

Transfer Agent (TA) Statistics¹

- **Total number of registered TAs**

Description

The total number of TAs is the number of all transfer agents that are registered with the SEC, or if the transfer agent is a bank, with a bank regulatory agency as of a given date.

Calculation Method

The total number of registered TAs is calculated based on Forms TA-1 submitted by all TAs to their Appropriate Regulatory Agencies (ARAs); their registrations are effective and are not cancelled, revoked or withdrawn as of a given date.

Data Source

Electronic Data Gathering, Analysis, and Retrieval (EDGAR), Form TA-1(/A) and Form TA-W filings.

- **Number of registered TAs by regulatory agency**

Description

The number of registered TAs by regulatory agency includes the number of SEC-registered TAs and the number of bank-registered TAs as of a given date. The bank-registered TAs are the transfer agents registered with bank regulatory agencies.

Calculation Method

The number of SEC-registered TAs and the number of bank-registered TAs are calculated based on the filing information in response to question 2 on the latest Form TA-1(/A) or question 3(a) on the latest Form TA-2(/A) as of a given date.

Data Source

Electronic Data Gathering, Analysis, and Retrieval (EDGAR), Form TA-1(/A) and Form TA-2 (/A) filings.

- **Number of bank-registered TAs by bank regulatory agency**

Description

The number of bank-registered TAs by bank regulatory agency is the number of transfer agents that are registered with each of three bank regulatory agencies as of a given date. Bank regulatory agencies are the Office of the Comptroller of the Currency (OCC), the Board of Governors of the Federal Reserve System (BGFRS), and the Federal Deposit Insurance Corporation (FDIC).

Calculation Method

The number of bank-registered TAs by bank regulatory agency is based on the filing information in response to question 2 on the latest Form TA-1(/A) or question 3(a) on the latest Form TA-2(/A) as of a given date.

¹ These statistics are produced by the staff of the U.S. Securities and Exchange Commission and the Commission expresses no view regarding the statistics. The statistics are produced from filings on EDGAR. Staff cannot guarantee the accuracy of information provided in these filings. The statistics may change based on updated or revised data and methodology. The statistics are intended to assist the public in analyzing data contained in filings; however, they are not a substitute for such filings. Investors should review the relevant filings before making any investment decision.

Data Source

Electronic Data Gathering, Analysis, and Retrieval (EDGAR), Form TA-1(/A) and Form TA-2 (/A) filings.

- **Number of small registered TAs**

Description

The number of small registered TAs is the total number of TAs that are registered with the SEC, or if the transfer agent is a bank, with a bank regulatory agency, and are considered as small TAs as defined below.

Calculation Method

A “small TA” is defined as a transfer agent who reported fewer than 1,000 in response to questions 4(a) and 5(a) on the latest Form TA-2(/A) as of a given date. This definition is different from the definition of small transfer agent in [Rule 240.0-10\(h\)](#), therefore this method cannot be used to calculate exactly the number of small registered TAs as defined in [Rule 240.0-10\(h\)](#).

Data Source

Electronic Data Gathering, Analysis, and Retrieval (EDGAR), Form TA-2 (/A) filings.

- **Number of small registered TAs by regulatory agency**

Description

The number of small registered TAs by regulatory agency includes the number of small SEC-registered TAs and the number of small bank-registered TAs as of a given date.

Calculation Method

A “small TA” is defined as a transfer agent who reported fewer than 1,000 in response to questions 4(a) and 5(a) on the latest Form TA-2(/A) as of a given date. This definition is different from the definition of small transfer agent in [Rule 240.0-10\(h\)](#), therefore this method cannot be used to calculate exactly the number of small registered TAs as defined in [Rule 240.0-10\(h\)](#) by regulatory agency.

Data Source

Electronic Data Gathering, Analysis, and Retrieval (EDGAR), Form TA-2 (/A) filings.

- **Number of registered TAs by location**

Description

The number of registered TAs by location is the number of registered TAs with the SEC and the bank regulatory agencies in the 50 U.S. states, the District of Columbia (“DC”), and three U.S. territories (Puerto Rico, Guam, and U.S. Virgin Islands).

Calculation Method

The number of registered TAs by location is calculated based on the filing information in response to question 3(c), address of principal office where transfer agent activities are, or will be, performed, on the latest Form TA-1(/A) as of a given date. The location includes the 50 U.S. states, the District of Columbia (“DC”), and three U.S. territories (Puerto Rico, Guam, and U.S. Virgin Islands).

There are registered TAs outside the U.S. and its territories, and they are not included in the data visualization of [“Number of Registered TAs by Location”](#).

Data Source

Electronic Data Gathering, Analysis, and Retrieval (EDGAR), Form TA-1 (/A) filings.