

**State of California
Franchise Tax Board (FTB)**

Secure Web Internet File Transmission Service (SWIFT)

Transmitter User Guide

swift.ftb.ca.gov

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Overview

SWIFT is the secure file transfer system all external customers use for submitting confidential information to FTB via the Internet. SWIFT uses Tumbleweed's SecureTransport software. Transmitters should use SWIFT for all Internet file transfers. This 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 files to FTB or receive files from FTB.

Browsers and Operating Systems

There are four ways you can access SWIFT:

1. Your web browser
 - a. SWIFT supports the following Web browsers:
 - i. Microsoft Internet Explorer 6.0 SP1
 - ii. Netscape Navigator 7.1 and 7.2
 - iii. Mozilla FireFox 1.0.4
 - b. Browsers connecting to SWIFT must support JavaScript and have cookies enabled.
2. Third Party FTP Clients/Servers
 - a. SWIFT supports the following versions:
 - i. CuteFTP Professional, version 7.0
 - ii. WS_FTP Professional, version 2006
 - iii. LFTP, version 2.6.3
 - iv. Curl, version 7.13.2
 - v. FileZilla, version 2.2.14
 - vi. IglooFTP Professional, version 3.9
 - vii. SmartFTP, version 1.0
3. Custom built client
 - a. A client written in any language that supports FTPS or HTTPS
4. SecureTransport Client
 - a. Transmitter must purchase directly from Tumbleweed, for more information go to www.Tumbleweed.com.

SWIFT Login Name and Password

1. Contact your FTB representative or Help Desk to request a SWIFT login name and password.
2. Your SWIFT login name and temporary password will be sent to the business email address of the primary contact in two separate messages. (See examples on the following pages.)
3. The first time you use the SWIFT system, you will be required to change your password to a self-selected one.

Example of the email with your login Name

STATE OF CALIFORNIA
FRANCHISE TAX BOARD
PO Box 1468
Sacramento CA 95812-1468

Secure Web Internet File Transfer (SWIFT) Registration Confirmation

Effective Date: [MM/DD/YYYY](#)
FTB Contact: [email address](#)

Program ID #: [NNNNNNNNN](#)

Thank you for registering to use FTB's Secure Web Internet File Transfer (SWIFT) system. To access SWIFT, you will need a *login Name* and *Password*.

This is your login Name: [XXXXXXXX](#)

Print this message and retain for your records.

Within 24 hours you will receive another email providing you with a temporary password that will be used with the above login Name to access the SWIFT system the first time.

If you have questions or need assistance, please call or email your FTB Contact.

Example of the email with your Password

STATE OF CALIFORNIA
FRANCHISE TAX BOARD
PO Box 1468
Sacramento CA 95812-1468

Secure Web Internet File Transfer (SWIFT) Password Confirmation

Effective Date: [MM/DD/YYYY](#)
FTB Contact: [email address](#)

Program ID #: [NNNNNNNNNN](#)

We have established your Secure Web Internet File Transfer (SWIFT) account.
Your *temporary* Password is:

[XXXXXXXX](#)

Use this Password plus the login Name provided in the previous email to access the SWIFT system.

The first time you access the SWIFT system you must create your personal password. The SWIFT system will provide you with screen prompts.

The password you select must:

- Must be 6 – 14 characters.
- Must contain at least one numeric character.
- Cannot include any special characters.

Your password must be changed annually but you can change it at any time by using the Password Change feature within the SWIFT system.

To access SWIFT:

- Connect via the Web at: <https://swift.ftb.ca.gov>
- Connect via FTP at: <ftps://swift.ftb.ca.gov>

If you have questions or need assistance, please call or email your FTB contact

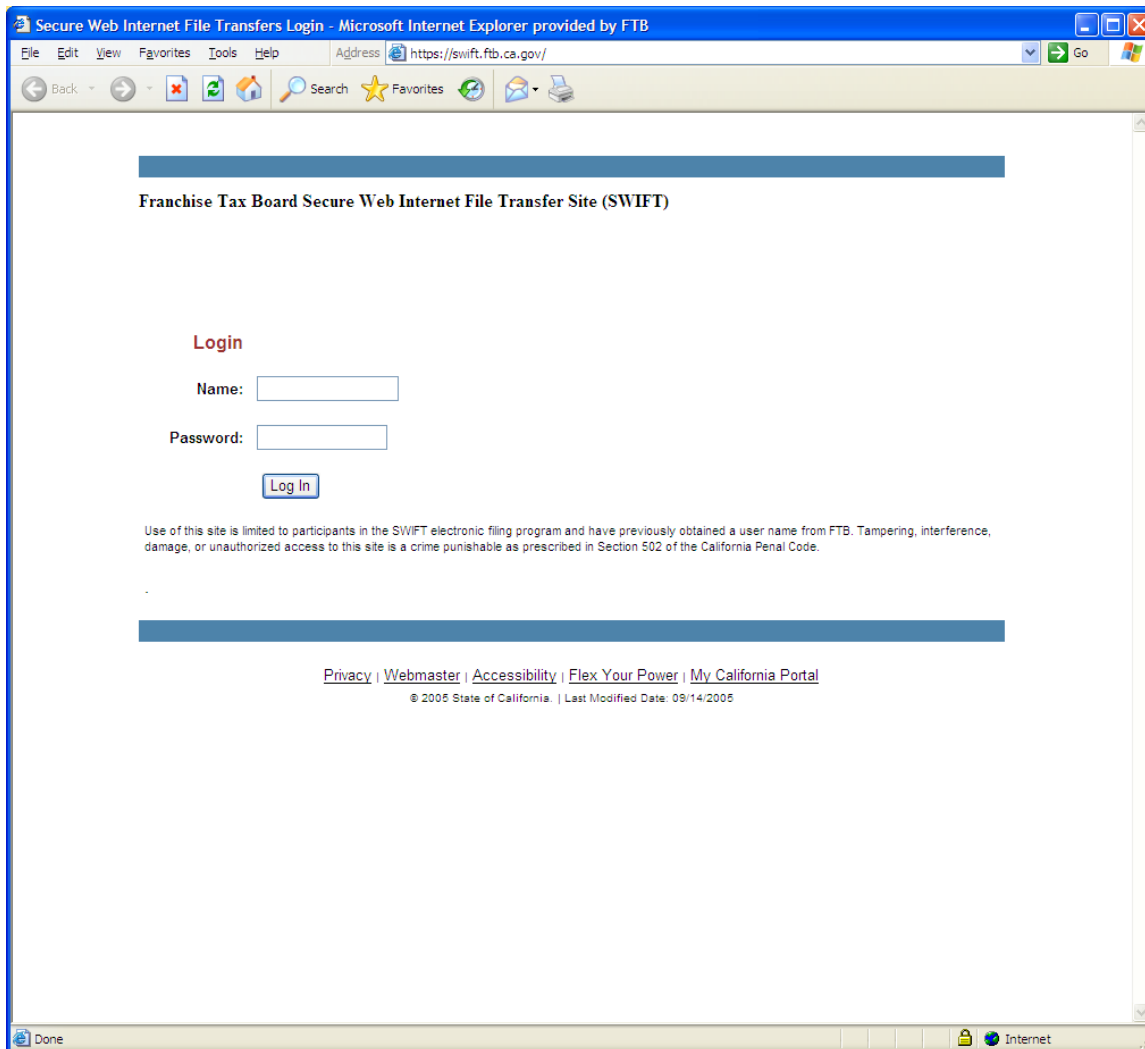
URL Names

1. FTB only accepts https and ftps protocols.
2. FTB does **not** accept file types with the following extensions:
.wav; .mov; .iso; .ai; .avi; .mpeg; .mpg; .scr; .vbs; .exe; .com; .dll; .bat; .pif; .cpl
3. Depending on the protocol, use your browser to:
 - Connect via the Web at: <https://swift.ftb.ca.gov>
 - Connect via FTP at: <ftps://swift.ftb.ca.gov>

Note: If you are using the ftps protocol and your business has a firewall, the passive port range 1024 – 2023 must be open for outbound connections. These ports are in addition to ftp control port 21.

Logging In

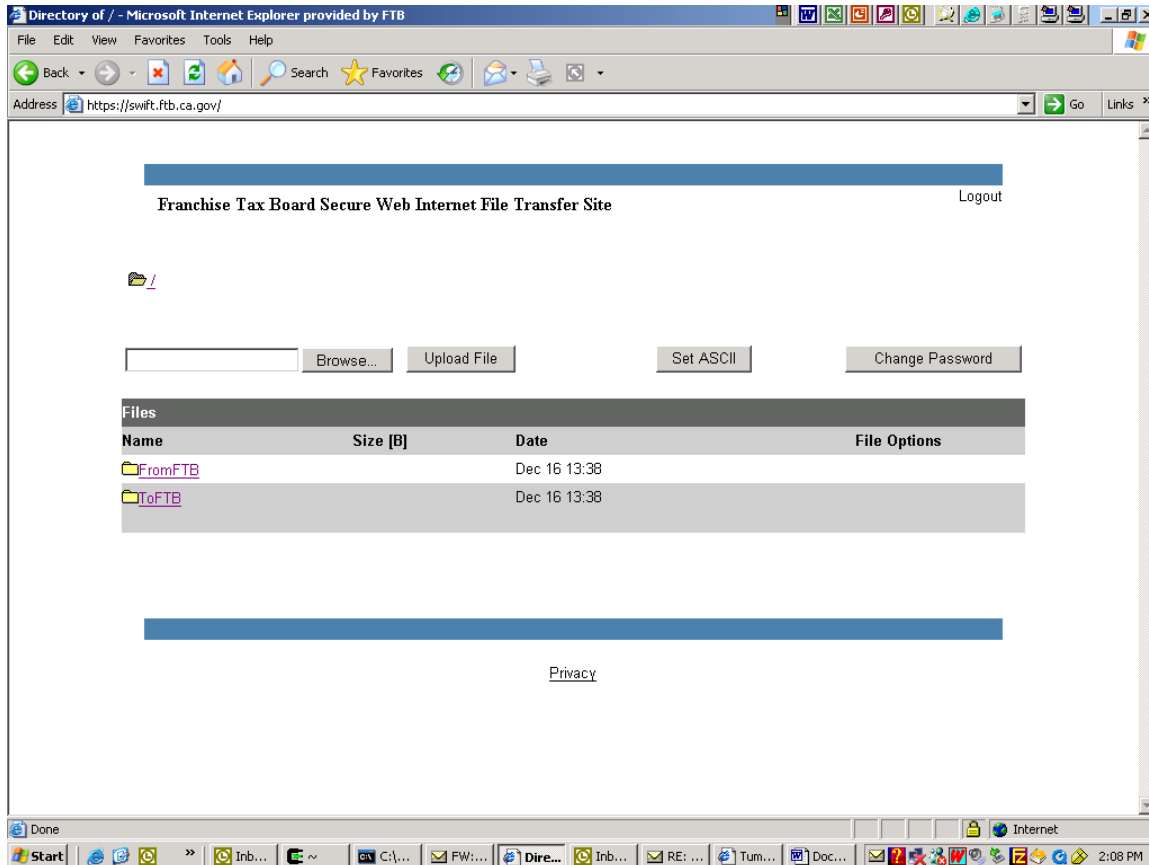
1. After you access the appropriate URL, you will be presented with the SWIFT Login Screen (see sample below).
2. The first time you access the SWIFT system, you will enter the user name and password we provided you, then you will be prompted to change the password to a self-selected one.
3. After changing your password, you must log back in.
4. For all subsequent logins you will use the user name we provided and the password you selected.



The screenshot shows a Microsoft Internet Explorer browser window titled "Secure Web Internet File Transfers Login - Microsoft Internet Explorer provided by FTB". The address bar displays "https://swift.ftb.ca.gov/". The main content area features a blue header bar, followed by the text "Franchise Tax Board Secure Web Internet File Transfer Site (SWIFT)". Below this is a "Login" section with two input fields: "Name:" and "Password:". A "Log In" button is positioned below the password field. A disclaimer text is located below the button, stating: "Use of this site is limited to participants in the SWIFT electronic filing program and have previously obtained a user name from FTB. Tampering, interference, damage, or unauthorized access to this site is a crime punishable as prescribed in Section 502 of the California Penal Code." At the bottom of the page, there are links for "Privacy", "Webmaster", "Accessibility", "Flex Your Power", and "My California Portal", along with the copyright notice "© 2005 State of California. | Last Modified Date: 09/14/2005". The browser's status bar at the bottom shows "Done" and "Internet".

SWIFT Main Screen

1. After you have entered your user name and password, you will be presented with the SWIFT main screen (see sample below).
2. This screen displays the files you have access to (your mailboxes) and links to user functions you have access to.



3. The folder icon at the top left of the screen is used to navigate from one mailbox to the other.
4. Logout button at the top right of the screen logs you out of SWIFT.
5. The Browse button browses your computer to select files for upload.
6. The Upload File button initiates the upload from your computer.
7. The Set ASCII button allows you to change the transfer mode from binary to ASCII and back.

NOTE: The default is binary.

SWIFT Main Screen Continued

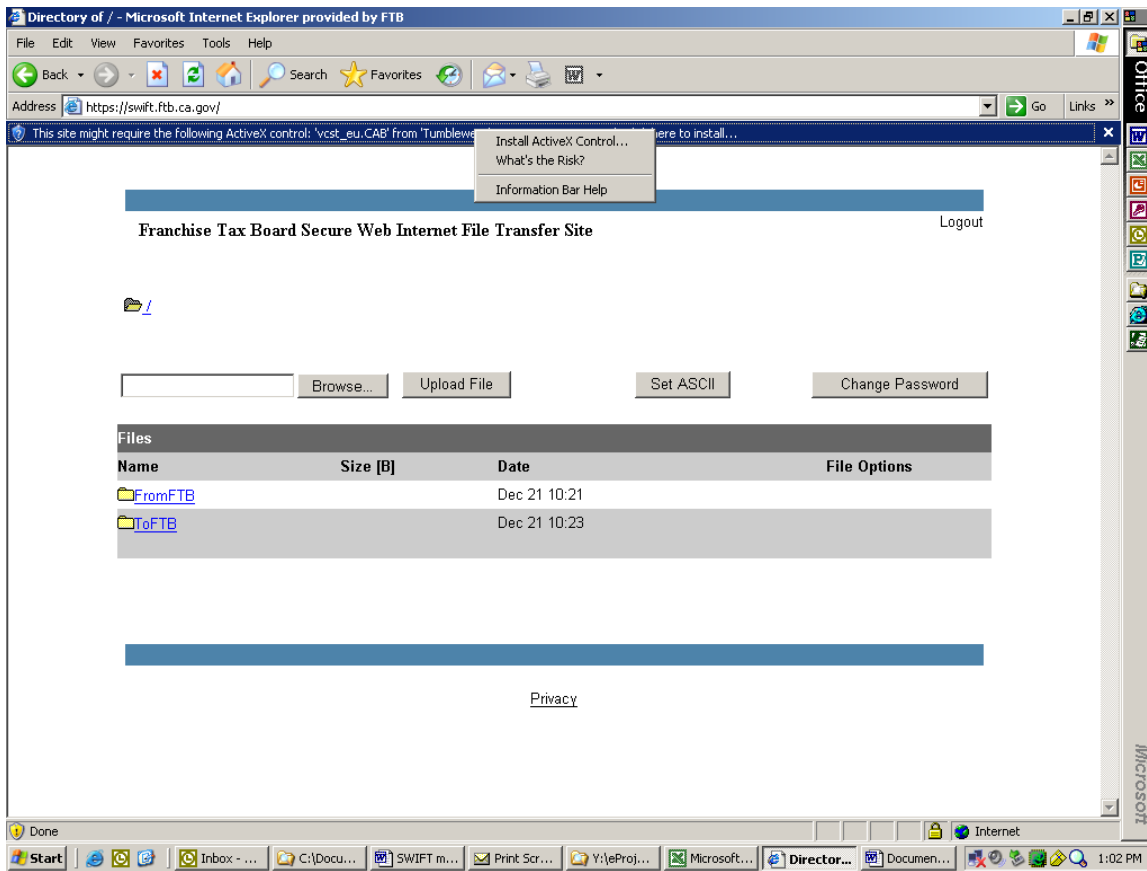
8. The Change Password button will bring up the screen to change your password
9. Your mailboxes are listed in the center portion of the screen under “Files”.
 - **ToFTB** – the mailbox you will place your transmission files in.
 - **From FTB** – the mailbox you will retrieve FTB generated Transmission Receipts from.

Active X Component

SWIFT is a secure Internet application, if you are using a Windows system you will get the security pop-up screen regarding secure and non-secure pages for every page you access in SWIFT. To prevent this from happening, you can download an Active X component provided by Tumbleweed Communication Corp., the software that FTB uses for SWIFT. This component only works when you are logged in to the SWIFT system, it has no effect on any other Internet pages, services or applications you may access.

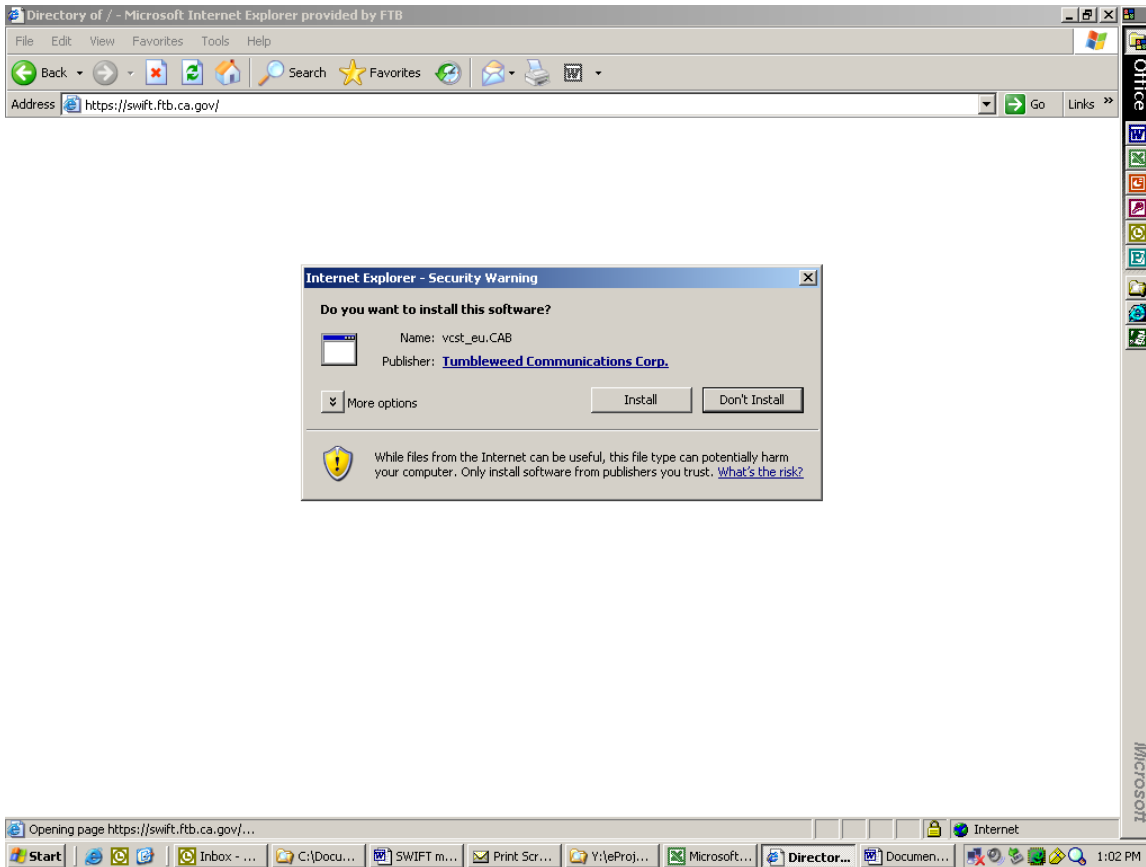
An additional service offered by the Active X component, is a progress bar during upload, a message telling you if the upload is successful and the ability to pause and re-start the upload.

The screen below shows the message that will display after you login offering you the option to install or not install the Active X component.



Active X Component – Installation Options

You can click on the “More Options” button or simply click “Install”.

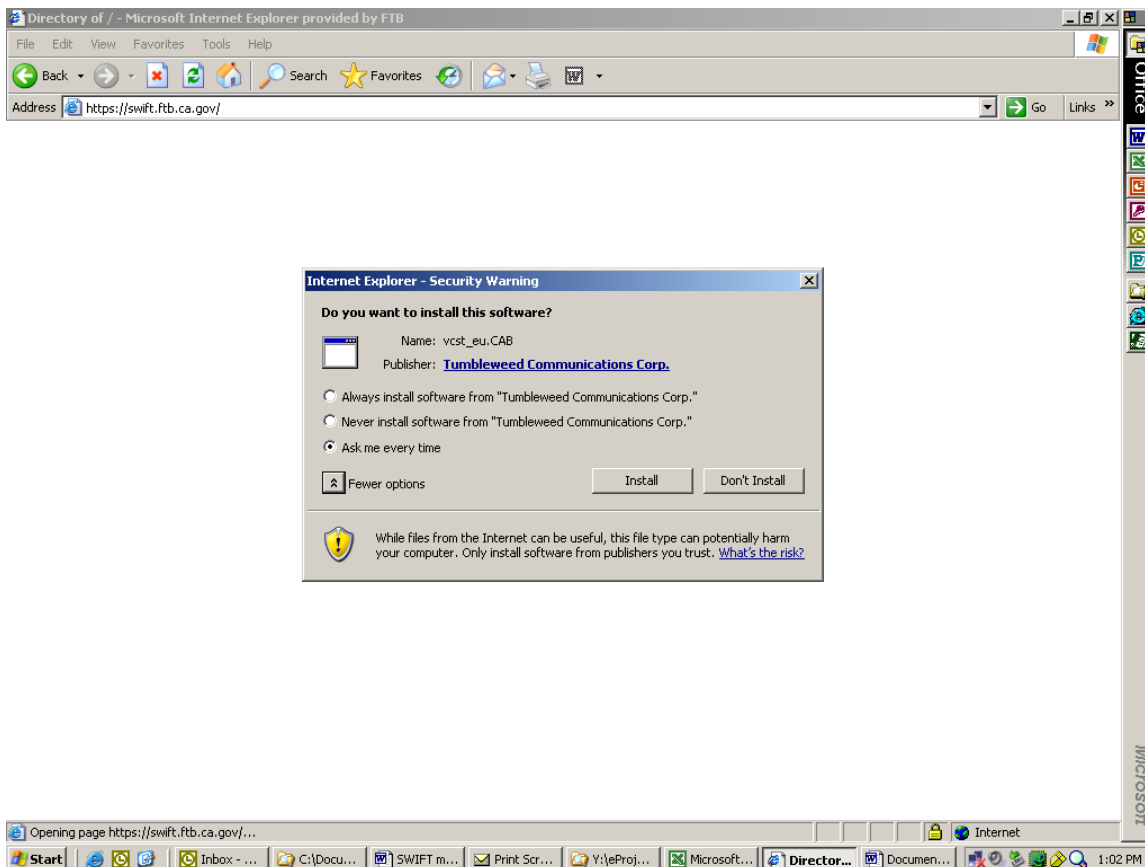


After the Active X component has been installed on your system, you can delete it at any time using your Internet tools menu.

Active X Component – Installation Options Continued

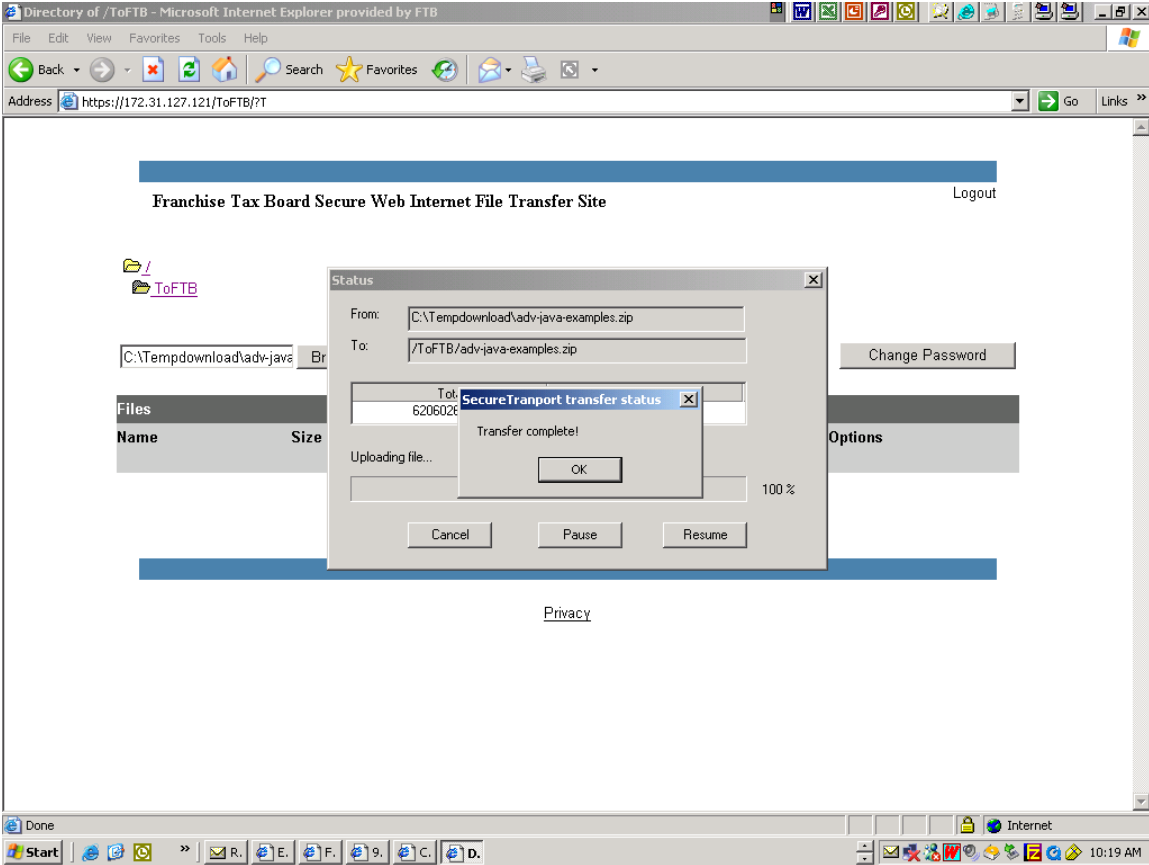
If you select “More Options”, you will be presented a screen with three radio buttons:

1. Always install software from “Tumbleweed Communications Corp”
 - Clicking on this choice will download the Active X component and you will never receive the Secure/Non-secure pop-up window when you access SWIFT.
2. Never install software from “Tumbleweed Communications Corp”
 - Clicking on this choice will not allow the Active X component to be downloaded and you will receive the Secure/Non-secure pop-up window every time you access SWIFT.
3. Ask this every time
 - Clicking on this choice will result in your having to install the Active X component every time you access SWIFT.



Active X Component – Progress Bar

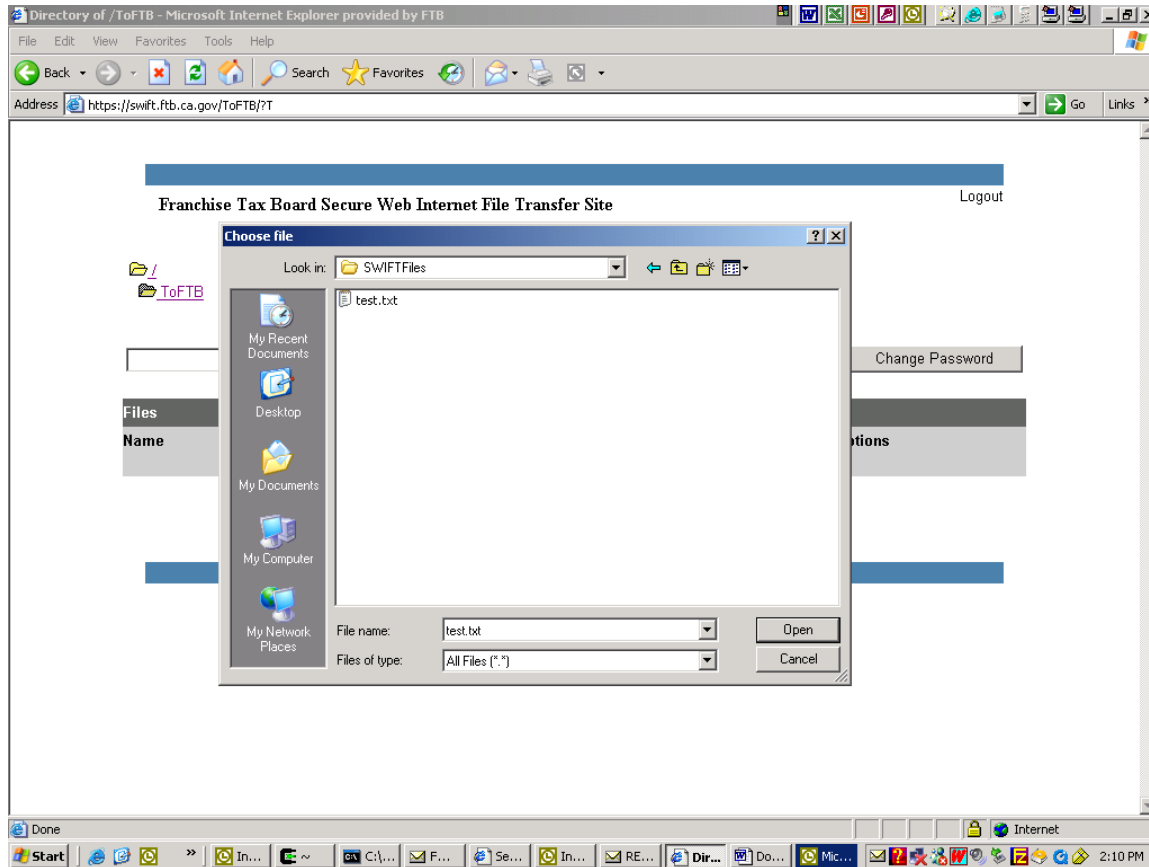
This screen shows an example of the progress bar and the message you will get letting you know if the file upload was successful or failed.



Submitting a Transmission File

1. From the SWIFT main screen:

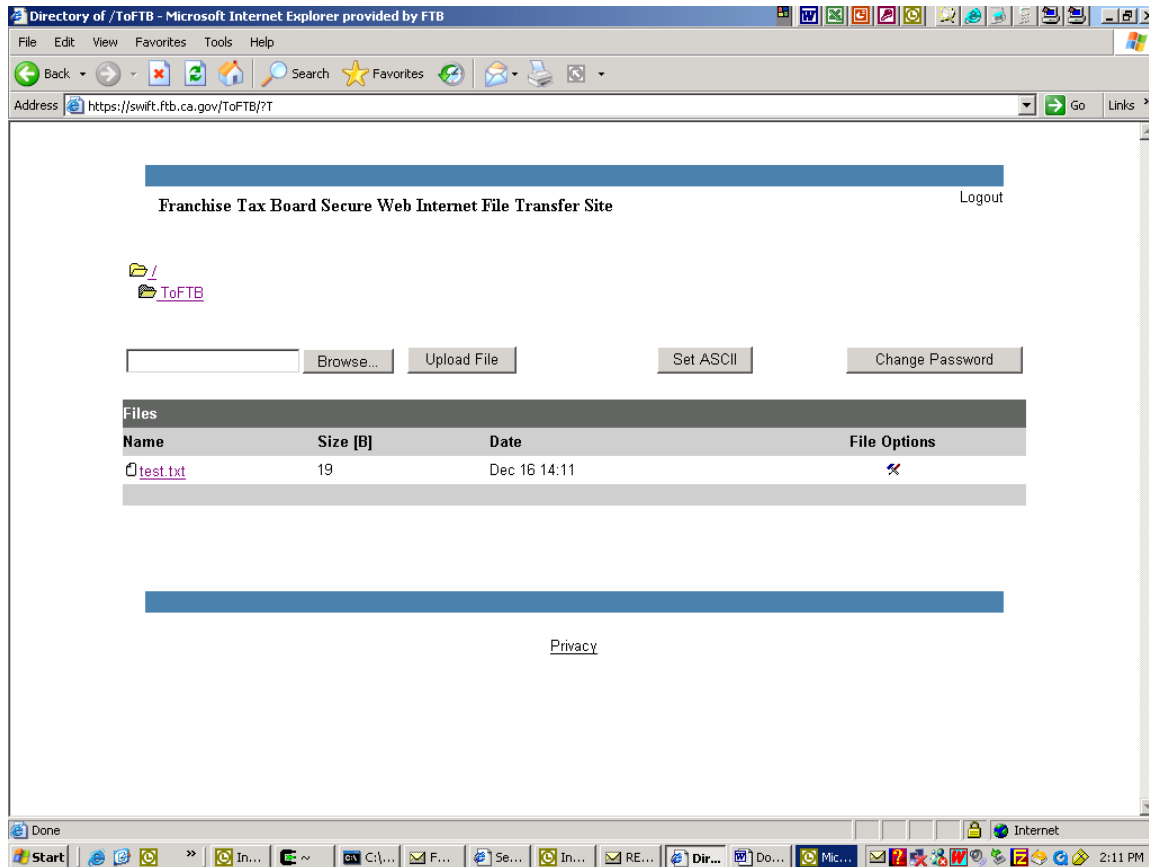
- Select the ToFTB folder
- Click “Browse” to view the files on your computer



- Select the file to be uploaded
- Click “Upload File” button

Submitting a Transmission File Continued

2. The screen below shows an example of a ToFTB mailbox containing an uploaded file.



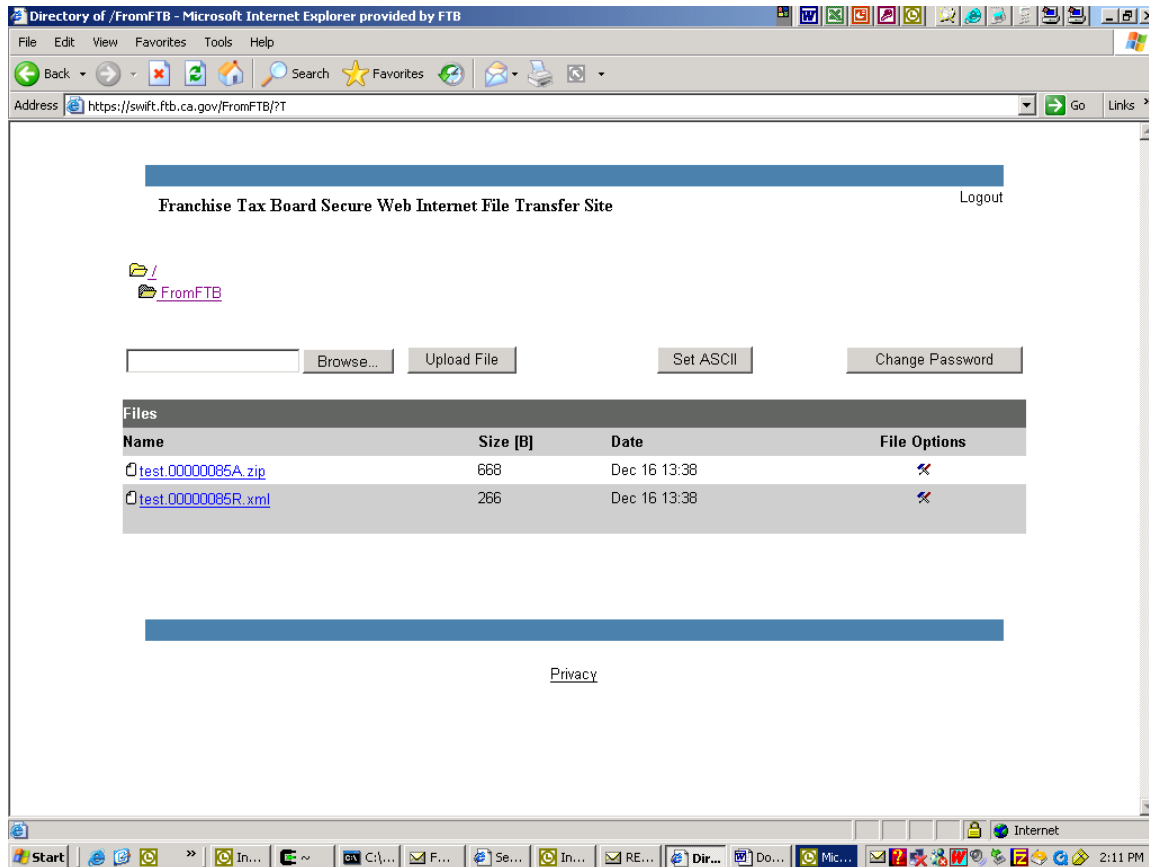
3. Once FTB processes the file, it is automatically deleted from your ToFTB mailbox.

4. After successfully transmitting a file, you can:
- Transmit another file,
 - Logout, or
 - Go to your FromFTB mailbox to retrieve files.

Note: Once a file is uploaded, you cannot delete, download or view it. If you have transmitted a file in error, contact your FTB representative or Help Desk for assistance.

Retrieving Receipt Files

1. From the SWIFT main screen:
 - Click on the FromFTB mailbox.
2. Find the file you wish to retrieve from the list under “Files” in the center portion of the screen.
 - Click “File Options” to the right of the file name.
 - Select “Text Plain” to download the file.

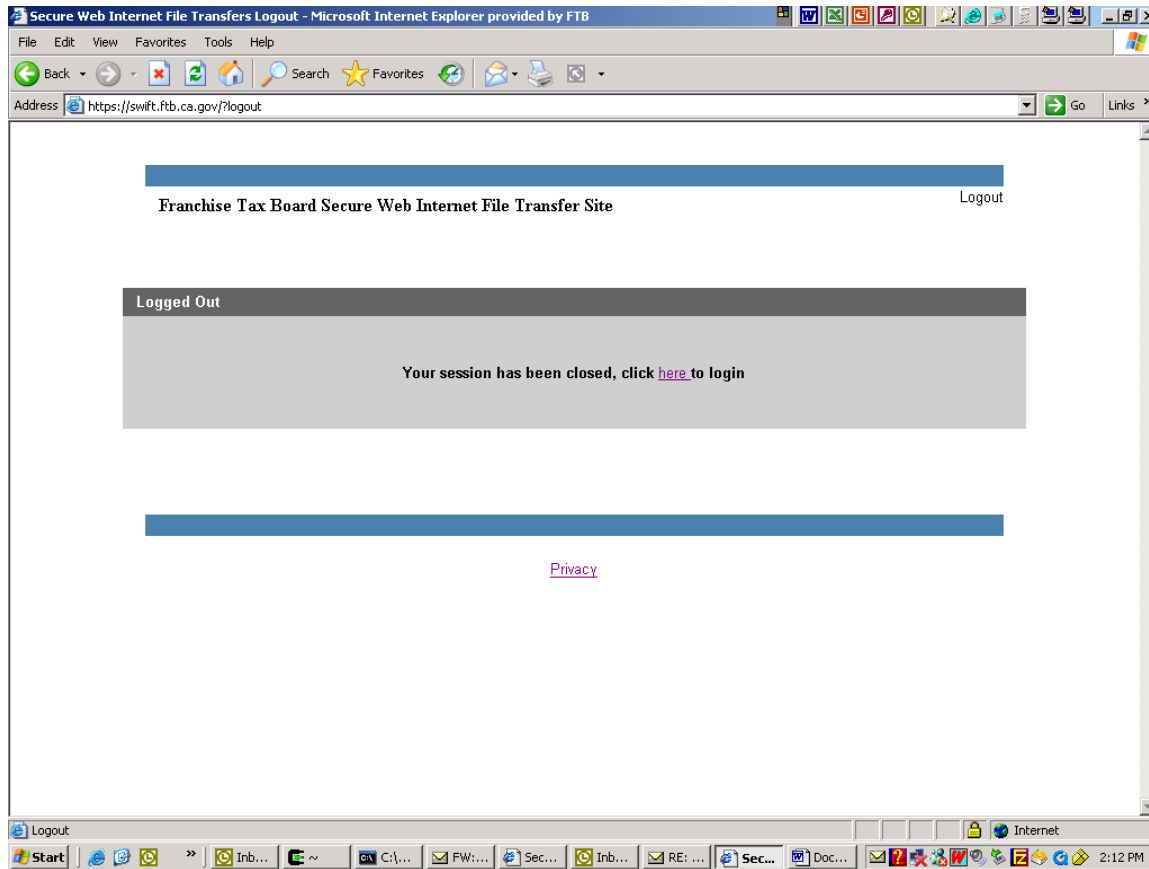


3. You can also delete a file without downloading or viewing it by clicking “File Options” and selecting the “Delete” option.
4. Any file you have viewed or downloaded during each session, will be automatically deleted from your FromFTB mailbox when you logout.

Logging Out

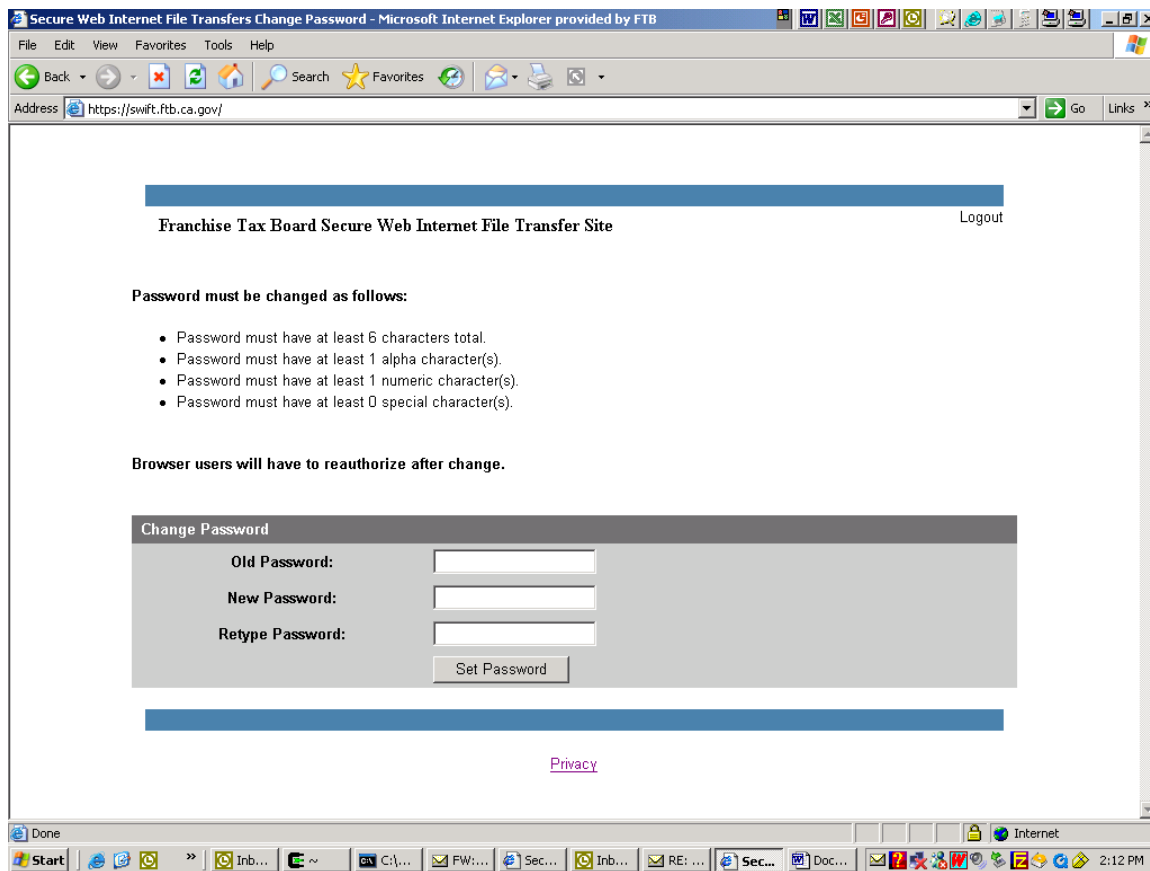
Always click the “Logout” button in the upper right of the screen before closing your browser.

Note: For full security assurance you should completely shut down your browser after logging out of the SWIFT system. It is possible to spoof the browser into bypassing the user authentication process and establishing a connection without using a valid user name and password.



Changing Your Password

1. The first time you access SWIFT, you will be required to change your password from the one issued by FTB to a self-selected password.
2. FTB also requires that you change your password annually. The SWIFT system will prompt you when your password has expired.
3. You also have the option of changing your password at any time. Simply click the “Change Password” button on the main SWIFT screen.
4. After changing your password, you must log back in.



Password Problems

Password expired – FTB security regulations require that you change your password annually. You will be presented with the Change Password. Simply change your password and you will be able to use the system.

Account locked or disabled – You must contact your FTB representative or Help Desk to get your user name re-activated.

Login error – You typed your user name or password incorrectly. If you re-enter the information and continue to receive this error, contact your FTB representative or Help Desk for assistance.

Can't remember your password - Contact your FTB representative or Help Desk.

Contact Information

For questions or suggestions regarding this publication, contact:

Data Exchange, MS A-10
Franchise Tax Board
PO Box 1468
Sacramento, CA 95812-1468

If you have any questions or problems using the SWIFT system, you must contact your FTB representative or Help Desk.