholdings.
Withholding Fields	
Account Number	Account number, read-only in edit mode; select account number from dropdown list in creation mode.
Withholding Option	Withholding option, read-only in edit mode; select an option from the dropdown list in creation mode.
Effective Date	Effective date for the withholding.
Withholding Percentage Override	Withholding percentage override.
Inactive Date	Inactive date for the withholding.
Frame Buttons	

Field	Description
Close/Cancel Button	Close the screen without persisting changes.
Process Button	Persist all change made to the fields.
Close Radio Option	If selected, when the Process button is clicked, the Withholding Editor screen will be closed.
Review Radio Option	If selected, when the Process button is clicked, the Withholding Editor will remain in editing state.

Additional Requirements:

- Fiserv DNA 4.2.2 or higher
- Fiserv CoreApiService 2.8.0 or higher
- .NET Framework 4.5.2

Configuration Checklist:

Item	Test Environment	Production Environment
Variables		
Authorizations		

Revisions:

Date	App Version #	Change
09/2021	2.1.0.0	Replaced CoreBindingNavigator with WinForm BindingNavigator to fix the issue introduced by DNA 4.7.1.
11/2017	2.0.0.1	Compiled in DNA SDK 4.2.2 and .Net Framework 4.5.2. Removed CoreApiAcctWthhldMaint.dnax from the package since Fiserv already included it as part of DNA.
08/2013	1.0.4.0	Application Created