



STATE OF CALIFORNIA
Franchise Tax Board

Annual Reporting of Occupational Licensing Information

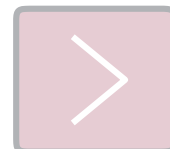
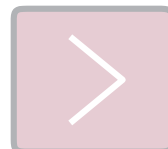


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Overview

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.

Part 1 – General Filing Instructions

Background

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

The filing requirement is on a calendar year basis and files must be submitted by April 15 of each year.

How to Submit Media

You must send your information through Secure Web Internet File Transmission (SWIFT). Use the “ToFTB” mailbox to upload the occupational licensing files for FTB to process. The “FromFTB” mailbox holds files for customers to retrieve, if applicable.

Common 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:** The 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.

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

Contact Information

To create a SWIFT account or for assistance with file layouts, call 916.845.6304 between the hours of 7 a.m. to 4:30 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 must use for submitting confidential information to FTB through the Internet. SWIFT uses Axway Secure Data Transport software, and both FTPS and HTTPS protocols. FTPS requires using an FTPS client application, while HTTPS requires only a web browser. In addition, SWIFT supports the transfer of large files. Browser based transfers have a limit of 1GB. FTPS has no limit on file size.

The [SWIFT User Guide](#) contains information you will need to ensure your business can interact with our SWIFT system including 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:

- Internet Explorer 9, 10, 11
- Firefox 36.x or later
- Chrome 41.x
- Safari 8.x

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/limited partnership, (A) salesperson/association, (B) broker, (T) insurance transactor, (I) insurance solicitor, (C) corporation, (E) examiner, (U) unincorporated association, (N) nonprofit corporation, (L) limited liability corporation - May be blank.
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 Code**	121	129	9	N	Do not hyphenate. Left justified. Zero fill, if not available.
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 Code**	233	241	9	N	Do not hyphenate. Left justified. Zero fill, if not available.
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, (S) bi-yearly, (C) 0, 60, or 90 months.
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.
Driver 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.