

MEMO# 20975

March 21, 2007

Deadline Extended for Electronic Filing of Transfer Agent Forms with SEC

[20975]

March 21, 2007

TO: TRANSFER AGENT ADVISORY COMMITTEE No. 15-07
OPERATIONS COMMITTEE No. 5-07
SEC RULES COMMITTEE No. 28-07
SMALL FUNDS COMMITTEE No. 10-07 RE: DEADLINE EXTENDED FOR ELECTRONIC FILING OF TRANSFER AGENT FORMS WITH SEC

As you know, the Securities and Exchange Commission ("SEC" or "Commission") finalized amendments to the rules and forms under Section 17A of the Securities Exchange Act of 1934 to require that the forms filed with respect to transfer agent registration, annual reporting, and withdrawal from registration be filed with the Commission electronically, effective January 11, 2007. [\[1\]](#)

The SEC issued an Important Notice on March 21, 2007 regarding the filing date for Form TA-1 and TA-2. Some transfer agents have not been able to file Form TA-1 and Form TA-2 electronically because of EDGAR software issues, which are scheduled for correction by April 1, 2007. As a result, the Commission will adjust the filing date of any Form TA-1 or Form TA-2 filed on EDGAR between April 1, 2007 and May 31, 2007. The adjusted filing date will be March 31, 2007, the due date for Form TA-2, and the forms will not be treated as untimely. The Important Notice issued by the SEC and other information on the electronic filing of transfer agent forms can be found on the SEC website at <http://www.sec.gov/info/edgar/ednews/ta-filing.htm>.

Questions about the final rule amendments may be directed to the undersigned at

butler@ici.org or 202-326-5850, or to Mara Shreck at mshreck@ici.org or 202-326-5923.

Diane M. Butler
Director – Transfer Agency & International Operations

endnotes

[1] See ICI [Memorandum](#) #20810, dated January 26, 2007.

Copyright © by the Investment Company Institute. All rights reserved. Information may be abridged and therefore incomplete. Communications from the Institute do not constitute, and should not be considered a substitute for, legal advice.