

Annual Reporting of Occupational Licensing Information



Table of Contents

Part 1 – General Filing Instructions	2
Overview	2
Filing Law	2
Filing Period	2
How to Submit Media	2
Common Filing Errors to Avoid.....	2
Contact Information.....	3
Part 2 – Media and File Characteristics.....	3
Part 3 – Occupational Licensing Record Format Specifications.....	4
Secure Web Internet File Transfer (SWIFT) Frequently Asked Questions.....	6

Part 1 – General Filing Instructions

Overview

This manual provides information for filing annual occupational licensing information with the Franchise Tax Board (FTB). Part 1 outlines reporting requirements and general guidelines. Part 2 describes the type of media used for your reporting. Part 3 contains the record layouts and data field descriptions.

Filing Law

Legislation passed in 1984 and 1986 provides FTB with enforcement tools aimed at reducing California tax evasion through automated processes. California Revenue and Taxation Code Section 19528 requires the State Bar, the Department of Real Estate, the Insurance Commissioner, and any board (as identified in Business and Professions Code Section 22), to annually provide FTB with specified licensee information.

Filing Period

Annual filing will be on a calendar year basis. Submit your file by April 15 of each year.

How to Submit Media

FTB prefers you send your information through Secure Web Internet File Transmission (SWIFT). You must create a SWIFT account before data submission and follow data submission guidelines. Please see the Frequently Asked Questions (FAQs) section regarding SWIFT on PAGE 6.

Common Filing Errors to Avoid

- **Incorrect Field Length:** Verify all field lengths with the record format specification portion of this booklet.
- **Block Sizes:** Incorrect block lengths are not evenly divisible by the record size. An example of a correct block length is 30,000 bytes (30,000 divided by 300 equals 100 records per block).
- **Invalid Standard Industrial Codes (SIC):** The SIC may be a two to four digit code that identifies the type of business reported. If the SIC is less than four digits, be sure it is left justified within the field. Otherwise, the SIC is invalid.
- **Invalid Data:** Your data is unacceptable if you omit or place invalid data in the licensing board number field (Position 272). This field is for the three digit code assigned by FTB to each respective board and you must include it. Call Data Exchange Services at 916.845.3778 if you are unsure of your licensing board number.

Contact Information

For assistance with file layouts, call 916.845.3778 between the hours of 7 a.m. to 3 p.m. weekdays, except state holidays.

Part 2 – Media and File Characteristics

The following items describe the required filing features for your occupational licensing data:

- Record length must be 300 characters and match with the data elements listed in the record format specifications of this booklet.
- Records must appear in ascending social security number (SSN) order.

SWIFT

SWIFT is the secure file transfer system all external customers use for submitting confidential information to FTB through the Internet. SWIFT uses Axway Secure Data Transport software. Transmitters should use SWIFT for all Internet file transfers. The [SWIFT User Guide](#) contains the information you will need to ensure your business can interact with our SWIFT system, how to sign up to use SWIFT, and how to transmit and retrieve files from FTB.

Browsers and Operating Systems

You can access SWIFT with your web browser. Browsers connecting to SWIFT must support JavaScript and have cookies enabled.

SWIFT supports the following web browsers:

- Apple Safari 5.x, 6.x (on OS X only)
- cURL 7.19 to 7.22
- Google Chrome 33.x or later
- Microsoft Internet Explorer 8, 9, 10, 11 (Compatibility View is not supported)
- Mozilla Firefox 24.x or later

Part 3 – Occupational Licensing Record Format Specifications

Data Element Name	Start Pos.	End Pos.	Field Size	Usage	Description
SSN	1	9	9	N	9 digits. Zero fill, if not available.
FEIN	10	18	9	N	9 digits. Zero fill, if not available.
Occupational License No.	19	25	7	AN	7 digits. May be blank. Left justified
Ownership Type	26	26	1	A	Type of ownership. Values: (S) sole proprietorship, (P) partnership, (A) salesperson, (B) broker, (T) insurance transactor, (I) insurance solicitor, (C) corporation, (E) examiner.
Licensee's Last Name	27	41	15	A	Alpha only (cannot be numeric or special characters). Must be present.
Licensee's First Name	42	52	11	A	Alpha only (cannot be numeric or special characters). Must be present.
Licensee's Middle Initial	53	53	1	A	May be blank.
Licensee's Address					
PO Box	54	73	20	AN	May be blank.
Number and Street	74	106	33	AN	Must be present.
City	107	118	12	A	Must be present.
State**	119	120	2	A	Must be present.
ZIP**	121	129	9	N	Do not hyphenate. Left justified. Zero fill, if not available.
Or Country	119	129	11	AN	May be blank.
Country Code	130	132	3	N	Zero fill, if not available.
Business Name	133	165	33	AN	May be blank.
Business Address					
PO Box	166	185	20	AN	May be blank.
Number and Street	186	218	33	AN	May be blank.
City	219	230	12	A	May be blank.
State**	231	232	2	A	May be blank.
ZIP**	233	241	9	N	Do not hyphenate. Left justified. Zero fill, if not available.
Or Country	231	241	11	AN	May be blank.
Country Code	242	244	3	N	Zero fill, if not available.

Data Element Name	Start Pos.	End Pos.	Field Size	Usage	Description
Effective Date of License	245	252	8	N	8 digit century, year, month, day (CCYYMMDD). Zero fill, if not available.
Expiration Date of License	253	260	8	N	8 digit century, year, month, day (CCYYMMDD). Not known or license has not expired.
Status of License	261	261	1	AN	Value: (A) active, (I) inactive. May be blank or numeric 1-9.
New/Renewal Code	262	262	1	A	Value: (N) new, (R) renewal. May be blank.
SIC Code	263	266	4	N	Up to 4 digits – Standard Industrial Classification. Left justified. Zero fill, if not indicated.
Type of License	267	270	4	AN	Up to 4 characters representing type of business. Left justified. May be blank.
Frequency of License Renewal	271	271	1	A	Value: (A) annual (calendar basis), (B) biennial, (T) triennial, (Q) quadrennial.
Licensing Board Number	272	274	3	N	FTB 3 digit number. Must be present.
Date of Birth	275	282	8	N	8 digit century, year, month, day (CCYYMMDD). Zero fill, if not available.
Drivers License	283	290	8	AN	Zero fill, if not available.
Phone Number	291	300	10	N	3 digit area code followed by 7 digit phone number. Zero fill, if not available.

* Key: A = Alpha, N = Numeric, AN = Alphanumeric.

** State and ZIP code fields may be combined to enter foreign country names, if country code is not used.

Secure Web Internet File Transfer (SWIFT)

Frequently Asked Questions

1. What is SWIFT?

FTB's Secure Web Internet File Transfer System provides our customers with a secure method for transferring files to and retrieving files from FTB. SWIFT uses both FTPS and HTTPS protocols. FTPS requires using an FTPS client application, while HTTPS requires only a web browser.

2. How does SWIFT work?

SWIFT registration is an FTB application where new users are issued user IDs and passwords during the initial registration process. In addition to the SWIFT login credentials, FTB provides two mailboxes. One is called "ToFTB" and this mailbox uploads the occupational licensing files for FTB to process. The other mailbox is called "FromFTB" and this mailbox holds files for customers to retrieve, if applicable.

SWIFT uses Axway Secure Data Transport proprietary software to move files directly from the SWIFT FTPS site to their location within FTB.

3. Is SWIFT Secure?

Yes, SWIFT only allows HTTPS and FTPS protocols, plus 128-bit encryption using digital certificates from VeriSign.

4. If I am using a 40-bit browser to upload data securely, will I need to upgrade my web browser to 128-bit?

Yes, you will need to update your browser to 128-bit.

5. What web browsers are supported?

Internet Explorer, Netscape, and Firefox.

6. What is the maximum file size I can upload or download?

SWIFT supports the transfer of large files. Browser based transfers have a limit of 1GB. FTPS has no limit on file size.

7. Is there transaction logging/tracking?

Yes, SWIFT logs all the file transfers and logins.

8. Will I receive failure or error notifications?

Yes, if your file fails to process, you will be notified to submit a replacement file.

9. How do I start using SWIFT?

FTB's Data Resources and Services unit can set up your account to provide occupational licensing information. Please contact the IRP help desk at **916.845.6304** or by email **IRPHelp@ftb.ca.gov**.