

FEDERAL RESERVE BANK OF NEW YORK

NEW YORK, N.Y. 10045-0001

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**TO THE CHIEF EXECUTIVE OFFICER OF
STATE MEMBER BANKS AND BANK HOLDING COMPANIES**

Form TA-1, "Form for Transfer Agent Registrations and Updating Amendments", which is used by banking organizations to register as transfer agents or to amend their current registration, has been revised. The revisions were adopted by an interagency working group consisting of representatives from the Federal Reserve System, the Federal Deposit Insurance Corporation, the Office of the Comptroller of the Currency and the Securities and Exchange Commission. The revisions are intended to clarify current reporting requirement, to obtain more relevant information, and to recognize changes occurring in the banking industry. A brief listing of the most significant changes is attached.

Banking organizations should use the revised form in future filings for transfer agent registrations and for updating amendments as previous versions of Form TA-1 will no longer be accepted. There is no requirement to file a new or amended Form TA-1 at this time unless the information contained on the banking organization's currently filed Form TA-1 has changed.

Copies of the revised form TA-1 may be obtained from the Trust/EDP Supervision Section, Mail Stop 407, Board of Governors of the Federal Reserve System, Washington, D.C. 20551, or from this Reserve Bank. Should you or your staff have any question in this regard, please contact William Stanley at (202) 452-2744, or Jose Henriques at (202) 452-2962 of the Trust/EDP Supervision Section.



Adam M. Gilbert
Assistant Vice President

Attachment

LIST OF MATERIAL CHANGES TO FORM TA-1

Primary changes to the form TA-1 include the following:

1. Item 5 has been added to identify the headquarters location of the registrant organization. This will help regulators better identify the entity that is registering.
2. Items 8 and 9 have been reworded to clarify that only locations of the *registrant* organization, not affiliates or servicers, are to be reported.
3. Item 11 has been revised to clarify that only *outside* transfer agent servicers need to be reported. It specifically states that EDP servicers need not be reported.
4. Items 11 and 12 have been revised by dropping the former *FINS Number* requirement and substituting a *Registered Transfer Agent Number*. This reflects the fact that *outside* transfer agent servicers reported in Item 11 must also be *registered* transfer agents. Likewise, the *named* transfer agents listed in Item 12 must be *registered* transfer agents, even if they have contracted with an *outside* transfer agent servicer.