STATE OF CALIFORNIA
Franchise Tax Board

FTB File Exchange System – 1094 1095 Technical Specifications – Part 2

2021

Guide for electronic Minimum Essential Coverage Information Reporting for Software Developers and Transmitters.

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Please refer to Section 1 of the FTB File Exchange System – 1094 1095 Technical Specifications – Part 1 for a complete listing of the changes for this year.

9 Acknowledgement Files

When the FX API receives an acknowledgement request, the status of the transmission is retrieved (Processing, Accepted, Accepted with Errors, Accepted with Message, or Rejected) and populated into an acknowledgement file. Depending on the status of the transmission, any errors found with the transmission are included in the acknowledgement file. While the acknowledgement files may be available sooner, transmitters should wait at least 10 minutes after the Receipt ID is provided to request the acknowledgement for a transmission and should wait at least a minute between requests. Excessive, high frequency calls may impact overall system performance, so transmitters should refrain from this or FTB may be required to take action. The acknowledgement file includes an uncompressed native XML Data File that contains the status of the transmission and any errors found during validation. If there are no errors found during validation, the transmission processing status is "Accepted" and no errors are included.

9.1 Transmissions Statuses

Transmission statuses are determined based on the outcome of synchronous and asynchronous validations performed on the transmission. When any of the synchronous validations fails, the status of the Transmission is "Rejected" and an FXE error code is provided. When all synchronous validations pass, the transmission status is determined by the status of each submission and the presence of any errors for records within the submission. Transmission statuses, definitions, and the presence of errors in the acknowledgement file are described in Table 1, below.

Table 1: Transmission Statuses and Acknowledgement File Errors

Status	Definition	Acknowledgement File Errors/Message
Accepted	The transmission has been successfully processed, all submissions within the transmission are	No

Status	Definition	Acknowledgement File Errors/Message
	accepted, and there are no errors for any records in any of the accepted submissions.	
Accepted with Errors	The transmission has been successfully processed but errors were found during asynchronous validations. The errors could be a rejected submission and/or rejected records within a submission. All rejected submissions and records must be resubmitted in a new transmission with the indicated errors resolved.	Yes – Acknowledgement will contain error information
Accepted with Message	This status will very rarely, if ever, be used. The transmission has been successfully processed without errors. However, FTB may have encountered a system event and needs to convey a message to the transmitter regarding their transmission via the acknowledgement file. Please refer to the message within the acknowledgement file for further details.	Yes – Acknowledgement file will contain a message, not error information
Processing	The transmission has been received but has not been processed by the FX Hub. Wait 10 minutes before attempting to retrieve the acknowledgement file again. During high volume times, transmissions may take slightly longer than 10 minutes to process. If your transmission remains in a "Processing" status for longer than 24 hours, please contact the Help Desk.	No
Rejected	The transmission failed validations, either synchronously or asynchronously: • If the transmission failed during synchronous validations, an error code beginning with "FXE" is provided along with the status. A Receipt ID will not be generated because the transmission was not able to be received by the system. A new transmission must be submitted with a new UTID. • If the transmission failed during asynchronous validations, this means that	Yes – only when rejected asynchronously

Status	Definition	Acknowledgement File Errors/Message
	either schema validations failed, or all submissions within the transmission were rejected based on business rule validations. The transmission must be resubmitted in a new transmission correcting all identified errors.	

More information about resubmissions and corrections can be found in Section 10.

9.2 Acknowledgement File Schema

The acknowledgement file schema can be found within the FX schema. In this section, we describe the schema and provide a sample instance of an error file, but do not describe the folder layout as we did in Section 5 of FTB File Exchange System – 1094 1095 Technical Specifications – Part 1.

Note: For transmitters who reported in 2021 (for Tax Year 2020), the acknowledgement schema has moved from the Information Returns schema to the FX schema.

9.2.1 Schema

Figure 1, below, is a visualization of key elements defined in TransmissionAcknowledgement.xsd.

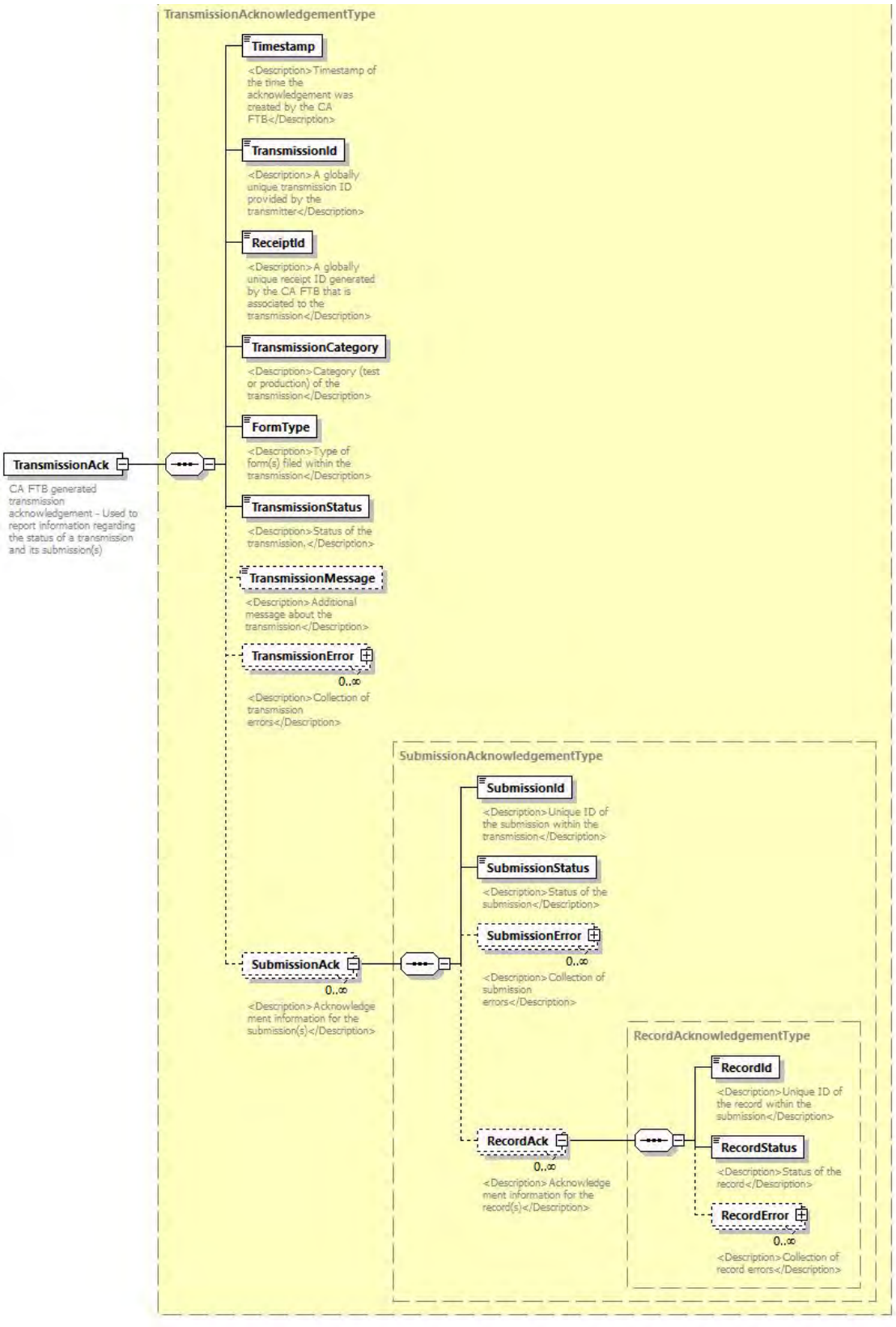

Figure 1: Acknowledgement Schema

9.2.2 Sample Instance

Sample instances that conform to TransmissionAcknowledgement.xsd can be found in the SampleInstances folder within the FileExchange-fx_2021_YYYYMMDD.zipfile included in the Technical Specifications Package. Figure 2, below, also depicts the sample instance.

```
<?xml version="1.0" encoding="UTF-8"?>
<fx:TransmissionAck xmlns:fx="https://api.ftb.ca.gov/fx_2021" xmlns:xsi="
http://www.w3.org/2001/XMLSchema-instance" xsi:schemaLocation="https://api.ftb.ca.gov/fx_2021
TransmissionAcknowledgement.xsd">
    <fx:Timestamp>2021-05-13T09:30:47Z</fx:Timestamp>
    <fx:TransmissionId>2f8779cf-f72a-42dd-b57c-35b64229217c:0001:B72AB</fx:TransmissionId>
    <fx:ReceiptId>2bb4e4a8-04c2-4e02-807b-fc3f8e0ddd3a</fx:ReceiptId>
    <fx:TransmissionCategory>T</fx:TransmissionCategory>
    <fx:FormType>IRS1094/1095B</fx:FormType>
    <fx:TransmissionStatus>Accepted</fx:TransmissionStatus>
</fx:TransmissionAck>
```

Figure 2: Acknowledgement Sample Instance

9.3 Retrieving Acknowledgements

Transmitters can retrieve acknowledgement files using both the UI channel and the A2A channel. System errors may occur when retrieving the acknowledgement. If this is the case, the FX API will return an HTTP 400, HTTP 403, HTTP 404, HTTP 500, or HTTP 503 response, as outlined in the Open API Specifications.

Note: Please retrieve and review your acknowledgement file prior to contacting the Help Desk for support.

9.3.1 Retrieving Acknowledgements via the UI Channel

Transmitters can view status information for all transmissions submitted, regardless of transmission method, using their e-Services Account. Once logged into the FX Portal, transmitters can access the Transmission History page. Here, the transmitter selects to view the acknowledgement and is directed to an acknowledgement page. The page displays the status of the transmission and provides the ability to download the error file, if one is available. Transmissions with validation errors found during synchronous validations will not be included in the transmission history, as they were not successfully received by the system.

Alternatively, a transmitter may select to retrieve the acknowledgement and provide the Receipt ID from the transmission. Once the required information is entered, the user submits the request. When retrieving acknowledgements via the UI Channel, no XML files are required to be uploaded. The FX API retrieves the transmission status and the acknowledgement file, when available, and displays the acknowledgement page.

If an error occurs during the acknowledgement request, an acknowledgement failure page displays with the appropriate error information.

9.3.2 Retrieving Acknowledgements via the A2A Channel

The Receipt ID is required for a Transmitter to retrieve the acknowledgement for the respective transmission. Required information pertaining to the transmitter and the transmission must be included in the acknowledgement request.

As shown in Figure 3, transmitters request an acknowledgement from the API as an HTTP GET. The request lacks a payload, and substitutes the Accept header—which must have the value `application/xml`—for `Content-Type`. It must be signed as described in Section 5.2.2.2 of FTB File Exchange System – 1094 1095 Technical Specifications – Part 1 with the following modifications:

- `accept` is substituted for `content-type` in the `SignedHeaders` element; `x-ftbapi-trnsid` is omitted
- Due to its absence, an empty string is used for the SHA-256 hash of the payload in the canonical request, per Amazon's AWS documentation.

This image depicts a sample header that would be included in a processing status request. The full sample can be found in the Open API Specifications within the technical specifications package.

HEADERS

```
GET /api.ftb.ca.gov/fx/v1/transmissions/status/[RECEIPTID]
Host: api.ftb.ca.gov
Accept: application/xml
X-FtbApi-TrTs: 2020-01-15T00:05:32.000Z
app_id: [Application ID]
app_key:[Application Key]
Authorization: AWS4-HMAC-SHA256 Credential=[CA-TCC]/[ISO 8601 date]/ftb/fx/aws4_request,
  SignedHeaders=accept;host;x-ftbapi-trts, Signature=[SHA-256 HMAC]
...
```

Figure 3: Requesting Processing Status

The API authenticates and authorizes all acknowledgement requests. For each request, it ensures that:

1. Credentials (e.g. `app_id`, `app_key`, and `Authorization`) are present
2. Credentials are valid and can be authenticated (described in Section 5.2.2 of FTB File Exchange System – 1094 1095 Technical Specifications – Part 1)
3. The request is authorized (described in Section 5.2.3 of FTB File Exchange System – 1094 1095 Technical Specifications – Part 1 with the modifications described above)

If the provided credentials are invalid or not entitled to view a resource, an HTTP 403 response will be returned with an empty body, as outlined in the Open API Specifications.

If the Receipt ID identifies a transmission previously sent by the transmitter, the API responds with an HTTP 200 and a short XML document. Otherwise, they receive an HTTP 400 or 404 response with an empty body, as outlined in the Open API Specifications.

In the event of an internal server error or temporary unavailability of the API, an HTTP 500 or HTTP 503 response will be returned, respectively, with an empty body.

Should the acknowledgement include an error status ("Accepted with Errors" or "Rejected"), the transmitter may retrieve the error file by sending an HTTP GET request to the API as shown in Figure 4.

HEADERS

```
GET /api.ftb.ca.gov/fx/v1/transmissions/errors/[RECEIPTID]
Host: api.ftb.ca.gov
Accept: application/xml
X-FtbApi-TrTs: 2020-01-15T00:05:32.000Z
app_id: [Application ID]
app_key:[Application Key]
Authorization: AWS4-HMAC-SHA256 Credential=[CA-TCC]/[ISO 8601 date]/ftb/fx/aws4_request,
  SignedHeaders=accept;host;x-ftbapi-trts, Signature=[SHA-256 HMAC]
...
```

Figure 4: Requesting an Error File

HTTP header and signing requirements for error file requests are the same as for acknowledgements.

Please note that in previous versions of these specifications, the Accept header was previously labeled as Accepts. This has been updated to comply with standard

conventions, but the system will remain backwards compatible to allow Accepts, as well as Accept. However, the more conventional Accept is the preferred header.

9.4 Federal and State Differences: Acknowledgements

At a high level, the process for transmission acknowledgements between FTB and the IRS are very similar. The primary difference between IRS and FTB is in the service integration technology. IRS uses SOAP services and FTB uses RESTful services. IRS transmissions are structured using the IRS Schemas. FTB transmissions are structured using the FTB Schemas. As a result, all specifications for acknowledgements described in this section are distinctly different from those described in IRS acknowledgements publications.

10 Resubmissions and Corrections

When a transmission status is "Accepted with Errors" or "Rejected," a resubmission must be sent as a new transmission to resolve the identified errors. The FX API does not have the concept of Original, Correction, and Replacement transmissions like the IRS. Instead, all transmissions are considered original. If a previously sent transmission has submission or record errors that need to be resolved, a new transmission is resubmitted and the submissions or records that are being corrected are indicated as such in the specific submission or record XML. More details are provided in the coming sections.

Corrections may also need to be submitted for a record that was previously accepted, but for which the transmitter has more up to date information. Similar to resubmitting rejected records (or records with an error), the corrected record is sent in a new transmission with the corrected record indicated as such in the record level XML and referring back to the previously accepted record. The corrected indicator should also be set to "1" for the record. Transmitters who transmit correction files are expected to have either transmitted the original transmissions or have access to the key information regarding the original transmissions (ReceiptIDs, SubmissionIDs, and RecordIDs).

Note: If a transmission has already been successfully transmitted and accepted, but additional records need to be sent that were not included in the original transmission, these additional records can simply be sent as a new transmission. The original transmission does not need to be corrected to include the original records plus the additional records.

Note: As mentioned in Section 2.1 of FTB File Exchange System – 1094 1095 Technical Specifications – Part 1, remember that any correction information returns that may need to be filed must use the same filing method as the original information return.

Transmitting resubmissions or corrections can be done via either the UI Channel or the A2A channel following the same processes described in Section 6 of FTB File Exchange System – 1094 1095 Technical Specifications – Part 1. The information in this section focuses on the specific XML elements required to identify the resubmission or correction, and to identify the original submission or record being resubmitted or corrected. Resubmissions and corrections can be submitted in the same transmission as new records.

For example files of the scenarios discussed in the following sections, please see the "SampleInstances" folder in the Information Returns schema zip file.

10.1 Transmission Level Resubmissions

Transmission level resubmissions are required in three scenarios:

- A synchronous validation failed resulting in an "FXE" error, as described in Section 7.1 of FTB File Exchange System – 1094 1095 Technical Specifications – Part 1 .
- The transmission fails the asynchronous XML Schema validations resulting in a schema validation error, as described in Section 7.2 of FTB File Exchange System – 1094 1095 Technical Specifications – Part 1.
- Every submission in a transmission was rejected during business rule validations, resulting in a Rejected transmission

In all of these scenarios, the transmission is not considered timely, as it is not a valid transmission. Transmitters must submit a new transmission with a new UTID. This new transmission should not refer back to the original transmission, and must be submitted before the due date in order to be considered timely. Figure 5, below, gives an example of what may be submitted as a resubmission when the transmission is rejected.

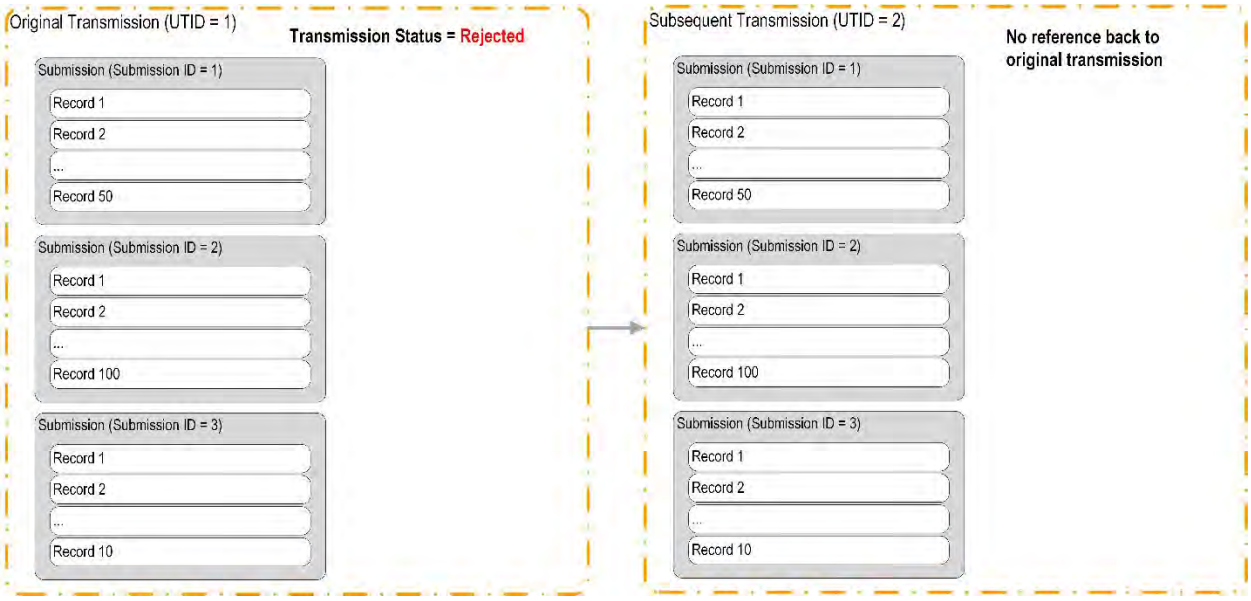

Figure 5: Transmission Level Corrections

This figure indicates that the entire transmission was resubmitted as a new transmission with no reference back to the original transmission. Notice that the new transmission has a new UTID to uniquely identify the transmission.

10.2 Submission Level Resubmissions

Submission level resubmissions are required when only some of the submissions in a transmission were rejected, resulting in an Accepted with Errors transmission.

In this scenario, the rejected submissions must be resubmitted in a new transmission, with the identified errors resolved. The corrected submissions must reference back to the ReceiptID of the transmission and the SubmissionID of the rejected submission within the OriginalSubmittedInformation group. For example, only one submission in a transmission is rejected because the Form1095BCount did not match the actual count of Form 1095-B forms included in the submission. The correction submission must include the OriginalSubmittedInformation group. Figure 6, below, gives an example of what part of the submission may look like.

```
...
<hci:HealthCareReturnHeader documentId="Header">
    <hci:SubmissionId>1</hci:SubmissionId>
    <hci:Timestamp>2021-04-09T09:30:47Z</hci:Timestamp>
    <hci:TaxYear>2021</hci:TaxYear>
</hci:HealthCareReturnHeader>
<hci:IRSForm1094B documentId="1094B">
    <hci:OriginalSubmittedInformation>
        <hci:ReceiptId>f693517a-c496-4e71-861b-f1df318823f1</hci:ReceiptId>
        <hci:SubmissionId>2</hci:SubmissionId>
    </hci:OriginalSubmittedInformation>
    <hci:Filer>...</hci:Filer>
    <hci:Form1095BCount>125</hci:Form1095BCount>
</hci:IRSForm1094B>
...
```

Figure 6: Submission Level Correction in the XML

Other submissions within the same transmission may be first time submissions, and do not need to include the OriginalSubmittedInformation group.

Figure 7, below, gives an example of what a transmission may look like when it includes replacement submissions from an Accepted with Errors transmission.

Figure 7: Submission Level Correction Example

The subsequent transmission has a submission that refers back to the previously rejected submissions. In this instance, no additional submissions are included in the subsequent transmission.

10.3 Record Level Resubmissions and Corrections

- Record level **resubmissions** are required when an Accepted submission has a record level error.
- Record level **corrections** are required when the transmitter has new information that requires an update to a previously transmitted and accepted record.

In both of these scenarios, the records are sent in a new transmission. The records must reference back to the ReceiptID, the SubmissionID, and the RecordID within the OriginalSubmittedInformation group within the record itself (e.g., 1095-B or 1095-C). When submitting a correction, the Corrected Indicator for the record should be set to "1". When submitting a resubmission, the Corrected Indicator should only be set to "1" when sending a resubmission for a correction record that had an error.

As an example, when a 1095-B record is rejected because the CoveredIndividual/SSN is not in a valid range, the correction record submitted should contain the information depicted in Figure 8, below.

```
...
<hci:HealthCareReturnHeader documentId="Header">
    <hci:SubmissionId>1</hci:SubmissionId>
    <hci:Timestamp>2021-04-09T09:30:47Z</hci:Timestamp>
    <hci:TaxYear>2021</hci:TaxYear>
</hci:HealthCareReturnHeader>
<hci:IRSForm1094B documentId="1094B">
    <hci:Filer>...</hci:Filer>
    <hci:Form1095BCount>125</hci:Form1095BCount>
</hci:IRSForm1094B>
<hci:IRSForm1095B documentId="1095B-1">
    <hci:RecordId>1</hci:RecordId>
    <hci:OriginalSubmittedInformation>
        <hci:ReceiptId>f693517a-c496-4e71-861b-f1df318823f1</hci:ReceiptId>
        <hci:SubmissionId>2</hci:SubmissionId>
        <hci:RecordId>8</hci:RecordId>
    </hci:OriginalSubmittedInformation>
    ...
```

Figure 8: Record Level Correction in the XML

In the example, the new submission has a Submission ID of "1", and is correcting the submission that had a Submission ID of "2". The corrected record has a Record ID of "1" and the original record had a Record ID of "8". Figure 9, below, gives an example of what correction records may look like in a subsequent transmission.

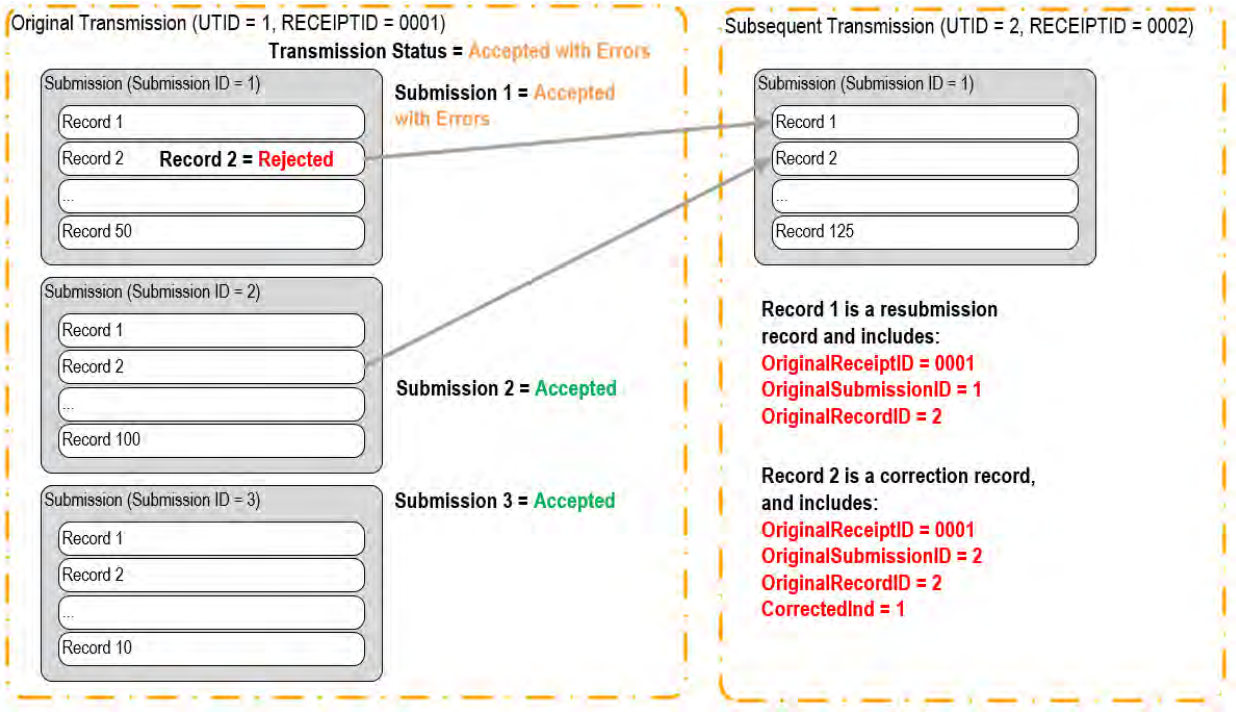

Figure 9: Record Level Resubmission and Correction Example

In this example, a rejected record is resubmitted and an accepted record is corrected. Each correction record refers back to the OriginalReceiptID, Original Submission ID, and OriginalRecordID for which it is being resubmitted or corrected. Note that the previously accepted record includes a CorrectedInd = 1.

10.4 Correcting a Correction

After a correction is submitted, all future corrections to that information should reference the `OriginalSubmittedInformation` for the latest accepted submission. Figure 10 and Figure 11, below, show a resubmission to a rejected record is also rejected and must be resubmitted again.

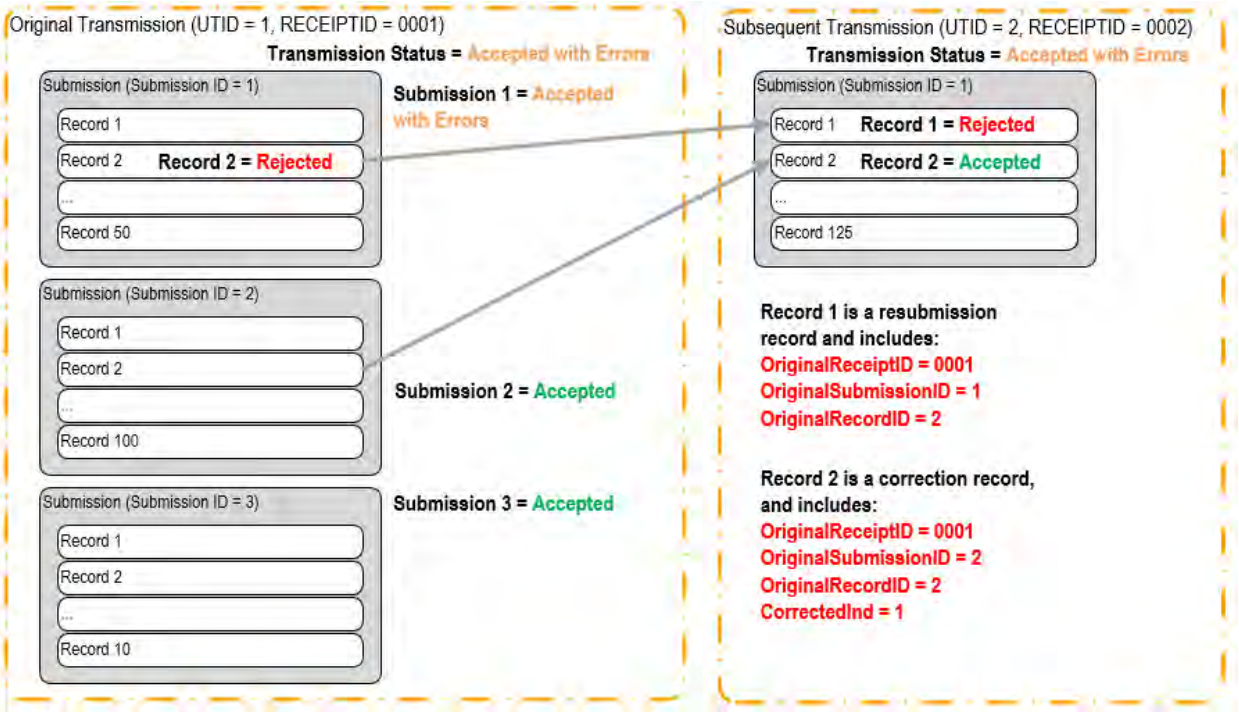

Figure 10: Rejected Resubmission

Record 1 in the transmission with Receipt ID = "0002" and Submission ID = "1" was resubmitting a previously rejected record (with Receipt ID = "0001", Submission ID = "1", and Record ID = "2"). However Record 1 is rejected as well.

Record 2 in the transmission with Receipt ID = "0002" and Submission ID = "1" is correcting a previously accepted record (with Receipt ID = "0001", Submission ID = "2", and Record ID = "2"). This record is accepted.

Figure 11, below, shows that the subsequent resubmissions and corrections reference the latest submitted record, even when the latest submitted record was rejected.

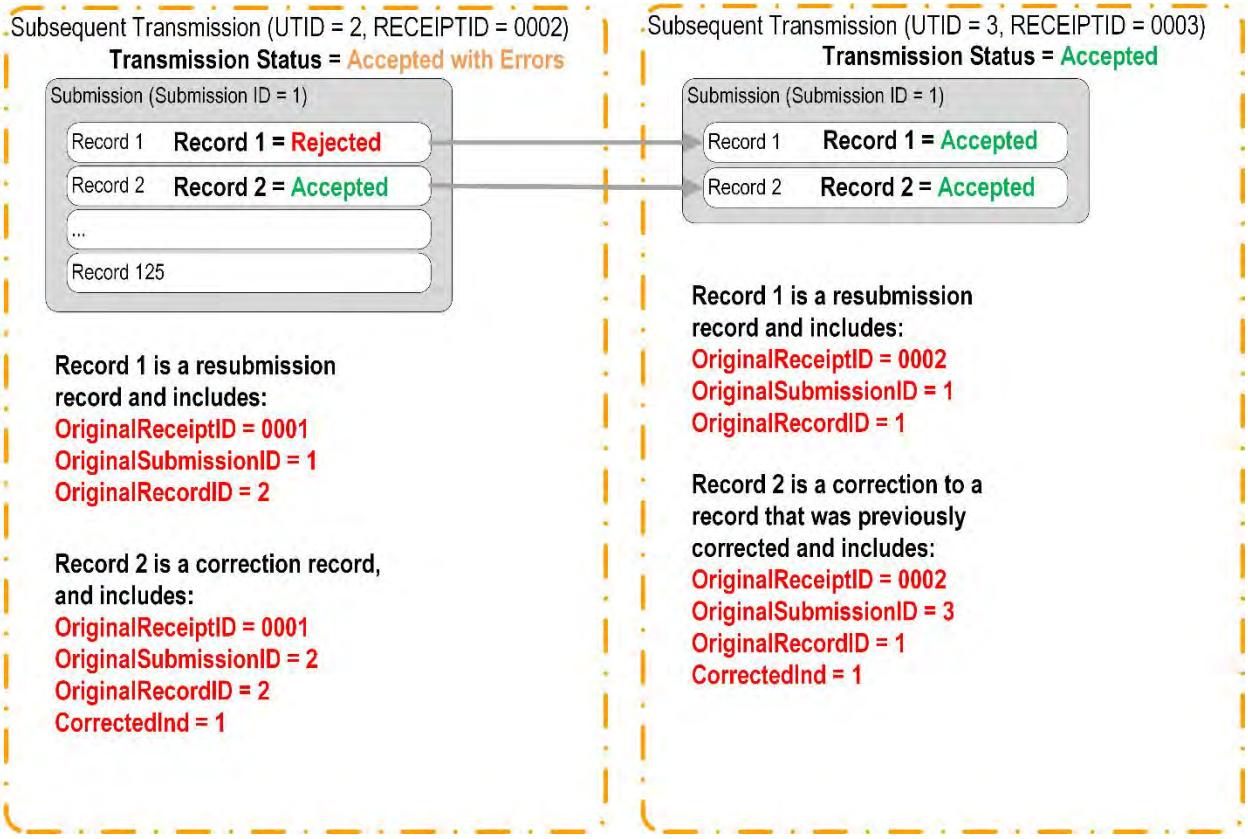

Figure 11: Resubmitting a Resubmission

Note that the transmission on the left has Receipt ID = "0002", the same as the subsequent transmission from the previous figure. Both records in the transmission with Receipt ID = "0003" are referring back to the submissions with the Receipt ID = "0002".

However, if correction records are included in a transmission and the entire transmission is rejected, the subsequent correction records should not refer to the rejected transmission. They should refer to the latest accepted or accepted with errors transmission.

10.5 Federal and State Differences: Corrections

Key differences from the IRS correction process are described in Table 2, below.

Table 2: IRS and FTB Reporting Differences – Corrections

IRS	FTB
Corrections must be sent in a separate transmission with a transmission category of "C".	Corrections can be sent with new record transmissions.

IRS	FTB
Replacements must be sent in a separate transmission with a transmission category of "R".	Replacements are considered resubmissions, and can be sent with new record transmissions.
Correction records must only refer to the latest "accepted" record.	Resubmission records may refer to a rejected record as long as the transmission status was not rejected and the given submission was accepted.
A replacement transmission must refer back to the original rejected transmission.	Resubmissions for rejected transmissions do not refer back to the original transmission information.

11 Time to File

The due date for furnishing the Form 1095-B and 1095-C to the Recipients (employee/or covered individual) is January 31st.

The due date for furnishing the Forms 1094-B, 1095-B, 1094-C, and 1095-C to FTB is March 31, with an automatic extension to May 31. Transmissions will be accepted as early as January 1 and must be in an "Accepted" status by the filing deadline to be considered filed timely. Any corrections to accepted records (e.g., an updated SSN) must be submitted to FTB within 30 days of the change and must continue to be sent for four years from the original due date of the information return. For example, any corrections made to a 2021 form FTB 1095-B (which has a reporting due date of March 31, 2022) must continue to be reported to FTB through March 31, 2026.

Should any of these due dates fall on a state holiday, the deadline is the following business day.

Appendix – Acronyms

Acronym	Definition
A2A	Application to Application
ACA	Affordable Care Act
AIR	Affordable Care Act Information Returns
API	Application Programming Interface
App_id	Application Identifier
App_key	Application Key
AWS	Amazon Web Services
BOM	Byte Order Mark
CA-TCC	California Transmitter Control Code
FTB	Franchise Tax Board
FX	File Exchange
GUI	Graphical User Interface
HCM	Health Care Mandate
HTML	Hypertext Markup Language
IR	Information Reporting
IRS	Internal Revenue Service
MEC	Minimum Essential Coverage
RID	Record Identifier
SID	Submission Identifier
SSN	Social Security Number
SYSID	FTB System Identifier
TIN	Taxpayer Identification Number
UI	User Interface
UTF-8	Unicode Transformation Format-8
UTID	Unique Transmission Identifier
UUID	Universally Unique Identifier
W3C	World Wide Web Consortium
XML	Extensible Markup Language

Appendix – Glossary

Term	Definition
CA-TCC (California Transmitter Control Code)	The CA-TCC is a five-digit hexadecimal number left-padded with "0". There are two versions of the CA-TCC: o **Test:** The Test CA-TCC is issued upon enrollment approval and is used to transmit test transmissions. o **Production:** The Production CA-TCC is issued upon completion of the required annual testing cycle (see the FTB File Exchange System – 1094 1095 Testing Specifications for more information on the required annual testing cycle) and is used to transmit production transmissions containing real MEC IR data. The CA-TCC is the last colon separated component of the UTID (found in the manifest file).
Form Data File	The Form Data File is one component of the transmission and includes submissions of forms 1094/1095-B or 1094/1095-C data.
FX API	A sub-system within the FX System that performs synchronous validations and issues FXE error codes when necessary.
FX Hub	A sub-system within the FX System that performs asynchronous validations and generates the acknowledgement file.
FX Portal	A sub-system within the FX System that allows transmitters to communicate information with FTB, including enrolling for the MEC IR Program, transmitting information return files, and retrieving acknowledgements.
FX System	The File Exchange (FX) System is comprised of the following three sub-systems: • FX Portal • FX API • FX Hub
Hexadecimal	The UTID can only contain hexadecimal values (0-9 and a-f).

Term	Definition
Manifest	The Manifest is one component of the transmission and contains the transmitter's information and data describing the transmission.
Responsible Official	The Responsible Official is the vetted individual who completed MEC IR registration and enrollment on behalf of their organization. They are responsible for sharing FX Portal log-in credentials with other designated contacts from their organization. They are also considered the main point of contact for FTB and responsible for activities conducted by their organization's account. For further details regarding the responsible official, please review the FTB File Exchange System – MEC IR Registration and Enrollment Guide.
SHA256 Hash	SHA-256 stands for Secure Hash Algorithm 256-bit and is a calculation process used to secure the transmission.
Submission	The combination of a single header, a single transmittal (Form 1094-B or Form 1094-C) and its associated information returns (Form 1095-B or Form 1095-C). For example, a submission is either: • One Header, one Form 1094-B, and one or more Form(s) 1095-B or • One Header, one Form 1094-C, and one or more Form(s) 1095-C
SubmissionCount	The SubmissionCount is located in the manifest file. It is the number of 1094s in the form data file. The submission count in the Manifest file should match the number of 1094s within the transmission.
SYSID	The SYSID is a four-digit hexadecimal number left-padded with "0". All MEC IR transmissions use SYSID **0001**. The SYSID is the second colon separated component of the UTID (found in the manifest file) and will always be "**0001**".
Transmission	A unique package of digital documents comprising of the following: • Manifest, describing the transmitter, transmission, and the payload • Form Data File, containing one or more submissions in XML format

Term	Definition
TransmissionCategory	The TransmissionCategory is located in the manifest file. It indicates whether the transmission is a Test transmission or a Production transmission. The TransmissionCategory should correspond with the type of CA-TCC used (e.g. Test transmissions use a Test CA-TCC). Test transmissions have a TransmissionCategory of "T" and Production transmissions have a TransmissionCategory of "P".
TransmissionChecksum	The TransmissionChecksum is located in the manifest file. The value of the TransmissionChecksum is the SHA256 hash of the form data file. This value helps link the manifest file to its associated form data file.
TransmissionSchemaVersion	The TransmissionSchemaVersion is located in the manifest and is the version of the schema being used for the transmission. Starting October 2021, the current supported schema will be "InformationReturns_v2.0". This should match the value provided in the form data file.
UTID (Unique Transmission Identifier)	The UTID, also known as the TransmissionID, is the transmitter-provided unique identifier for a transmission. All transmissions must have a unique UTID. The UTID is comprised of a UUID, a SYSID, and a CA-TCC, separated by colons. The UTID is found in the manifest file.
UUID (Universal Unique Identifier)	The UUID is defined by the Internet Engineering Task Force (IETF) Request for Comments (RFC) 4122 as a 128-bit number represented by 32 hexadecimal [0-9 & A-F] digits separated into five, hyphen-separated groups. **89971352-c160-4e39-a0c2-c0582777c3d4** is an example of an RFC 4122-compliant UUID. Do not use your Secret Key as the UUID. The UUID is the first colon separated component of the UTID (found in the manifest file).

Appendix – Keys and Codes

	Environment	Form Type	Expiration	Purpose	Where Used/Found	When Issued
Test CA-TCC	Test	All Types	Never (or until explicitly disabled)	Unique code for authenticating transmitter's test transmissions	In the UTID of the manifest	Upon Enrollment Approval
Production CA-TCC	Production	Forms that have tested	Annually - 12/15	Unique code for authenticating transmitter's production transmissions	In the UTID of the manifest	Upon Testing Cycle Completion
Secret Key	Not Environment Specific	Not Form Type Specific	Annually - One year after issuance	Unique key for authenticating transmitter for A2A transmitters (Automatically applied for UI Transmitters)	In the authentication header signature process for A2A transmitters (Not applicable for UI Transmitters)	Upon Enrollment Approval
app_id	Not Environment Specific	Not Form Type Specific	Never (or until explicitly disabled)	Uniquely Identifies the Software Package for A2A transmitters	In the authentication header signature process for A2A transmitters	Upon Enrollment Approval
app_key	Not Environment Specific	Not Form Type Specific	Annually - One year after issuance	Unique key for authenticating software package for A2A transmitters	In the authentication header signature process for A2A transmitters	Upon Enrollment Approval

Appendix – Valid SSN Ranges

Social Security Numbers (SSNs) provided to FTB must match the valid SSN ranges defined in IRS Publication 4164. The information from that publication is provided here for your reference.

An Individual Taxpayer Identification Number (ITIN) is a nine-digit number assigned by the Internal Revenue Service to individuals who do not have and are not eligible to obtain an SSN. It is used for tax reporting purposes only.

An Adoption Identification Number (ATIN) is a temporary nine-digit number issued by the Internal Revenue Service for the child in a domestic adoption where the adopting taxpayers do not have and/or are unable to obtain the child's Social Security Number. It is used by the adopting individuals on their tax returns to identify the while final adoption is pending.

All three types of identifiers (SSN, ITIN, ATIN) have a 9 digit number, broken down into three sections separated by hyphens. The Area represents the numbers in positions 1 through 3. The Group represents the numbers in positions 4 and 5. The Serial represents the numbers in positions 6 through 9. For example, if an SSN is 123-45-6789, the Area is '123', the Group is '45', and the Serial is '6789'.

The valid ranges for the three types of identifiers are described in the table below.

Valid Ranges For	Area	Group	Serial
Social Security Numbers (SSNs)	001-665 667-899	01-99	0001-9999
Individual Taxpayer Identification Numbers (ITINs)	900-999	50-65 70-88 90-92 94-99	0000-9999
Adoption Identification Numbers (ATINs)	900-999	93	0000-9999

As a general rule, the following are never valid SSNs:

- When the "group" contains all zeroes, the SSN is a test SSN and a live return will be rejected.
- When the "serial" contains all zeroes, the SSN is a test SSN and a live return will be rejected.
- Additionally, all ones, twos, threes, fours, fives, sixes, sevens, eights, "123456789" or "234567890" entered are not valid.