



**Federal Deposit Insurance Corporation**  
550 17th Street NW, Washington, DC 20429-9990

## Financial Institution Letter

FIL-25-2007

March 6, 2007

# Transfer Agent Forms

## *Electronic Filing of Transfer Agent Forms by FDIC-Supervised Registered Transfer Agents*

**Summary:** The Securities and Exchange Commission (SEC) has amended the rules and forms requirements of Section 17A of the Securities Exchange Act of 1934, requiring that effective January 11, 2007, all registered transfer agents file the annual TA-2 report electronically. The SEC has developed a new application called EDGARLite (Electronic Data Gathering, Analysis, and Retrieval) that filers can use to prepare an electronic version of transfer agent forms. Filers will not be required to use EDGARLite, but may use any EDGAR Filer Manual-approved method. The SEC's attached final rule may be accessed at <http://edocket.access.gpo.gov/2006/pdf/06-9600.pdf>

**Distribution:**

FDIC-Supervised Banks (Commercial and Savings)

**Suggested Routing:**

Chief Executive Officer  
Chief Trust Officer  
Compliance Officer

**Related Topics:****Attachment:**

[Final Rule - PDF](#)

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**Note:**

FDIC financial institution letters (FILs) may be accessed from the FDIC's Web site at [www.fdic.gov/news/news/financial/2007/index.html](http://www.fdic.gov/news/news/financial/2007/index.html).

To receive FILs electronically, please visit <http://www.fdic.gov/about/subscriptions/fil.html>.

Paper copies of FDIC financial institution letters may be obtained from the FDIC's Public Information Center, 3501 Fairfax Drive, E-1002, Arlington, VA 22226 (1-877-275-3342 or 703-562-2200).

**Highlights:**

- All registered transfer agents, including FDIC-supervised transfer agents, must file the annual reporting form TA-2 electronically. Form TA-2 must be filed with the SEC by March 31st of each calendar year. Filers will have to apply to the SEC to obtain access to EDGAR prior to filing electronically. Information on filing electronically on EDGARLite can be found in the SEC's Draft EDGAR Filer Manual for Release 9.5 or by contacting Catherine Moore, Special Counsel, SEC Division of Market Regulation, at (202) 551-5710.
- All FDIC-registered transfer agents will continue to file - in hard copy - the Registration and Amendment Form TA-1 and the Notice of Withdrawal from Registration Form TA-W with the FDIC. Forms TA-1 and TA-W should be sent to: Federal Deposit Insurance Corporation, Policy and Program Development Section - Attention: Registered Transfer Agents, 550 17th Street NW, Washington, DC 20429.
- Filers may use EDGARLite to file transfer agent forms with the SEC. EDGARLite uses form templates created by MS InfoPath software. Therefore, filers wishing to use EDGARLite will have to purchase MS InfoPath software if they do not already own it. Filers who do not wish to use EDGARLite can file electronically by submitting an ASCII document that is formatted as set forth in the EDGAR Filer Manual. Filers may also use a third party to prepare and file forms electronically.
- Filers who find electronic filing unduly burdensome can apply to the SEC for a hardship exemption. The SEC will consider such requests on a case-by-case basis and determine whether to grant or deny requests for exemption from electronic filing requirements.