

VISION

VISION User Guide—For Filers

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The VISION system, a web-based application, helps customers comply with the policies and procedures of the National Association of Insurance Commissioners (NAIC) as expressed in the Purposes and Procedures Manual of the NAIC Investment Analysis Office. The Securities Valuation Office (SVO) and Structured Securities Group (SSG) together comprise the two departments of the Investment Analysis Office (IAO). The SVO maintains a database of insurer-owned securities to which they have assigned an NAIC designation and a price (together called Association Values). Association Values are produced by the SVO solely for use by NAIC members. These members, acting in their capacity as state officials, may incorporate the research produced by the staff of their Association as official regulatory policy. However, state regulators have statutory duties that may require them to incorporate a variety of factors in addition to or in lieu of the research produced by the staff of their NAIC source for Association Values assigned by the SVO to the securities reported by insurance companies.

VISION features

- Security dashboard that summarizes securities of interest to you into groupings to help you quickly identify their status.
- Real time status of your filings so you can monitor where they are at in the filing life-cycle including visibility of VOS security filings submitted by others.
- Summary view of securities with drill down functionality to issue details.
- Real time approval and expiration dates for Qualified U.S. Financial Institutions, mutual funds and counterparty approvals.
- Available action buttons so you know what types of filing transaction you may submit (e.g., initial, annual).
- Document management capability that does not require you to submit an issuer level document if the NAIC has already accepted it.
- Pre-population of filing data from vendor feeds that reduce errors and increase efficiency.
- Ability to review your filing details after you submit it.
- Search capabilities by Security Identifier or issuer with expanded data.
- Estimated billing costs upon filing submission.

Statement of confidentiality

The information in the NAIC's Valuation of Securities (VOS) Database is confidential and is maintained for the benefit of NAIC members, who are the chief insurance regulatory officials in the states and territories of the United States. It is inappropriate and inadvisable for unauthorized users to seek access to or use the information contained in the VOS Database. The following relevant material is reprinted from the *Purposes and Procedures Manual of the NAIC Investment Analysis Office*:

Section 5. statement of practice

The SVO routinely receives financial information, legal documents and other data from reporting insurance companies so that it may assess the reported investment for the NAIC. While the NAIC is not a guarantor of the confidentiality of information submitted to the SVO, the SVO does not redistribute documents obtained in the course of its work for other than regulatory purposes or as may be required by law. The NAIC does, however, respect copyright and will not reproduce or externally distribute copyrighted documents without permission.

Contact information

Questions about becoming a user of the system, or regarding your company's account and billing should be directed to:

National Association of Insurance Commissioners VISION Administrator 1100 Walnut Street, Suite 1500 Kansas City, MO 64106 Phone: (816) 783-8500 Email: <u>securitiessupport@naic.org</u>

Questions about individual securities should be directed to:

National Association of Insurance Commissioners Capital Markets & Investment Analysis Office One New York Plaza, Suite 4210 New York, NY 10004 Phone: (212) 398-9000 Fax: (212) 382-4207 Email: <u>svoinquirydesk@naic.org</u>

NOTE: Securities are assigned to analysts based on SIC Code (Corporate Department) or their filing type (Municipal and Structured Departments). A complete list of analysts and their assignments is posted at <u>http://www.naic.org//documents/sec_rat_contacts.pdf</u>.

System requirements

VISION performs optimally under Microsoft Internet Explorer versions 8, 9, 10 and 11 and under the major versions of Firefox (i.e. v23+). For optimal system viewing it is recommended that your screen resolution be set to 1920 x 1080. Customers will not be required to load any software onto their PCs.

Users must have a valid ID and password to use the system. To obtain a User ID and password, please submit the New User Account form.

Support hours

VISION is available at <u>https://vision.naic.org/</u>. Due to the nature of the Internet, the system is available nearly 24 hours a day, seven days a week. However, the official system hours are 8 a.m. to 5 p.m. CST. The system is not available during periods of scheduled maintenance and updating, such as the first business day of the month or any time system maintenance may be required. Maintenance and update periods are posted on the Bulletin Board to let you know when the database will be unavailable.

System support is provided by the NAIC Service Desk, the VISION Administrator, and other NAIC staff as necessary. Support hours are Monday through Friday, 8:00 a.m. to 5:00 p.m. CST, excluding holidays and/or other periods of time when the NAIC offices may be closed.

Billing information

Filing billing is set at the company level and determined by which company the filer selects to complete the filing on behalf of. Each company should determine their preferred billing method from one of two options when their account is setup.

- 1. Bill the filer for any filing they complete*
- 2. Bill one primary contact at the organization for all filing's submitted by any filer

* Default selection if one has not been selected by the company.

Terms of use

The NAIC has created a computer platform called VISION which will permit you to file with the NAIC information, documentation, and data about an investment security owned by a US domiciled insurance company. The NAIC owns VISION as well as the information, documentation, and data in VISION.

If you accept these Terms of Use and provide the documentation discussed below to the NAIC, the NAIC will grant you a non-exclusive, non-transferable license to access VISION for the purpose discussed above.

If you are an insurance company representative other than a third party administrator (TPA), you agree to use VISION only to file an investment security owned by that insurance company and/or that insurance company's US domiciled insurance company subsidiaries and affiliates. If you are a TPA, you agree to use VISION only to file an investment security owned by a client that is a US domiciled insurance company and/or that insurance company's US domiciled insurance company subsidiaries and affiliates.

If you are a TPA you agree to: enter into the NAIC's form of Client Agreement; provide the NAIC a list of clients and each client's subsidiaries and affiliates for whom you will access VISION and pay for all filings made on behalf of any client. If you are an insurance company representative other than a TPA, you agree to identify each subsidiary and affiliate for whom you will access VISION and to pay for all filings made on behalf of such subsidiary or affiliate.

You acknowledge that NAIC Designations are not represented to be market substitutes for/or functional equivalents of the credit ratings of NRSROs or other public credit rating agencies. You agree not to make any statement about NAIC Designations to the contrary.

NAIC MAKES NO WARRANTY OR PROMISE, EITHER EXPRESS OR IMPLIED, WITH RESPECT TO "VISION" OR THE INFORMATION CONTAINED THEREIN. NAIC EXPRESSLY DISCLAIMS THE IMPLIED WARRANTY OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE.

If you use VISION to file an investment security not actually owned by a US domiciled insurance company or its US domiciled insurance company subsidiary or affiliate; fail to provide the required documentation; fail to pay for the filings made on behalf of any client or if you represent that an NAIC Designation is a credit rating, this agreement will be terminated and you may be subject to legal action.

If you agree with these Terms of Use and agree to be bound by them, click on "AGREE."

LOGGING INTO VISION

You log into VISION by performing the following steps.

- 1. Open an internet browser.
- 2. Enter: https://vision.naic.org/
- 3. The NAIC Login Window will display (see example below).
- 4. In the login window, enter your user name and password. Note: The password is case sensitive and appears as an asterisk (*), when each character is entered.

If you do not have a user id and password, complete and submit the VISION Account form listed on the SVO website at <u>http://www.naic.org/svo.htm</u>, so that a VISION Administrator can complete your setup.

5. Click on the yellow Login button.

Username	Enter your username
Password	Enter your password
	Login
	Forgot your password? Click Here.
🔀 Em	Need assistance with logging in? ail Support 🍆 Call Support: (816) 783-8500
By lo	gging in, you agree to the NAIC's Terms and Conditions.

Agree to terms

Review the terms and select 'Accept' to access the application.



Message Center

The Message Center will provide filers with alerts for Information Request, Filing Updates and Notes sent on a security on their dashboard or for a filing they submitted.

• Click on the Filing Number to access filing, then click on Notes to view message.

Ô V	VISION Welcome									
Messa	ge Center Dashboard	My Security Filings	SCA Filings	My Counterparties	My Counterparty Filings					
• Mes	ssage Center									
Total number Note: Notifica Mark As	of unread notifications: 176 fions in the message center will be auto Read Mark As Unread	matically deleted after 4 days.								
SELECT	NOTIFICATION TYPE			FILING	NUMBER ¢	FILING TYPE \$	SUBMISSION TYPE \$	FROM	DATE CREATED *	
	Filing has been disposed			101191		Counterparty	Annual Filing	PRISM VisionAnalystCP Robert Wa	05/16/2017	
	Filing has been disposed			1011910		Counterparty	Initial Filing	PRISM VisionAnalystCP Robert Wa	05/16/2017	
	Filing has been disposed			1011909		Securities	Initial Filing	NAIC Test Acct VisionAnalystMuni.	05/16/2017	
	Filing has been disposed			1011908		Securities	Initial Filing	NAIC Test Acct VISIONANALYST1 .	05/16/2017	
	Filing has been disposed			1011903		Securities	Appeal Annual Filing	NAIC Test Acct VISIONANALYST1 .	05/16/2017	
	Filing has been disposed			1011906		Securities	Appeal Initial Filing	NAIC Test Acct VisionAnalystMuni.	05/16/2017	
	Filing has been disposed			1011904		Securities	Renumbering Request	NAIC Test Acct VISIONANALYST1 .	05/16/2017	
	Filing has been disposed			1011902		Securities	Pricing Request	NAIC Test Acct VISIONANALYST1 .	05/16/2017	
	Filing has been disposed			1011893		Securities	Material Change	NAIC Test Acct VISIONANALYST1 .	05/16/2017	
	Filing has been disposed			1011899		Private Letter Rating	Initial Filing	NAIC Test Acct VISIONANALYST1 .	05/16/2017	
	Filing has been disposed			1011893		Private Letter Rating	Initial Filing	NAIC Test Acct VISIONANALYST1 .	05/16/2017	
	Filing has been disposed			1011890		Private Letter Rating	Initial Filing	NAIC Test Acct VISIONANALYST2 .	05/16/2017	
	Filing has been disposed			1011893		Securities	Annual Filing	NAIC Test Acct VISIONANALYST1 .	05/16/2017	
	Filing has been disposed			101189-		Private Letter Rating	Initial Filing	NAIC Test Acct VISIONANALYST2 .	05/16/2017	_
	Filing has been disposed			1011893		Securities	Initial Filing	NAIC Test Acct VisionAnalystMuni.	05/16/2017	DVLP

				VISION U	ser Guide—Filer
					To view the message, click Notes.
Message Center Dashboard My Security Filings SCA	Filings My Counterparties My Counterpa	rty filogs		Notes (1) Expert Filery Index	rulot
OJSP Homakon	B Ramber of actifications marked as read 1				
CUSP 44/CB103	Q. Same				
Insur Desc. SHORT-TELEVISION SUIT, M.IN SD-CTF R.	Industry Code 6726 - UNIT INV TR, CLOTESI-END MONT	Filing Year 2016	Date Acquired 454520814	Financial Analysi Kame Scott William	
Designation Source To Se Filed With SVO Compan Rate 8 100	Trigger Language Yes	State lossessor Requiriled No	Accounting Standards U.S. GAAP		

VISION Dashboard differ by type of user

After the login information is entered, the page displayed to you will be dependent on the type of user you are. Below are some examples of what these pages look like.

Insurance company or third party administrator (TPA) dashboard

ler dashboard: DEFAULT	0		Q	Entire Dashboard			ar o Search	tear CUSP	or tissuer #	Q 56
Securities is your dashformed	Filer Dashboard	L DEFAULT, with 18	Hemisi has been remined.							
in VOS Not in VOS	Groupings All	CUSIP 0	lanuer Name. 9	hour Desc 0	Designation Source	fasue Disposition	Maturity Date 0	Marked as Called Date	Coupon Rate 0	Available Actions

Asset dashboard

Dathboard Mail	Annual Funds My Minuel Fund Flings				ľ		
My Mutual Funds							
and Name 1	Fund Complex Name 1	CUSP #	Construct Notes. Nav (CIN) 1	Classification 1	Date Aggreered 1	Onto Express 1	Available Actions 1
5400HE # 19, 772	ARE E MANAGEMENT LLC	345451204	10110210	VE Devel Dispanors Full Fath Credit			fex actions available
IG PASSTHRU CTF CL. 79444	ARES MANAGEMENT LLC	873889904	0738898046	Util Direct Obligations Full Failth Credit			No. arbima available.
AND HE # TR 326	ARES MANAGEMENT LLC)ataberes	3454597938a	US Devid Obligations, Full Faith Credit,	06/172518	16002016	No active available.
Avenich et 198, 177 5	WHER INVALUENTIALC	345458208	\$234be1231	UE Devid Offigations Full Faith Credit	06/20/2016	06/00/2017	No actions analastia
NAIC	Not Counted Miles 1 Address NATI Facestee Miles 0 1/00 Mean/Miles Personan Address Miles 0 504 100	Fair: (010) 703-0175 Fair: (010) 703-0175 Harrison Fraing					

General navigation tips

- DO use the tabs in the blue ribbon at the top of the application to navigate to different pages.
- DO use the Back and Next buttons in the application.
- DO NOT use the browser back button.

GETTING STARTED AS AN INSURER OR TPA

Summary steps

- 1. Create and manage your dashboards
- 2. Load the securities you are interested in to your dashboard
- 3. Identify the status of your securities so you know what actions to take
- 4. Initiate and submit a filing
- 5. Check on the status of your filing
- 6. Respond to any Information Requests

Create and manage Filer Dashboard

To access the Manage Filer Dashboard click the highlighted icon below on the dashboard to bring up the menu.

NATC National Association of Insurance Commissioners				
T VISION				
Dashboard My Security Filings S	SCA Filings	My Counterparties	My Counterparty Filings	
Filer dashboard: DEFAULT	0			Q Entir
+ Hide Filters				
Securities in your dashboard	Groupings	CUSIP ≎	Issuer Name ≎	
In VOS				
Not In VOS	No search re	sults found.		

The Manage Filer Dashboard window opens with a DEFAULT dashboard and the following options:

- Select to select a dashboard
- Add Issues to add securities to a dashboard
- Replace to replace the securities in a selected dashboard
- BULK UPLOAD to add securities to many dashboards with one file
- Download the Security Identifier download a dashboard to Excel
- New Folder to create a new dashboard
- **Delete** to remove a dashboard

1. Select	+ Add Issues	A Replace	L BULK UPLOAD	A Download CUSIPS	🗅 New Folder	1 Delete	
Current F	iler Dashboard						
DEFA	ULI						
change to) <mark></mark>						
DEFAU	LT						-
							Done

To create a new dashboard

Select 'New Folder and type the name for the dashboard. Then select 'Choose' to open the dialogue box and select the text file containing the Security Identifiers to add to that dashboard.

, Select	+ Add Issues	A Replace	L BULK UPLOAD	Lownload CUSIPS	🗅 New Folder	🖻 Delete	
Enter a	new folder name.	***					
Test Da	shboard	1					
+ Choo	ose 🦻 J Upload	@ Cancel					
	tet flag are allowed	d with a maxim	un fla sins af 240 KP				
	txt files are allowed	d with a maxim	ium file size of 340 KB.				

Upon adding the securities, you will receive a message showing the number of securities that were added to that dashboard.

T Select	+ Add Issues	A Replace	BULK UPLOAD	Lownload CUSIPS	C New Folder	î Delete	
Enter a	new folder name						
Test Da	shboard						
 7 + Choi 	items have been o ose J Upload	added to your	dashboard.				
	tyt files are allowe	d with a maxin	num file size of 340 KB				



To select a dashboard

Click the 'Select' button then click the drop down arrow in the menu to pick a dashboard.

	± Select + Add Issues ▲ Replace ± BULK UPLOAD & Download CUSIPS ⊡New Folder @Delete	
My Counter	Current Filer Dashboard	
d o	Test Dashboard	# Clea
	change to	Seatch by
gs Cl	Test Dashboard	aturity Date M
-	DEFAULT Test Dashboard	2 6
		Cone
4		1/01/2026
100	BIDIDA CALEODRIA COMMENTY SE CAMPTY FARS NO 42 FASTUALE TA BA FINA WIRK ST	00.0001/2020

You will then see the name of the dashboard on your dashboard page.

iler dashboard: Tes	st Das	hboard 👳		QE	ntire Dashboard	
Hide Filters						20.5 7.2
Securities in your dashboard	0	Groupings	CUSIP ©	Issuer Name O	Issue Desc ¢	Designation Sourc
In 1/08	-	All	-			
in vos			482097X49	JURUPA CALIFORNIA COMMUNITY SE	CMNTY FACS DIST NO 42-EASTVALE	To Be Filed With SV
Not In VOS						
Not In VOS	0		482097)(80	JURUPA CALIFORNIA COMMUNITY SE	CMNTY FACS DIST NO 42-EASTVALE	To Be Filed With St
To Ba Edad With SVO			515282EZ0	LANE CNTY ORE SCH DIST NO 001 PL	SER A	To Be Filed With SV
			M9T65V3W7	VONTOBEL FINANCIAL PRODUCTS LTD	3.3 % (6.38 % P.A.) REVERSE CO	To Be Filed With SV
			W/2528+245	SYAMDINAVISYA ENSKI DA BANKEN	EXCHANCE TRADED NOTES 2014 10	To Re Edud Mak Cl

Add Issues to your dashboard

After selecting the dashboard, click the 'Add Issues' menu and select 'Choose' to open the dialogue box to select the file of securities to add and click 'Upload'.

T Select	+ Add Issues	A Replace	L BULK UPLOAD	& Download CUSIPS	C New Folder	2 Delete		
Select the fi	le containing is	sue identifier	to add to the curren	t dashboard folder				
+ Choose	J. Upload	@ Canosi						
	OO	 Desktop + New folder 	u		• 49	Search Desk	top	р 0
	Organize	 New folds Ites Itep 	u	Name	•1	Size	Item type	
at Street. 9 MO 64106-2197	Market Cree	ent Places Data ative Cloud Files		Computer		1,395 KB	WinZip File	
	E Deskt	op		Bulk upload.bt		1 KB	Text Document	
	Distance in the second	aries ocuments		Dashboard.txt	DRI	1 KB	Test Document	
	- N M	lusic		Dashboard2.txt		1 KB	Test Document	-

Once your file has been uploaded successfully you will see a message telling you how many items were added to your dashboard.

L Select	+ Add Issues	A Replace	L BULK UPLOAD	Lownload CUSIPS	C New Folder	1 Delete	
Select the	file containing is	ssue identifier	s to add to the current	dashboard folder			
8 0	itams have been	added to your	daebhoard				
0 4	items have been	added to your	uasinoara.				
+ Cho	J Upload	@ Cancel					
Note: only	.txt files are allow	ed with a maxin	num file size of 340 KB.				

Replace

This option will enable you to upload a new file to replace all of the securities in that dashboard by selecting the 'Choose' button and opening the dialogue box to select the replacement file.

arning:Uploading a replacement file will replace ALL existing issues in this filer dashboard folder.					• Add Issues	L Select
	ard folder.	ssues in this filer dashb	I replace ALL existing i	acement file wil	g:Uploading a repla	Warning
Choose J Upload O Cancel				⊘ Cancel	se 🦻 J Upload	+ Choos
and the first and with a manimum fill size of 240 VP			um file eine of 240 I/P		tot flag and allowed	lata ank

BULK UPLOAD

Select this option to upload one single file to make changes to all dashboards included in your file.

Note: that the dashboard name must appear in brackets in your upload file, and all securities for that dashboard will immediately follow it below.

B	ulk upl	oad.txt - N	Notepad	l)
File	Edit	Format	View	Help
[DEF	AULT	.]		
D105	AC77	4		
D105	AC78	2		
D105	AC/9	0		
D105	AC80	6		
D105	AC81	4		
D105	AC 83	2		
D105	AC 84	ō		
D1A4	KKKF	4		
D1A4	KKKT	4		
D1A4	KKKQ	0		
D1A4	KKKR	8		
D1A4	KKKS	6		
D1A4	KKKU	1		
D1A4	KKKV	9		
DIA	KKKW	5		
D1 A4	KKKY	2		
Tes	t Da	shhoar	d]	
4820	97×4	9		
4820	97X8	0		
5152	82EZ	0		
M9TE	5V3W	17		
1.75:	12174	6		

Upon completion of processing the Bulk Upload you will receive a message showing how many dashboards were updated.

Dashboard My Security	/ Filings S	CA Filings My	Counterparties My	/ Counterparty Filings	
iler dashboard: D	EFAULT	0		Q	Entire Dashboar
+ Hide Filters					
Securities in your dashboard	0	2 folder(s)	have been replaced on	your Filer Dashboard.	
In VOS		Groupings	CUSIP ≎	Issuer Name ≎	Issue Desc ¢
Not In VOS		All	-		
Not in VOS	0		482097X49	JURUPA CALIFORNIA COM	MUNITY SE CMNTY FACS DI
To Be Filed With SVO	0		482097X80	JURUPA CALIFORNIA COM	MUNITY SE CMNTY FACS DI
			515282EZ0	LANE CNTY ORE SCH DIST	NO 001 PL., SER A

Download Security Identifier

This option enables you to download the Security Identifiers in the dashboard selected or download all dashboards into one file by checking the box for 'Bulk' and clicking 'Download'.

L. Select	+ Add Issues	A Replace	L BULK UPLOAD	Lownload CUSIPS	DNew Folder	1 Delete	
Press the	Download buttor	to save the c	usips from the curren	t dashboard folder to a	text file		
Bulk2							
Duik:							
(checkin	g this box will resu	It in ALL dashb	oard folders being down	loaded)			
	and the second						
B Dow	nload						



Note: The bulk download shows the dashboard name in brackets and all securities within that dashboard fall beneath the name. When downloading your dashboard:

- 1. Save the file to your computer
- 2. Open a new blank workbook in Excel.
- 3. On the Data tab, in the Get External Data group, click "From Text."
- 4. Browse to locate and open the .csv file.
- 5. Follow the instructions in the Import Wizard.
 - a. Mark the Security Identifier column as a "Text" column.
 - b. Complete all steps in the wizard, and click "Finish" to complete the import operation to display your Security Identifiers correctly.

Delete

Select this option to remove a dashboard from VISION.

Current Filer Dashboard	
DEFAULT	
DEFAULT	
PRESSING DELETE WILL DEMOVE THIS DASHBOARD FOLDER COMPLETELY AND CANNOT BE UND	ONE
PRESSING DELETE WILL REMOVE THIS DRAHDOARD FOEDER COMPETIELT AND CANNOT DE UND	ONL

Adding securities to your dashboard

From the Dashboard, you can search by Security Identifier, Issue number or Issue name. To search by Security Identifier:

- 1. Type the Security Identifier in the Search field.
- 2. Click Search.

		CUSIF Search by	92658TAQ1		X Q Search
	Designation Source ≎	Issue Disposition	Maturity Date ≎	Marked as Called Date ≎	Coupon Rate ≎
	In Vos				
PVD OTE OL M 7	In Man		03/75/2024		

The Issue Detail page of that specific Security Identifier displays. You can begin a filing or add the security to your dashboard.

۱ Issue Detail					➡ Back
O Information					
CUSIP 92658TAQ1	Issuer Name VIDEOTRION LITEE	Maturity Date 07/15/2022	Coupon Rate 5.000		
Designation Source In FE	issue Desc SR NT	Market Indicator	Dated Date	Issue Disposition	Marked as Called Date
-					

To search by issuer name:

1. Click the link for Search by Issuer name.



E	nter an issuer name						
ſ	Agm	<	Q Search				
-1	AGM AUTOMOTIVE LLC / T	CELAGMELC / LIGHTING ACQUIS	TIONLLC		GUSP		
	AGM CAP CORP						
	AGM INDS INC						
	AGMAT INC						15 Export
	AGMAX INC				-		
1	AUERBACH FUND AGMVK,	VADUZ		o-	Called Date	Coupon Hate C	Availabi
	AZUR INVESTMENTGESELI VADUZ	LSCHAFT AGMVK - AZUR SPECIA	AL OPPORTUNITIES FOF,		0		
	AZUR INVESTMENTGESEL	LSCHAFT AGMVK - AZUR ASIAN	EQUITY FUND, VADUZ				
100	AZUR INVESTMENTGESEL	LSCHAFT AGMVK - AZUR GLOBA	L OPPORTUNITIES FUND				
NR.	BLACKICE ENTERPRISE RI	SKMANAGMENT INC					+ Initiati
BEAR	R STEARNS COML MTG SECS T	MTG PASSTHRU CTF CL J144A	Mutual Fund	06/11/2040			
CHL	MORTGAGE PASS-THROUGH T	2005-25 MTG PASSTHRU CTF CLA-12	Structured Security	11/25/2035		5.500	
CENT	TEX HOME FOURTY UN TR	2004 B ASSET BKD CTF CL M.7	In Vos	03/25/2034			Filme In

- 2. Type the Issuer Name in the search field. After typing **three** letters, a list of Issuer Names meeting the criteria displays. The user can shorten this list, by typing more letters.
- Select the Issuer Name and click the Search button. The Search Results page displays if the Issuer Name is associated with more than one Issuer Number.
- 3. Select the Issuer Number you want. The Issuer Search Results page displays.

Dashboard	My Security Filings	My Counterparties	My Counterparty Filings
Q. Search res	sults for 'ABFS MT	G LN TR'	
Issuer Number 🗘			Issuer Name 🗘
000759			ABFS MTG LN 1
000790			ABFS MTG LN 1

4. Select all to add all securities to your Dashboard or select the individual Security Identifier.

Q Is	suer Search R Click to select	esults all Cusips		Add Selected
	CUSIP \$	lssuer Name	lssue Desc ≎	
0	00079CAA7	ABFS MTG LN TR	2000-4 MTG BKD NT CL A	
O	00079CAB5	ABFS MTG LN TR	2001-2 MTG PASSTHRU CTF CL A-1	
O	00079CAC3	ABFS MTG LN TR	2001-2 MTG PASSTHRU CTF CL A-2VAR RATE	
0	00079CAD1	ABFS MTG LN TR	2001-2 MTG PASSTHRU CTF CL A-3	
0	00079CAE9	ABFS MTG LN TR	2001-2 MTG PASSTHRU CTF CL A-4	
O	00079CAF6	ABFS MTG LN TR	2001-2 MTG PASSTHRU CTF A-IO	

Note: You can also find the Security Identifier quickly by typing the first few digits/characters of the number in the filter box under the Security Identifier field.

Da	shboard	My Security Filings	My Counterparties	My Counterparty Filings
Q Is	suer Sea	rch Results		
	CUSIP \$	Issuer Na	me	
	00079CAF			

Removing a security from your dashboard

You can remove securities from your dashboard by:

- 1. Uploading a replacement file to your dashboard that excludes the securities you want to remove.
- 2. Removing them one-by-one by clicking on the Remove from Dashboard button on the issue detail page as shown below.

کر Issue Detail				🖛 Back 💼 Ren			
Issuer Name	Maturity Date	Coupon Rate	Category	Security Type			
KRAFT FOODS GROUP INC	06/04/2042	5.000	Sovereign	Foreign Government			
Issue Desc	Market Indicat	Dated Date	Issue Disposition	Marked as Called Date			
NT144A		06/04/2012					
	Issuer Name KRAFT FOODS GROUP INC Issue Desc NT144A	Issuer Name Maturity Date KRAFT FOODS GROUP INC 06/04/2042	Issuer Name Maturity Date Coupon Rate KRAFT FOODS GROUP INC 06/04/2042 5.000 Issue Desc Market Indicat Dated Date NT1 44A 06/04/2012	Issuer Name Maturity Date Coupon Rate Category KRAFT FOODS GROUP INC 06/04/2042 5.000 Sovereign Issue Desc Market Indicat Dated Date Issue Disposition NT144A 06/04/2012 06/04/2012 Dated Date	Issuer Name Maturity Date Coupon Rate Category Security Type KRAFT FOODS GROUP INC 06/04/2042 5.000 Sovereign Foreign Government Issue Desc Market Indicat Dated Date Issue Disposition Marked as Called Date NT144A 06/04/2012 06/04/2012 Issue Disposition Marked as Called Date		

Identifying the status of your securities

There are two places you can determine the status of a security so you know what actions you can take:

- 1. From your dashboard or
- 2. From the issue detail page.

From your securities dashboard

The status of your security can be determined by several ways on your dashboard:

- The summary groupings on the left-hand side indicate the securities on your dashboard that are in VOS and not in VOS. There are subgroupings for each of these to provide additional filters (e.g., Not Currently Reviewed, Filing in Progress, Filing Exempt, To be Filed With the SVO, Modeled, US Government). You can filter your dashboard by clicking on any of these groupings.
- 2. The Available Action column on the far right-hand side of the dashboard indicates if the Security Identifier is eligible for an Initial or Annual filing. If there is a filing in progress, it will indicate that too.

Below is a summary of all the information on the dashboard with four key areas.

- A) Entire dashboard filters that group by the Security Identifiers on your dashboard into In VOS and Not in VOS.
- B) Additional filters by Information Requests, Material Changes, Renumber Requests and Pricing Requests.
- C) Security Identifier summary information, including the Security Identifier drill down capability to the issue details.

D)	Security	y Identifier and	Issuer search box.
----	----------	------------------	--------------------

Entire Dashboard								D Search by	ar CUSP or	itsuer #	Q Seat
Securities in your dashboard		В			C						
in VOS		Groupings All	CUSIP 0	Issuer Name C	Issue Desc 0	Designation Source	Issue Disposition	Maturity Date C	Marked as Called Date 0	Coupon Rate ©	Available Action
Control of Designed			729657300	PIONEER ELECTR CORP	ADR NEW	To Be Filed With SVO					+ initiale initial Filt
Mid Connelly Deletered	-		730900107	POLK AUDIO INC	COM	To Be Filed Woh SVD					+ Initiate Initial Filt
and Contrary reserved	0		723657102	PIONEER ELECTR CORP	COM	To Be Filed With SVO					+ Instate IndarFile
-	0		835809109	SONY CORP	COM	To Be Filed With SVO					• Instate Instal Fil
In Progress Filings	0		835598200	SONY CORP	AMERN SHS	To Be Filed With SVO					🔶 initiate Initial Fil
And in 1978			222957100	COUGAR PETE INC	COMACCD INVS	In Vos					
AND IN YOUS			977712100	WOLF INDUSTRIES INC	COM	To Be Filed With SVO					Filing In Progress
Fling Exempt	0		000981100	ACI TELECENTRICS INC	COM	Suplus Notes					
To Be Filed With SVO	Ø		756292108	RED ARROW INDS INC	COM	To Be Filed With SVO					Fring In Prograss
In Progress Filings	0		095282109	BLUE BEAR ENERGY INC	COM ACCD INVIS	To Be Filed With SVO					Fring In Progress
Surplus Notes	0		500760AC0	KRAFT FOODS GROUP INC	NT144A	IN FE		05/04/2042		5.000	Filing In Progress

A. Entire Dashboard Filters

When you click on any of the security groupings on the far left, your dashboard is filtered for that group. For example, by clicking on the In Progress Filings grouping, the dashboard only lists those securities.

Dashboard filtered by	IN VOS v	with IN-PROG	RESS filings					Search by	er CUSP or rissiver name	Issuer #	Q, Sear
Securities in your dashboard	0	Groupings	CUSIP ¢	Jassane Name ©	Issue Desc. 0	Designation Source	issue Disposition	Maturity Date	Marked as Called Date	Coupon Rate 0	Available Action
In VOS	0	10	1						0		
Currently Reviewed	0	•	001055201	AFLAC INC	PFD SER 1980 VAR FO/ED DIVIDRATES	In Vos					Filing In Progress
Not Currently Paviewed	0	17	392802108	GREEN ACRES LTD	UNIT LTD PARTNERSHIP INT	In Vos					Filing in Progress
10	-		00104FAA9	AES EL SALVADOR DISTR VENTURES.	SR INCREASING VAR RATE NT144A	in Vos					Filing In Progress
199		17	000829A87	ACA AQUARIUS 2006 1 LTD / ACAAQU	SR SECD NT CL A1J FLTG RATE144A	In Vos		09/12/2046			Filing in Progress
In Progress Fillings	0	*	001018103	ADPT CORP	COM	in Vos					Filing In Progress
Net in VOS											
Not in VIDS:	0	-			Showing 1-5 of 5	e di ce e					
Filing Exempt	0					R					
To Be Filed With SVD	0					· · · · ·					
In Programs Friege	0						$\langle \rangle$	_			
Suplus Milles	0							Sele	ct to v	/iew ado	ditional

Note: To return to a full listing of securities on your dashboard, click on the top line in the dashboard grouping called Securities in Your Dashboard.

Helpful hint to maximize screen space:

- 1. You can maximize your window by using the CTRL button and + button. You can decrease your window and see more of the fields by using the CTRL and buttons.
- 2. You can hide the summary grouping on the left-hand side of your dashboard by clicking on the Hide Filters button. You can select 'Show Filters when the box is hidden to display the groupings.
- 3. You can reduce the size of the VISION header by selecting the or + buttons.

Dashboard My Security	/Filings N	Ay Counterparties	My Counterparty F	ilings	Dashboard	My Security Filings	My Counterparties My Counter	erparty Filings	
Q. Entire Dashboard Hide Filters					Q Entire Das → Show Filters	shboard			
Securities in your dashboar	117								
	30	Groupings All	CUSIP ≎	lssuer Name ≎	Groupings All	CUSIP ≎	lssuer Name ≎	lssue Desc ≎	Designatio
Currently Reviewed	(19)		38114N102	GOLDEN PANTHER RES		38114N102	GOLDEN PANTHER RES LTD	СОМ	To Be Filed
Not Currently Reviewed	20		344079108	FLYING TIGER CORP		344079108	FLYING TIGER CORP	COM	To Be Filed
ND			74587\/107	PUMA BIOTECHNOLOGY		74587∨107	PUMA BIOTECHNOLOGY INC	COM	In FE
NR			75129W107	RAM ELECTRONICS INC		75129W107	RAM ELECTRONICS INC	CDT-COM	To Be Filed
In Progress Filings	6		119848109	BUFFALO WILD WINGS II		119848109	BUFFALO WILD WINGS INC	COM	In FE
Net In VOS	70		075090100	BEAVER DAM COAL CO		075090100	BEAVER DAM COAL CO	CMT-CAP STK	To Be Filed
NOT IN YOS			628154106	MUSKRAT MINERALS INC		628154106	MUSKRAT MINERALS INC	COM	To Be Filed
Filing Exempt	0		091713107	BISON PETE & MINERAL		091713107	BISON PETE & MINERALS LTD	COM	To Be Filed
To Be Filed With SVO	64		90011 Y103	TURKEY HILLS INC		90011 Y103	TURKEY HILLS INC	CDT-CAP STK	To Be Filed
In Progress Filings	30		22208T100	COUGAR PETE INC		22208T100	COUGAR PETE INC	COMACCD INVS	In Vos
Surplus Notes	6		977712108	WOLF INDUSTRIES INC		977712108	WOLF INDUSTRIES INC	COM	To Be Filed
			000981100	ACI TELECENTRICS INC		000981100	ACI TELECENTRICS INC	COM	Surplus Not
			756292108	RED ARROW INDS INC		756292108	RED ARROW INDS INC	COM	To Be Filed



Available Actions

Filing In Progress

3

B. Filters for Information Requests, Material Changes, Renumber Requests & Pricing Requests

Use the Groupings filter to display the securities on your dashboard with open filings listed above. For example, filtering on Information Request will display the VOS security with an open information request regardless of who filed it.

	A CONTRACTOR OF								
n VOS		Groupings	CUSIP ¢	Issuer Name 🌣	Issue	Desc ¢			
In VOS	0	All							
Currently Reviewed	6	Info Reg Material Chg	167725AB6	CHICAGO ILL TRAN AU	TH SALES &TR TAXAE	BLE-PENSION FD			
Not In VOS		Renumber Req Pricing Req	167725AC4	CHICAGO ILL TRAN AL	TH SALES &TR. TAXAE	BLE-PENSION FD			
Not In VOS	19655		167727VW3	CHICAGO ILL WASTEV	ATERTRANSMI TAXAE	BLE-SECOND LIE			
Filing Exempt	10257		167727VX1	CHICAGO ILL WASTEV	ATERTRANSMI. TAXAE	BLE-SECOND LIE			
To Ba Eiled With SVO	(1)(2)		167727VY9	CHICAGO ILL WASTEV	ATERTRANSMI., TAXAE	BLE-SECOND LIE			
To be rised what SVO			167736A98	CHICAGO ILLINOIS	SECO	ND LIEN PROJ			
Government Exempt	537		167736889	CHICAGO ILLINOIS	SECO	ND LIEN PROJ			
Modeled	2194		101120202	GINGHOU ILLINOID	0200				
pings CUSIP o Req •		Issuer Name ©		Issue Desc 0	Designation Sou ©	rce Issue Disposition	Maturity Date	Marked as	Coupon Rate

The icons displayed beside the securities for the different groups are:

1º 1	Renumbering Request	•	Pricing Request
▲	Info Request	F	Material Change

Helpful Hint: You can hover over the icons in the application and the type of grouping will display in text.

Security Identifier Summary Information

This part of the dashboard lists Security Identifiers and shows some information like issuer name, issue description, designation source, issue disposition, maturity date, marked as called date, coupon rate and available actions.

Helpful Hint: You can sort your dashboard by ascending or descending values by clicking the up or down arrows to the right of these fields.

From the Issue Detail Page

The issue detail page contains additional information about the Security Identifier and is reached by clicking on the Security Identifier on your dashboard or by performing a search on the Security Identifier.

iroupings All	CUSIP 0	Issuer Name 0	Issue Desc 0	Designation Source	Issue Disposition	Maturity Date 0	Marked as Called Date 0	Coupon Rate ©	Available Actions
_	N7334#AG8	WERELDHAVE N V	EURO SER C SR NT	To Be Filed With SVO		07/23/2024		2.940	+ Initiate Initial Filing
	N7334#AJ2	WERELDHAVE N V	USD SER E SR NT	To Be Filed With SVO		07/23/2026		3,060	9 Initiate Initial Filing
	N7336QA87	RED ELECTRICA DE ESPANA FIN BV	USD SER B SR GTD NT	To Be Filed With SVO	_	10/19/2020		5.070	1 Initiate Initial Filing
-	N7338@AC5	RED ELECTRICA DE ESPANA FIN BV	USD SER C SR GTD NT	III VUS		10/19/2025		5.310	7 Annual opuso
	N7660#AK3	SHV NEDERLAND B V	USD SER F GTD SR NT	III VUS		03/28/2017		3.330	+ Annual Updah
-	N7660#AL1	SHV NEDERLAND B V	USD SER G GTD SR NT	To Be Filed With SVO	_	03/28/2019		3.840	+ Indiate Initial Filling
	N7660#A3/9	SHV NEDERLAND B V	USD SER H GTD SR NT	To Be Filed With SVO		03/28/2022		4.420	+ Initiate Initial Filling
	N7921#AD4	SHANKS B V NETH	EURD SER A GTD SR NT	To Be Filed With SVO		04/11/2018		5.025	Initiate Initial Filling
	N7993Y8D5	SEMENS FINANCERINGSMAATSCHAP.	5 5/6 % NOTES 2006-16 3 16 REG-	To Be Filed With SVO	Matured	03/16/2016		5.625	
	N8879#AC6	TRONOX PIGHENTS (NETHERLANDS)B	USD TERM LN- ISSUED MARCH 2013	To Be Filed With SVO		03/19/2020			+ Initiate Initial Filling
	N8981F271	UNLEVER NV, ROTTERDAM	CERT. OF SHS	To Be Filed With SVO					+ Initiate Initial Filling
	NOTAREARS	VALOOPT EN B.V	1100 GED F (370) GD N7	To Ra Fald Web SVD		14/20/2021		5.410	& taining tained Pillan

Issue Detail				➡ Back	5 Initiate Initial Filing Remove from dashboard
Information (In Dashboard)					
CUSIP	Issuer Name	Maturity Date	Coupon Rate		
00249EAB6	AA AIRCRAFT FING 2013-1 LLC	11/01/2017	3.596		
Designation Source	Issue Desc	Market Indicator	Dated Date	Issue Disposition	Marked as Called Date
To Be Filed With SVO	CTFS CL AACCD INV		08/01/2013		

Helpful hint: You can remove a Security Identifier from your dashboard, and you can initiate a filing from the Issue Detail page.

Submitting a filing

- 1. VOS filings and Private Letter Rating (PLR) filings may be initiated from your dashboard or from the issue detail page.
- 2. Pricing Requests, Material Changes, Renumber Request and Appeals are initiated from the Issue Detail page.
- 3. Counterparty filings may be initiated from the My Counterparties tab and My Counterparty Filings tab.
- 4. SCA filings may be initiated from the SCA Filings tab and from the Filings Detail.
- 5. Qualified U.S. Financial Institutions filings may be initiated from your dashboard.

When initiating a filing, you will be prompted through a series of questions unique for the security and the filing type. After answering the questions, you will be prompted to review your information and to upload any required support documents. Please see the Other Functionality section for details relating to uploading support documents.

Helpful Hint: Have all of your information ready before you start to initiate your filing as you will not be able to save a draft to complete later.

Initiating VOS and PLR filings from your dashboard

You may initiate a VOS filing or PLR filing from the dashboard. For VOS Filings click on the Initiate Initial Filing or Annual Update button and Initiate Subsequent Filing for PLR in the Available Actions column on the far right-hand side of the dashboard.

CUSIP ©	Issuer Name C	Issue Desc ¢	Designation Source ©	Issue Disposition	Maturity Date ¢	Marked as Called Date ©	Coupon Rate 🗘	Available Actions
38114N102	GOLDEN PANTHER RES LTD	COM	To Be Filed With SVO					+ Initiate Initial Filing
344079108	FLYING TIGER CORP	COM	To Be Filed With SVO					+ Initiate Initial Filing
74587\/107	PUMA BIOTECHNOLOGY INC	COM	In FE					🕈 Initiate Initial Filing

Initiating VOS and PLR filings from the Issue Detail page

You may also initiate VOS filings and PLR filings for a filing from issue detail page. This is also where you initiate Appeals, Material Changes, Pricing Requests and Renumber Requests if available.

Dashboard My Security Filings	My Counterparties My Counterparty Filings			_	
A Issue Detail					Back I Initiate Initial Filing B Remove from dashboard
O information (In Dashboard)					
CUSIP 38114N102	Issuer Name GOLDEN PANTHER RES LTD	Maturity Date	Coupon Rate		
Designation Source To Be Filed With SVO	Issue Desc COM	Market Indicator	Dated Date	Issue Disposition	Marked as Called Date

Initiating Counterparty filings

You may initiate initial counterparty filings from the My Counterparty Filings tab by clicking on the Initiate Initial Filing button.

Dashboard My S	Security Filings My Counte	spartles My Counterparty Filings					
Filings submitt	ed by NAIC Test Acct					🔶 Initiate Initial Film	g 🖉 Clear fiters
Filing Number ©	Name ©	Location ¢	Exchange 0	Submission Type ≎	Status 0	Date of Status Change 0	10
1006068	Rocky Mntn NP	co	635982493	Initial Filing	Approved	06/22/2016	
1004259	Test 2	KCKS	Test123	Initial Filing	Rejected	05/04/2016	
1004268	Test 1	KCM0	654968	Initial Filing	Approved	05/04/2016	

You may also start initial or annual counterparty filings from My Counterparties tab by clicking on the button in the Available Actions column. Note in the example below, no actions are currently available.

Dashboard My Security Filings	My Counterparties	My Counterparty Filings			
▲ My Counterparties					
Counterparty Name		Location	Approval Date	Expiration Date	Available Actions
09271		New York, NY	07/12/2016	06/30/2017	No actions available.
118588		Kansas City	06/29/2016	10/30/2018	No actions available.
1212454		kansas citv	07/12/2016	06/30/2017	No actions available

Initiating SCA filings

You may initiate Sub 1 filings from the SCA Filings tab by clicking on the Initiate Sub-1 button at the upper right-hand corner.

VISION	VISION application v	will be unavailable during system	maintenance from 7:00 AM (EST) Saturda	y 11/5/2016 through 7:00 AM	(EST) Sunday 11/6/2016			l E
Dashboard SCA Filings	My Security Filings submitted for o	SCA Filings My Counterpa	nties My Counterparty Fil	ings				15 Expot 🥑 Clear filters 🔹	endade State-1
Filing Number 0	CUSIP ¢	Issuer Name ©	Issue Desc 0	CoCode ©	Company Name 🌣	Submission Type 0	Status 0	Valuation Method 0	Date
1007032	001303106	AHPC HLDGS INC	COM	68381	Reliance Standard Life Ins Co	Appeal SUB-2	Review Completed	8b()) - US Insurance SCA Entities	07/21,
1007031	00138RAA3	AIG PROGRAM FDG INC MEDI.	TRANCHE # TR 00001	68381	Reliance Standard Life Ins Co	Appeal SUB-2	Review Completed	B(a) - Market Value	07/215
1087030	00134#443	AIB RECEIVABLES TR	TR 1995-A ASSET BACKED CTF	68381	Reliance Standard Life Ins Co	Appeal SUB-2	Review Completed	8b(iv) - Foreign Insurance SCA Entities	07/21

You may initiate Sub 2 filings and Sub 2 appeals from the Filing Detail page. You get to the filing detail page by clicking on the filing number displayed in the far left-hand field shown above on the SCA Filings tab. Then you will see the allowable action buttons in the upper right-hand side of the screen.

SCA Filing Detail - 10	007029						Since	s (D) 🗢 Initiate Sub-2	 Initiate Sub-2 Appr 	eal 👒 Export State Information
0 SCAFiling Information		Q Oeneral						1		
CUSIP	00134#443	Valuation Method		Audited Feancial	Statement	Date Shares Acro	alred Principa	Dusiness	_	
hussen Name	AB RECENABLES TR	8500-Foreign Insurance SCA8	Erdbes	Reporting Date 07/12/2016		12/01/2016	Testing	Advantage Association		and the second
Issue Desc	TR 1995-A ASSET BACKED CTF					Acquired	and the second	No	hio hio	oreganita sea
SCA Name	тк	Is Seller a Related Entity as define	ined under SSAP 257	Goodwill No Goodwill		Stock type Preferred Stock	Retal Va \$100.00	ue Claimed	Shares Owned 100.00	
O Filing Information		Volue Per Share \$100.00	Percent Outstan 100.0000 %	ding Shares Owned	Consideration Pail \$100.00		Does the SCA directly or indi No	rectly own shares of an ups	trnam intermediate or ultim	uate parent?
Elline Marshar	1007010	Does the SCA directly or indirec	thy own shares of the ins	wance reporting entit	50					

- Collect all the information you need for your filing before you initiate your SCA filing in VISION. If applicable have the following files completed and ready to upload: Goodwill spreadsheet, Elimination spreadsheet and Stat. Adjustment spreadsheet. These spreadsheets are available at <u>http://www.naic.org/index_industry.htm</u>. There are several required pieces of information and you will not be able to save your filing as a draft.
- Note that there is also an Export State Information button in the upper right-hand corner. This enables you to get a printable summary of the filing information to share with the state.

Initiating Qualified U.S. Financial Institutions filings

You may initiate a Qualified U.S. Financial Institutions filing from the dashboard. Click on the Initiate Initial Filing or Annual Update button in the Available Actions column on the far right-hand side of the dashboard.

Message Center	My Filings My Financial Institutions				
My Financial Ir	stitutions				
'l Name	Branch Name	Fi Identifiers	Approval Date	Expiration Date	Available Actions
SIM Investments		LER: 98357415983215647895 ABA: CUSR96: EIN:			+ Initial Filing
lissouri State Bank		LEI: ALIA: 096001000 CUSIP6: EIN:			9 Initial Filing
dtar Hartt.		LEI: 75395145635789635145 ABA: 017000253 CUSIP6: 39621@ EN: 102053607			+ Initial Filing

Checking the status of a filing

Filing Status	When You Will See This
Submitted	After a filer submits a filing
Info Request	When an analyst requests additional information on the filing
Pending Analyst Feedback	After the filer responds to the information request
Pending SVO Review	After an NAIC analyst reviews and accepts the filing so they can start
	their analysis. Also after the analyst accepts the information provided
	via an information request
Review Completed	After the NAIC has completed their analysis (e.g., designation, price, valuation)
Rejected	After the NAIC rejects the filing at the request of a filer or the NAIC
	analyst
Expired	After the 45 day increment has been exceeded for a filer to respond to
	an information request

Possible status for a filing that are displayed in VISION and are updated real time.

View options for filing status

1. From My Security Filings tab

VOS Filings						Status ≎	
🖺 Export 🥑 Clear f	iters						
Filing Number 🌣	CUSIP \$	lssuer Name ≎	Issue Desc ¢	CoCode \$	Company Name 🗢		Status ¢
						Review Completed	
1006772	68275CA46	1345 AVE OF THE AMER & PK AVE.	2005-1 COML MTG PASSTHRU CTF1	86630	Prudential Ann Life Assur Corp	0.1	Review Completer
1004588	05948A101	BANC AMER CAP MGMT FDS VILLC	INTL VALUE FD ACCD INVS	86630	Prudential Ann Life Assur Corp	Submitted	Submitted

- 2. From the Securities Dashboard and Issue Detail page
 - For a Security Identifier that shows Filing In Progress under Available Actions on the dashboard, click on the Security Identifier as shown below.
 - The in progress filing numbers, submission type and filing status are displayed at the bottom of the issue detail screen.

Groupings	CUSIP 0	bsuer Name O	Issue Desc ©	Designation Source	Issue Disposition	Maturity Date ©	Marked as Called Date C	Coupon Rate 0	Available Actions
	36962@100	GREAT AMERN ALLIANCE INS CO	COM	To Be Filed With SVO					Filing In Progress
	05948A101	BANC AMER CAP MGMT FDS VILLC	INTL VALUE FD ACCD INVS	To Be Filed With SVO					Filing In Progress
	31574*101	FIDELITY & GTY INS CO	COM	To Be Filed With SVO					Filing In Progress

Issue Detail			
9 Information (In Dashboar	d)		
CUSIP	Issuer Na	me Maturity Date	Coupon Rate
38982@100	GREAT A	MERN ALLIANCE INS CO	
Designation Source	Issue De	sc Market Indicat	or Dated Date
To Be Filed With SVO	COM		
In Progress Vos Filings	In Progress Surplus Note Filings	In Progress Mutual Fund Filings	
Filing Number \$	5	ubmission Type 🌣	Status
1005223	h	nitial Filing	Pending SVO Review

Responding to Information Requests

All VOS filers will see open Information Requests on securities and may respond to them with the requested information, even if they did not submit the filing. In contrast, SCA filers will only see and respond to Information Requests on filings they submit. The summary steps include:

- A) Identifying the filing with an open information request.
- B) Drilling down to the filing details.
- C) Uploading the required support documents.

Any security with an open information request will have the Info Req icon beside the Security Identifier on the security dashboard and beside the filing number on My Security Filings tab.

Note: If you are the not the original filer responding to an Information Request, then you will not see the file name of what was previously submitted by the filer as this is confidential information.

Show Filters				Drill down on the Cusip to the Issue Detail then click on the filing number
Groupings	CUSIP ≎	lssuer Name ≎	lssue Desc ≎	to see the filing details
A	977712108	WOLF INDUSTRIES INC	сом	
Filings submit	ted by NAIC T	est Acct		Drill down on th filing number to see the filing details
Filings submit VOS Filings	ted by NAIC To	est Acct		Drill down on th filing number to see the filing details
Filings submit VOS Filings Export Clearf Filing Number \$	ted by NAIC To itters CUSIP \$	est Acct	Issue Desc ≎	Drill down on th filing number to see the filing details

VISION User Guide—Filer

On the Filing Detail example below, you can see the Stock Certificate support document has an outstanding information request due the red flag and the support document status of Rejected. You can also click on the Filing Document History button under Options and see that the correct file has been requested by the analyst. You may upload the file by clicking on the Edit button on the right-hand side of the Supporting Documents box. When you save the document, it will automatically submit the updated Information Request to the NAIC analyst. See the Other Functionality section for information on how to upload files as support documents.

Thing becan receipt						🔹 Notes (0)
O CUSP Information		Q Deneral					
tusip.	977712100	Filling Visor	Date Acquired	Trigger Language	State Insu	arance Requested	
ssuer Name	WOLF INDUSTRIES INC	2016	05/04/2016	790	Yes		
ssue Desc	COM	-					
Designation Source	To the Fixed With SVO	 Supporting Documents 				✓ East	
Coupon Rate		Description		Status	Details	Options	
ssue Disposition		F Stock Certificate (front and back)		Rejected		•	
Maturity Date							
flacked as Called Date				/			
Sated Date			/				
						*	Notes (
General							
Filing Year		Date Acquired	Trigger L	anguage	State Insurance	e Requested	
Filing Year 2016		Date Acquired 05/04/2016	Trigger L No	anguage	State Insurance Yes	e Requested	
Filing Year 2016 Supporting Documents		Date Acquired 05/04/2016	Trigger L No	anguage	State insurance Yes	e Requested	🖌 Edit
Filing Year 2016 If Supporting Documents Description		Date Acquired 05/04/2016	Trigger L No Status	anguage Details	State Insurance Yes	e Requested Options	Z Edit
Filing Year 2016 Supporting Documents Description Stock Certificate (f	front and back)	Date Acquired 05/04/2016	Trigger I No Status Rejected	anguage Details	State Insurance Yes	e Requested Options	∕ Edd
Filing Year 2016 E Supporting Documents Description Stock Certificate (1)	front and back)	Dete Acquired 05/04/2016	Trigger L No Status Røjected	anguage Details	State Insurance Yes	e Requested Options	✓ Edit
illing Year 2016 E Supporting Documents Description Stock Certificate (f	front and back)	Date Acquired 05/04/2016	Trigger I No Status Rejected	anguage Details	State Insurance Yes	e Requested Options	✓ Edit
Filing Year 2016	front and back)	Date Acquired 05/04/2016	Trigger I No Status Rejected	anguage Details	State Insurance Yes Filing Document F NAIC Test Analyst 07/26/2016 03:25 PM	e Requested Options Options History Please send in the correct file.	Z Edit

VISION User Guide—Filer GETTING STARTED AS A QUALIFIED U.S. FINANCIAL INSTITUTION

The Qualified U.S. Financial Institutions List replaced the Bank List on July 1, 2017.

Feel free to contact SVOInquiry-FI@naic.org with questions.

Summary steps:

- 1. Viewing the status of My Qualified U.S. Financial Institution
- 2. Submitting initial or annual filings
- 3. Viewing filing status and responding to information requests

Viewing status of My Qualified U.S. Financial Institution

The My Financial Institutions tab displays the Qualified U.S. Financial Institution you are associated to in VISION. This tab displays when the Qualified U.S. Financial Institution is created by the system administrators. Once the filing is submitted and approved, the Approval Date and Expiration Date will display. The Available Actions column on the far right-hand side of the dashboard provides the status of the Qualified U.S. Financial Institution.

Message Center	Ay Filings My Financial Institutions				
My Financial Ir	stitutions				
Name	Dranch Name	FI Identifiers	Approval Date	Expiration Date	Available Actions
UM Investments		LEI: 96357415963215647895 ARA: CUSIPI: EIN:			+ Initial Filing
soun State Bank		LEE: AIA: 098001000 CUSIP6: EN:			9 Initial Filing
ar Elarik		LEI: 75305145635789635145 ABA: 017000253 CUSIPF: 39621@ Elie: 10205387			+ Initial Filing

Submitting initial or annual filings

Step 1: You can submit a filing from the My Financial Institution tab, by clicking the 'Initial' or 'Renewal' filing button in the Available Actions column. The Financial Institution Name and Identifier(s) in the grayscale boxes were provided during the financial institution setup and cannot be amended. The missing identifiers can be added, if available, however they are not required to complete the filing. To continue, click the Next Button.

Message Center	Dashboard	My Filings	SCA Filings	My Counterparties	My Financial Institutions	My Counterparty Filin	gs My Mutual Funds	My Mutual Fund Filings			
Q Initial Filing											X Cancel
1. Financial Institution 2. Additional Information 3. Financial Institution Ratings 4. Contact Information 5. Review 6. Application and Agreement 17.0%											
◆Back → Next											
You are filing for the	following organizat	ion:						Filing Information			
Financial Institution N	ame	LE	é.		ABA	CUSIP6 EINF	EIN	El Marrie	ADA	CUSIPE	
LS BM Investments			96357415963215	147895				LS BM Investments	96357415963215647895	0000	
Branch Name	Bran	nch Number						EINFEIN	Sovereign		

VISION User Guide—Filer **Step 2:** Add the Accounting Standards to the financial institution by populating the Sovereign, GAAP Standard, Fiscal Year-End and Statement Frequency fields. Please note the fields with the red asterisk (*) are required. The system default for accounting standards is U.S. GAAP. Click next to proceed.

	y Financial Institutions							
Initial Filing								¥ Cancel
Financial Institution 2. Additional Info	mation 3. Financial In	stitution Ratings 4. Contact Information	5. Review 6. User A	greement				
	XX.0%							
Back 🔶 Next								
Additional Information								
						Filing Information		
Sovereign *		Sovereign Rating		GAAP Standard *		FI Name	10	
UNITED STATES	Y			U.S. GAAP	¥	LSBM Investments	96357415963215647895	
Fiscal Year End		Statement Frequency *						

Step 3: The Financial Institution Ratings page requires you to provide the Credit Rating Provider(s) and the Rating. Select the Credit Rating Provider from the dropdown box and select the associated rating from the Rating dropdown box. We are currently accepting ratings from Standard and Poor's, Moody's or Fitch.

To add additional ratings to the filing, click the Add Additional Rating Button.

Message Center My Filings My Financial Institutions				
Q Initial Filing				N Cancel
1. Financial Institution 2. Additional Information 3. Financial Institution Ratings 4. Contact Information 5. Review 6. User Agreement				
50.0%				
€ Back				
Financial Institution Ratings	Elbis Information			
Credit Rating Provider: Rating:				
Select One Select One	F1 Name LSBM Investments	LEI 90357415903215647895	Sovereign UNITED STATES	
	GAAP Standard	Fiscal Year End	Statement Type	
+ Add Additional Rating	U.S. GAAP	12/31	Quarterly	

Step 4: Add a Primary and Secondary Contact to the filing. The secondary contact simply requires an alternate email address and group email addresses are accepted.

Initial Filing							
Financial Institution 2. Additio	nal Information 3. Financial Institution Ratings	4. Contact Information 5. Review 6. User Age	tement				
		67,0%					
and Allert							
ack 🌩 Nest							
Primary Contact							
					E Filing Information		
est Name *	Last Name *	Email •	Phone *	Est	F1 Name	LEI	Sovereign
	Tesher	8T@gmail.com	(765) 965-6214		LSBM investments	95357415963215647895	UNITED STATES
Deta					CARD Charles	Eiscal Year End	Statement Type
Deta					GAAP Standard	FERSON FEED STORE	
Beta					U.S. GAAP	1201	Quarterly
Beta Secondary Contact					U.S. GAAP Credit Rating Provider	1201 Rating	Quarterly
Deta Secondary Contact					U.S. GAVP Credit Rating Provider Standard and Poors	12/31 Rating AAA	Quarterly
Beta E Secondary Contact	Last Name	Email *	Phone	Ext	U.S. GAVP Credit Rating Provider Standard and Poors	1201 Rating AAA	Quarterly

Step 5: Review your filing information to ensure everything is correct before you select the license agreement. If an error is found, click the back button to correct, otherwise click the Next button for the License Agreement.

Message Center My Filings My Pinancial Insti	Lutions		
Q. Initial Filing			× Cancel
1. Financial Institution 2. Additional Information 3. Finan	cial Institution Ratings 4. Contact Information 5. Review 6. User Agreement		
	83.0%		
← Back → Next			
O Ready For Submission			
Please review all information prior to submitting. Once submitted you	a will not be able to return to the Financial institution filing witard.		
E Filing Information			
Fi Name	LEI QENTALKARYSIGLISIOC	Sovereign	
GAAP Standard	Fiscal Year End	Statement Type	
U.S. GAAP	12/01	Quarterly	
Credit Rating Provider	Rating		
Standard and Poors	***		
W Contact Information			
Primary Contact			
First Name	Last Name	Email	
Beta	Tester	BT@prial.com	
Phone			
(785) 965-6214			
Secondary Contact			
Email TT@gmail.com			

Step 6: Agree to the Application and User Agreement by selecting 'I Agree' and clicking the 'Prepare Filing' button. To print or save the agreement, click the "Download Agreement" button. Helpful hint: You will not be able to return to the user agreement after this step.

Message Center My Filings My Financial Institutions		
Q Initial Filing		× Cancel
1. Financial Institution 2. Additional Information 3. Financial Institution Ratings 4	Contact Information 5. Review 6. User Agreement	
	100.0%	
← Back → Next		
LUser Agreement		
	APPLICATION AND AGREEMENT	
	PERTAINING TO A REQUEST TO ADD THE NAME OF A FINANCIAL INSTITUTION TO THE	
	NAIC LIST OF QUALIFIED U.S. FINANCIAL INSTITUTIONS	
	ISSUERS OF LETTERS OF CREDIT FOR USE AS COLLATERAL IN REINSURANCE ARRANGEMENTS	
	Part One — Information	
	1. About the List — This List is maintained as part of a service provided by the NMC to its members; i.e., the cormissions, directors, superinteredunts and other ramed state officials that regulate the insurance busines in the 50 states, the District of Columbia and the four U.S. territories, NAIC members (and their demicibility insurance companies) use this List to administer state laws pertaining to reinsurance arrangements that incorporate or are based on the NAICS credit for Reinsurance Model Law (IRT6) (Model 765). This List is not intended to be used and v may not be used for any other purpose or busy motifies persisting. Distributions, DAIGS and List is not intended to be used and v may not be used for any other purpose or busy motifies persisting. Distributions, DAIGS and List is not intended to be used and v.g. and the second state of the variable of the variable state state state state. The second intermation about the List is not intended to be used and v.g. and the second state	
	By agreeing below, the filer certifies they have the authority to execute this Application and legally bind the applicant.	
	I Agree	
	96 Download Agreement	
	Prepare Filing	

After clicking the Prepare Filing button, you will be taken to the Filing Detail screen.

VISION User Guide—Filer

Filing Detail - 1035325						🗙 Cancel 🧔 Submit	 Notes
Filing Information		Q, General					
Filing Number	1035325	LEI 96/367415063245647805	Sowereign UNITED STATES		Fiscal Year End 12/31		
F1 Name	LSEN Investments	Statement Type Osarterly	Accounting Standards 1/ S. GAAP				
Status	Painting Education	Credit Rating Provider	Rating				
Analyst	Grace Kennedy	Standard and Poors	AAA				
Submission Type	Initial Filing	-					
Estimated Filing Cost	\$1,250.00	Contact Information					
		Primary Contact					
		First Name Beta Phone	Last Name Tester		Email 81@gmail.com		
		(199) 965-6214 Secondary Contact					
		Email TT@genations					
		Supporting Documents					2
		Description		Status	Detaits	Options	
		Otendard and Poors Proof of Credit Rating		Incomplete		(e)	
		 Audited Annual Financials 		Incomplete			

This page contains general information previously entered, the filing information provides the assigned analyst and the estimated filing cost in addition to the supporting documents section. To fulfil the supporting documents requirements, you can add documents to the filing or bypass the upload request by offering a comment clarifying why the documents were not included. *If you want to add another support document that is not listed as required or optional on the filing, you can add the support document type and then upload the file.*

Step 7: Upload the support documents as described in Other Functionality - Adding Support Documents to a Filing. Or mail in the support documents described in Other Functionality – Mailing in Support Documents. After adding the documents, click 'SAVE' and 'Submit'.

Adding Kroll Proof of Credit Rating in supporting documents

To add Kroll Proof of Credit Rating to a Filing, please follow the instructions below.

The system requirement to add Kroll Proof of Credit Rating as a required supporting document will be added to VISION in August 2018.

From the Filing Detail page, click the Edit button that is located to the right of the Supporting • Documents section. 1000

	Q Central			
ling Number 102902	AIIA	CUSIPE	ENTEN	
		421800	500000000 At down of A	
Name Sbav	UNITED STATES	12/01	Guarterity	
atus Pareter Receiban	Accounting Standards	Credit Rating Provider	Rating	
	U.S. GAAP	KBRA - Kroll	AA*	
salyst NAIC Test Acct VisionAcalystDank Rob.				
atomission Type International Party				
	W Contact Information			
timated Filing Cost \$750.0				
	Primary Contact			
	First Name	Last Horse	front	
	John	Smith	inggreat con	
	Fhone			
	016-123-4567			
	Secondary Contect			
	front			
	ik@gnal.com			
				\sim
	W Supporting Documents			
	W Supporting Cocuments Cocuments	Status	Details	Options

• Once the edit mode is enabled, click the "Add" button, to add more document types.

Information	Edit mode for document is now enabled				
g Number 1029123	Q General				
stre Styre	AEA	CUSIFIE		ENIFER	
Par(stirg) (Lineration)	Sovereign	R2165# Fiscal Year End		Statement Type	
hyst NAIC Test Acct VisionAnalystBank Rob.	UNITED STATES Accounting Standards	1201 Credit Rating Provider		Guarterty	
mission Type Index Filing	U.S. GAAP	KBRA- Kroll		AA+	
mated Filing Cost \$750.00					
	Orntact Information				
	Primary Contact				
	First Name	Last Name		Email	
	John Phone	Shith		in@gnat.com	
	815-123-4587				
	Secondary Contact				
	Ernal				
	M@gral.com				
	Supporting Documents				🖘 Cancel 🔡 S
	Description	Stati	IS	Defails	Options
	Autiled Annual Financials	Inco	mplete		9, Attachments (0)
	\frown				

When the window pops up, select "Kroll Proof of Credit Rating" from the Filing Submission • Type dropdown menu, then Click the "Add" button.

Hing Detail - 102	9823		x	× Cartos) ♦ Scont	Notes (0)
@ Yang Information		C Diff made for docum	Filing Submission Type		
Filing Bumber	1029623	Q Consenial	Ioralis Proof of Credit Rating		
Ti llama	they	ABA		INTIN	
Status		Sovereign	🗶 Cancel 🚺 🕂 Add	stationes Statement Type	
Analyst	IGAC Test Acct VisionAnaly Illiesk Post	Accounting Standards	Credit Rating Provider	Durterty Balter	
Submission Type	indial Filmy	UK GAAP	KERPA - Kont	***	
Estimated Filling Cost	\$750.00	<u> </u>			

• The added document type is now listed in the Supporting Documents section.

Filing Detail - 1029823				🗙 Cancel 🗢 Submit	🔍 Notes
Filing Internation	Q, General				
Filing Number 1029823	ABA 55555555	CUSIP6 42155#	EIN-FEIN 555555555		
Fi Name Shire	Sovereign UNITED STATES	Fisical Year End 1201	Statement Type Guarterly		
Status Pantny tithemisian	Accounting Standards U.S. GAAP	Credit Rating Provider	Rating		
Analyst NAXC Test Acct Vision/AnalystBank Rob.,		KORRA- Kroll	AA*		
Submassion Type Induit Filmg					
Estimated Filing Cost \$750.00	ortacl Information 양 Contact Information				
	Primary Contact				
	First Name Jonn Phone 855-122-4557	Last Hanne Sindh	Email suffgated.com		
	Secondary Contact				
	Email Migginal con				
	T Supporting Documents			-	nel Bin
	Description	Status	Details	Options	
	Audled Annual Financials	Incomplete		9, Attachment	ts (0) @
	Krolls Proof of Credit Rating	Required as Ap	oplicable	% Attachment	ts (0) 🗩

- Prior to saving the changes, upload your file to the added document as described in the section above. Otherwise, the added document type will be removed during the saving process.
- Once the file is uploaded, click the "Save" button for the Supporting Documents section.
- A message confirming the Filing has been saved displays, and the Status field of the added document now shows Uploaded.

ng information		() Filing 1029023 has been saved and has a status of "Per	ding Submission".	_	
ling Humber	1029823	Q General			
Netter	tilterk	ABA	CUSIPS	CHUTCH-	
due .	Palatria Galerrania	655555566	42165#	555555555	
		Sovereign	Fiscal Year End	Statement Type	
wayyat NARC Test Ac	oct VisionAnalystBank Rob	UNITED STATES	1201	suarteny	
2010/102100	05585407	U.S. GAAP	Credit Rating Provider	Rating	
Demonstors Type	estial Filing		KBRA - Kroll	M-	
limated Filing Cost	\$750.00				
		@Contact Information			
		Primary Contact			
		First Name	Lest Name	Email	
		John	Shifty	ingpasi con	
		Phone			
		016-123-4567			
		Secondary Contact			
		Email			
		M@gmat.com			
		E Stillbound Footments			
		Description	Status	Details	Options
		 Audited Annual Financials 	Bypassed	Test	٠
		Ktolls Proof of Cradit Ratins	Litioaded	knoll fi wai bit	

After the filing submission, you will be taken to My Financial Institution page. Note: there is a message confirming the submission of your filing and the estimated price.

Viewing filing status

The status of your Qualified U.S. Financial Institution filing is displayed in the Financial Institutions Filings section of My Filings.

BExport & Cew	titers							\frown		
Filing Number ©	FI Name C	Branch Hame 🗘	w	ABA C	CUSIPE 0	EINFEIN O	Submission Type ©	Status C	Bate of Status Change +	1.0
A 1035146	Green Leaf Bank			852963147			Indial Filing	Awaling Filer Input	04/27/2018	0
1035145	City Financial	Boston		012000036	31345@		Initial Filing	Rejected	03/12/2018	
1035126	May June LLC			123654789	123@14		Initial Filing	Review Completed	03/09/2018	
10057.05	May June LLC			123694789	1/200274		inten rahg	nevew Completes	ususcul 8	

Below are the different possible states for a filing. The filing status is displayed in VISION and updated in real time.

Filing Status	When You Will See This
Submitted	After a filer submits a filing
Info Request	When an analyst requests additional information on the filing
Pending Analyst Feedback	After the filer responds to the information request
Pending SVO Review	After an NAIC analyst reviews and accepts the filing so they can start their analysis. Also after the analyst accepts the information provided via an information request
Review Completed	After the NAIC has completed their analysis (e.g., designation, price, valuation)
Rejected	After the NAIC rejects the filing at the request of a filer or the NAIC analyst
Expired	After the 45 day increment has been exceeded for a filer to respond to an information request

Responding to Information Requests

If the SVO analysts need additional information to complete your filing, they will send you an Information Request. When this happens, the information request icon, a black triangle with an exclamation mark, is displayed beside the filing number and the filing status changes to Info Request as shown below on the My Filings tab.

Tinancial Insti	tution Filings									v
REport & Cear	filters									
Filing Number 🗘	FI Name 0	Branch Name 🗘	LB	ABA ¢	CUSIP6 0	einfein o	Submission Type 🗘	Status 0	Date of Status Change +	10
A 1035140	Green Leaf Dank			052960147			Initial Filing	Awating Filer Input	04/27/2010	Ø

To respond to the information request, click on the filing to navigate to the filing detail. For each support document with a red flag adjacent to it, provide the requested documents. When you add the

documents and save them, the filing will automatically be submitted and the filing status will change to Awaiting Analyst Feedback. See the Other Functionality section for more information on uploading files as support documents to filings.

Note: You can view the analyst's comments by clicking on the conversation button under the Options column.

🖬 Supp	orting Documents							🖋 Edit
	Description			Status	Details		Options	
•	Fitch Proof of Credit Rating			Rejected				
۲	Moodys Proof of Credit Rating			Accepted	Vos.txt	/	•	
		_						
		🗭 Filing Document	History					
		Park, Kevin 04/27/2016 05:43 AM	test					
		Kennedy, Grace 04/23/2015 17:43 AM	Response accepted.					
		Kennedy, Grace 87. 04/23/2915 11:43 AM	Response accepted.					
		Latonya Buchanan, NAIC Te 03/12/2015 12:43 PM	Please change the fiscal year					
		ne Latonya Buchanan, NAIC Te nt <i>osrtzzons 12:33 PM</i> di	File has been uploaded.					
		dy				× Close		

GETTING STARTED AS AN ASSET MANAGER/MUTUAL FUND FILINGS

Summary steps:

- Viewing the status of My Mutual Funds
- Submitting initial or annual filings
- Viewing filing status and responding to information requests

Viewing status of My Mutual Funds

The My Mutual Funds tab displays the mutual funds you are associated to in VISION. This tab displays when the mutual fund was approved on the mutual fund list and when it expires. In the Available Action column, it shows if the mutual fund is eligible for an initial or annual filing.

🏛 My Mutual Funds							
Fund Name ≎	Fund Complex Name \$	cusip ≎	Central Index Key (CIK) \$	Classification \diamondsuit	Date Approved	Date Expires ≎	Available Actions 🔻
TRANCHE # TR 777	Barclays Capital	05634A2J8	4r5ffe43gf	US Direct Obligations Full Faith Credit E	07/12/2016	08/31/2016	🕈 Initiate Annual Filing
CAP GROWTH FD CL A	Advent Capital Mgmt	000357103	1234567891	Bond Mutual Fund	05/31/2016	08/31/2016	🕈 Initiate Annual Filing
MONEY MKT PORTFOLIO SVC CL	Advent Capital Mgmt	61747C749	1234567899	Bond Mutual Fund	07/05/2016	08/31/2016	🕈 Initiate Annual Filing

Submitting initial or annual filings

You can submit a filing from two places: from the initial or annual button shown above in the Available Action column on the My Mutual Funds tab or from the Issue Detail page shown below. When you click on the Security Identifier displayed on the My Mutual Funds tab, the Issue Detail page is displayed. You can initiate a filing from the button in the upper right-hand corner. See the Other Functionality section for additional information on how to upload a file for a support document on a filing.

Issue Detail			Sack 7 Initiate Annual Filing
O Information (In Dashboa	rd)		
CUSIP	Issuer Name	Category	Issue Subtype
05634A2J8	BACARDI USA INC IAM COML PAPER4/2	Mutual Fund	Mutual Fund
Designation Source Mutual Fund	Issue Desc TRANCHE # TR 777	Issue Disposition	Marked as Called Date

Viewing filing status

The status of your mutual fund filings is displayed on the right-hand side of the My Mutual Fund Filings tab. View My Mutual Funds available actions and filing status

Filing Number 🗘	Filing Submission Type 🌣	Fund Complex Name ¢	Fund Name ©	cusip ¢	Central Index Key (CIK) ≎	Classification \$	Status *
1006630	INTIAL	Advent Capital Mgmt	ADR	001079102	123987456d	US Direct Obligations Full Faith (r. Submitted
1006627	INITIAL	Barclays Capital	COML PAPER IAM 314	16760RP96	6659895589	Bond Mutual Fund	Submitted
1006544	INITIAL.	Barclave Capital	TRANCHE # TR 00010	00077UAk7	8809015154	Bond Mutual Fund	Submitted

Below are the different possible states for a filing. The filing status is displayed in VISION and updated in real time.

Filing Status	When You Will See This
Submitted	After a filer submits a filing
Info Request	When an analyst requests additional information on the filing
Pending Analyst Feedback	After the filer responds to the information request
Pending SVO Review	After an NAIC analyst reviews and accepts the filing so they can start their analysis. Also after the analyst accepts the information provided via an information request
Review Completed	After the NAIC has completed their analysis (e.g., designation, price, valuation)
Rejected	After the NAIC rejects the filing at the request of a filer or the NAIC analyst
Expired	After the 45 day increment has been exceeded for a filer to respond to an information request

Responding to Information Requests

If the SVO analysts need additional information to complete your filing, they will send you an Information Request. When this happens, the information request icon, a black triangle with an exclamation mark, is displayed beside the filing number and the filing status changes to Info Request as shown below on the My Mutual Fund Filings tab.

Filing Number \$	Filing Submission Type \$	Fund Complex Name \$	Fund Name \$	CUSIP \$	Central Index Key (CIK) \$	Classification \$	Status -
1005083	ANNUAL	Advent Capital Mgmt	THE JACKSON LAB-CONV 04-23-	. 00037CMY3	45rethyy45	US Direct Obligations Full Faith Cr.	. Submitted
1004434	INITIAL	Advent Capital Mgmt	INSTL CTF DEP 595	00034QC42	4567891235	Bond Mutual Fund	Submitted
1006546	INITIAL	Barclays Capital	EXCHANGEABLE PERP PFD CL .	. 000801.502	2274896503	Bond Mutual Fund	Rejected
1006545	INITIAL	Advent Capital Mgmt	PFD SEC V NON CUM FLTG RATE	E 00080E201	333567 uiok	Bond Mutual Fund	Pending SVO Review
▲ 1004432	INITIAL	Advent Capital Mgmt	INSTL CTF DEP 595	00034QF80	5632789f35	Bond Mutual Fund	Info Request

To respond to the information request, click on the filing to navigate to the filing detail. For each support document with a red flag adjacent to it, provide the requested documents. When you add the documents and save them, the filing will automatically be submitted and the filing status will change to Awaiting Analyst Feedback. See the Other Functionality section for more information on uploading files as support documents to filings.

Note: You can view the analyst's comments by clicking on the conversation button under the Options column.

Sup	porting Documents			1
	Description	Status	Details	Options
-	Proof of Ratings	Rejected		/ 🗩
•	Financial Statements	Accepted	Audited Financial Statem	ents.xls
			Filing Docume	ent History
			Test Analyst 07/27/2016 02:34	Please send in ratings.
			Test Filer 07/27/2016 02:25	I cannot find the ratings at this time.

OTHER FUNCTIONALITY

Attaching support documents to a filing

When submitting a filing, you will be required to provide support documents. These document types are listed in the Support Documents section of the filing detail. The descriptions with a red asterisk are required documents. In the example below, two documents are required for the filing: the annual report and the audited financial statements.

1. Click on the Edit button in the upper right-hand corner of the Supporting Documents section of the filing detail.

Sup	porting Documents				🖋 Edit
	Description	Status	Details	Options	
*	Prior Year Annual Report	Incomplete			
*	Prior Year Audited Financial Statements	Incomplete			

2. Click on the Attachment button for the support document you want to upload

Sup	porting Documents			<table-cell-rows> Cancel 🖪 Save</table-cell-rows>
	Description	Status	Details	Options
*	Prior Year Annual Report	Incomplete		N Attachments (0)
*	Prior Year Audited Financial Statements	Incomplete		🗞 Attachments (0) 🔵

3. Click on the Choose button to find the file you want to upload. You may select and upload multiple files as needed.

a Cancel		
t or rtf files are allowed with a maximum file	e size of 25 MB.	
Options		
	d or rtf files are allowed with a maximum file Options	d or rtf files are allowed with a maximum file size of 25 MB. Options

est			• • • •	Search Test	
ew folder				80	- 🗆 6
clusterfs\ssovoll\shared) (W:) 1 no 71Desktop 71Desktop - Copy	•	Name Annual Bank Report.docx Prior Year Annual Report.docx		Date modified 5/10/2016 3:04 PM 4/18/2016 10:41 AM	Type Microsoft Wo Microsoft Wo
p	-	e [
File name: Annual Bank Rep	ort.do	DX .	•	All Files (*.*)	-
					Creat

4. Click the upload button and your selected file(s) will be attached to your filing.

Helpful Hint: You still need to save these changes to the filing in Step 8.

	_		
♣ Choose	ad Cancel		
Annual Report.pdf		53.6 KB	×
ote: only pdf, word, excel,	html, text or rtf files are allowed with	a maximum file size of 25 MB.	
	Options		
Filename			
No records found.			

5. You will get a message that your file was uploaded. Click the Close button on the lower righthand corner to exit this box.

File uploaded			
+ Choose + Uplo	ad @ Cancel		
ote: only pdf, word, excel,	html, text or rtf files are allowed with a maximum file siz	ze of 25 MB.	
ote: only pdf, word, excel,	html, text or rtf files are allowed with a maximum file siz Options	ze of 25 MB.	
ote: only pdf, word, excel, Filename Annual Report.pdf	html, text or rtf files are allowed with a maximum file siz Options	ze of 25 MB.	
ote: only pdf, word, excel, Filename Annual Report.pdf	html, text or rtf files are allowed with a maximum file siz Options	ze of 25 MB.	

6. Note that the name of your file now appears under the Details column and that there is a (1) indicated on the attachment button.

Sup	porting Documents			<table-cell-rows> Cancel 🖪 Save</table-cell-rows>
	Description Status Details		Details	Options
*	Prior Year Annual Report	Uploaded	Annual Report.pdf	N Attachments (1)
*	Prior Year Audited Financial Statements	Incomplete		🗞 Attachments (0) 🖗

- 7. Repeat this process for other support document required
- 8. Click on the Save button. This results in the saving of changes to the Supporting Documents section.

Adding another file type in supporting documents

If you want to add another support document that is not listed as required or optional on the filing, you can add the support document type and then upload the file.

To add another type of supporting documents to a Filing:

• From the Filing Detail page, click the Edit button that is located to the right of the Supporting Documents section.

VISION					
Securities Dashboard Notifications My Security Filings	1				
Filing Detail - 1004069				Cancel © Submit	 Notes (1)
O CUSP information	Q, General				
CUSIP 915291562	Filing Year	Date Acquired	Financial Analyst Name	Arrisdiction	
Issuer Name UNUM GROUP	2015	12/16/2015		FLORIDA	
Issue Desc ADJ CONVERSION RATE EQUIT_	No	No			
Designation Status Unconfirmed FE	1				\frown
Coupon Rate 8.250	Supporting Documents				∕ Eat
Maturity Date	Description		Status	Details	\smile
Dated Date	Prior Year Audited Financial Statement	5	Accepted - 91529Y10		
Filing Information	Prior Year Annual Report		Accepted - 91529Y10		
Filing Number 1004009					

2. Once the edit mode is enabled, click the "Add" button, to add more document types.

U VISION						
Securities Dashboard Notifications My Security Filings						
Filing Detail - 1004069					the ca	ncel 🗢 Suconit 🗣 Notes (1
CUSIP Information	Edit mode for document is now enabled					
CUSIP 915297502	Q, General	←				
Issue Desc ADJ CONVERSION RATE EQUIT	Filing Year 2015	Date Acquired 12/16/2015	Financial Analysi Kame		Jurisdiction FLORIDA	
Designation Status Unconfirmed FE	Escrowed To Maturity	Pre-Refunded				
Coupon Rate 8 250						
Maturity Date	E Suspection Decuments					
Deled Dete						Contraction of Contract
Filing Information	Description		Status	Details		Options
Filing Number 1004059	Prior Year Audited Financial Statements		Accepted - 91529Y10			🍕 Atlachments (1) 🌘
Status Draft	Prior Year Annual Report		Accepted - 91529Y10			🗣 Atlachments (1) 🛛 🗭
Analyst Unassigned						
P.4.000000 0.000	* A00					

3. When the window pops up, select the "Filing Submission Type" from the dropdown menu, then Click the "Add" button.

VISION			g Submission Type		
Securities Dashboard Notifications	My Security Filings	3			
Filing Detail - 1004069				X CONT AND	Cancel O Submit Notes (
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Neue Desc. ADJ CONVERS	BON RATE EQUIT	Filling Team 2015	Date Acquired 1216/2015	Financial Analyst Name	Jurisdiction FLORIDA
Designation Status	Unconfermed FE	Excrement To Maturity	Pre-Refueded In:		

• The added document type is now listed in the Supporting Documents section.

Filing Detail - 1004069	6						-	Jancel O Submit Note
CUSP Internation		Q. 64						
1549	915291502	Film	g Tear	Date Acquired	Financial Analyst Name		Jurisdiction FLORIDA	
uer Nathe	UNUM GROUP	2015	awed To Maturity	12/15/2015 Pre-Betweeted				
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ignation Status	Unconfirmed FE							
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urity Date			Description		Status	Details		Options
ed Date		•	Prior Year Audited Financial Stateme	nts	Accepted - 91529Y10			• Atlachments (t)
ing intomation			Prior Year Annual Report		Accepted - 91529Y10			A Alla Develop (1)
g Number	1054069		Schedule Y from Annual Statement		Optional			Adactments (D
	Draft		2011년 21년 14년 21년 12년		52555			Sector Contract Contractor Contractor

- Prior to saving the changes, upload your file to the added document as described in the section above. Otherwise, the added document type will be removed during the saving process.
- Once the file is uploaded, click the "Save" button for the Supporting Documents section.
- A message confirming the Filing has been saved displays, and the Status field of the added document now shows Uploaded.

Filing Detail - 1004069					• Back	 Notes (
CUSP Internation	Filing 1004065 has been saved and ha	Filing 1004069 has been saved and has a status of "Accepted".					
CUSIP 915297502							
Issuer Name UNUM GROUP	Q General	W2					
ADJ CONVERSION RATE EQUIT	Filing Year 2015	Date Acquired 12/16/2015 Pro-Refunded	Financial Analyst Name	Jurisdiction FLORIDA			
Designation Status Unconferred FE	Escrowed To Maturity						
Coupos Rate 8.250	No	No					
Maturity Date						-	
Dated Date	Supporting Documents					∕ Edi	
© Filing Information	Description		Status	Details			
Filing Number 1054069	Schedule Y from Annual Statement		Uploaded	Test file xisx	_		
Status Accepted	Prior Year Audited Financial Statem	erts	Accepted - 91529Y1				
Autor Philipping	Prior Year Annual Report		Accepted - 91529Y1				

Export filing information

1. Under "My Security Filings" tab, select the filing number.



- 2. At the top right, select the blue button that reads "Export Filing Information".
- 3. At the bottom of your screen you will see a bar pop up to open, save or cancel your generated document.

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1	6 (mm)				
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	Othering Mante		Reported	96.507	
	Private Parameter (Here: (Heal)		Assessed	12.57	
	Property (Hel)		Agencer	94.07	•

4. Choose open.



Viewing bulletin board messages

Messages from the NAIC will be displayed to filers in the header on all pages alerting you of important information. See the gray box that is circled below. The message and gray box will not be visible if a message is not posted.

The system	ill be down for	maintenance	e beginning S	aharday at noon and	will be available Sunday	by Asson.							
Dashboard My Bar	in My Bark	Filinga M	ly Security Fi	ings SCA Filings	My Counterparties	My Counterparty Filings	My Mutual Funds	My Motori Fo	nd Filinge				
Entire Dashboard										a ce	CUSP or	Issuer #	Q Sea
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in VOS	0	All		CUSP s	Issuer Name 0	Nature Devic 0	1	Designation Source 0	base Disposition	Blaturity Date 0	Marked as Called Date 0	Coupon Rate 0	Available Action
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Sending comments to the analyst

All filings have the functionality for the filer to send a confidential note to the NAIC analyst regarding the filing. This note is not viewable by other filers. If you need to send a note to the analyst to whom a filing has been assigned, perform the following steps:

- 1. Drill down to the filing detail by clicking on the filing number.
- 2. Click the Notes button in the upper right-hand corner. The "Notes" counter displays 0, which means there are *No* comments on this Filing.

VISION	h left					
Securities Dashboard Notifications My Security Filing	· · · · · · · · · · · · · · · · · · ·					
Filing Detail - 1003867						Back Back
© CUDP Information	Q, Ceneral					
CUSP 91529/304	Industry Code	Filing Year	Date Acquired		Financial Analyst Name	
Issuer Kane URUM GROUP	0100 - ADRICULTURE PRODUCTION-CROPS	2015	12/14/2015			
Issue Desc PUBLIC INCOME NT PINES						
Designation Status Unconferred FE	Supporting Documents					10
Coupon Rate 7.250	Description			Status	Details	
Maturity Date 06/15/2032	Prior Year Audited Financial Statements			Accepted - 91529Y10		
Daniel Daniel 06/25/2902	Prior Year Annual Report			Accepted - 91529Y10		

- 3. The "Notes" pop-up window displays.
- 4. Type the comment in the text area
- 5. To submit, click the "Note to Analyst" button.

						and the second se
T VISIO	DN		P Notes			
			No comments have been entered. Enter a comment below to start the conversation .			
Securities Dashboard	Notifications My Security Filmg	8				
Filing Detail - 10038	867					🕈 Back 🗣 Notes (0)
O CUSIP Information		Q. General	torin characters remaining			
CUSIP	91529Y304	Industry Code	Hote to Analyst Cancel	red	Financial Analyst Name	
houser Name	UNUM GROUP	0199 - AGRICULTUR	9	J		
Issue Desc	PUBLIC INCOME NT PINES					
Designation Status	Unconfirmed FE	E Supporting Docum	rb			₽ Edit
Coupon Rate	7.290	Descriptio	•	Status	Details	
Maturity Date	06/15/2932	Prior Year	Audited Financial Statements	Accepted - 91529Y1	2	
Dated Date	NORMA	O Prior Year	Annual Report	Accested - 91529Y1	,	

- 6. The comment entered, along with the time and date submitted will display.
- 7. Click the "Cancel" button, to close the window.

Notice that the "Notes" counter is set to 1 now.

	M		Notes	The second second		ŀ
			Robert Wassion, NAIC Test Acct 21 a 12/16/2019 12/12/19	a second second		
Securities Dashboard Not	ifications My Security Filing	5	Connet			
Filing Detail - 1003867	0				n Back	Notes (1)
O CUSP Information		Q, General	400 sharafee amagen			
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Issuer Name	UNUM GROUP	0100 - AGRICULTURE F		J		
Issue Desc	PUBLIC INCOME NT PINES					
Designation Status	Unconferred FE	Supporting Documents				- PER
Cospos Rate	7.250	Description		Status	Details	
Maturity Date	96/15/2032	Prior Year Au	Sted Financial Statements	Accepted - 91529Y1	1	
Cashed Cashe	66252582	Prior Your An	sual Report	Accepted - 91529Y1	1	

Note: A different filer or analyst who looks at the filing is not able to see the Details column, edit the Supporting Documents section, or view the comments in the Notes. This data is confidential and available only to the filer and NAIC analyst.

Viewing the information clock

When there is an outstanding Information Request on one of your filings, you will see the Information clock displayed in several places in VISION.

The information clock will be displayed on the far right-hand side of your filings tab. It will display the number of days the information was requested, and if you hover over the clock, it will show the remaining days left before your filing expires. In the example below, the Information Request was sent to the filer two days ago, and the filer has 43 more days before it expires.

Eqot J Clearthers									
ing Number 0 CUS	Cusap o	hover Name 0	haue Desc 0	CaCode 0	Campany Name 0	Submission Type 0	Status 0	Date of Status Chan	ga • 1
57759 504	504904103	LABRADOR IRON ORE ROTALITYIN	TR UNIT	15805	Antra Better Hth of lows Inc	Initial Filing	Submitted	10 4	
1006207 977	977712108	WOLF NOUSTRES INC	COM	24457	Reliance Ins Co	Initial Filing	Info Request		

The filing clock will also show to all filers in any filing status fields related to this security. When they hover over the filing clock, 43 days remaining will be displayed.

From the Filing Detail:



From the Issue Detail page:

Filing Number ©	Submission Type 🌣	Status
▲ 1005207	Initial Filing	2 Info Request

Mailing paper copies of support documents

If you are unable to upload a support document, you may mail it to the NAIC. These filings will cost more to help cover the manual processing costs. Make sure you indicate that you are mailing the support document in on the filing and enclose a screen print of the filing detail with your mailing.

To indicate you are mailing in the support document, take the following steps from the Supporting Documents section of your filing:

1. Enable the edit mode of the Supporting Documents by clicking on Edit.

🖬 Sup	porting Documents				🖋 Edit
	Description	Status	Details	Options	
*	Prior Year Annual Report	Incomplete			
*	Prior Year Audited Financial Statements	Incomplete			

2. Click on the attachments button for the support document.

🖬 Sup	porting Documents			<table-cell-rows> Cancel 🖺 Save</table-cell-rows>
	Description	Status	Details	Options
*	Prior Year Annual Report	Incomplete		🔦 Attachments (0)
*	Prior Year Audited Financial Statements	Incomplete		💊 Attachments (0) 🖗

3. Click on the Add Bypass Reason in the Attachments pop up box

		Add Bypass Reason
+ Choose J (Jpload @ Cancel	
Note: only pdf, word, ex	cel, html, text or rtf files are allowed with a maximum file size of : Options	5 MB.
No records found.		
		¥ Close

- 4. Type in that you are mailing in the support document
- 5. Click on the Insert Reason button.

Attachments	🖍 Add Bypass Reason 🔹 Add Attachm	hent
I am mailing in this document		
9/1 characters remaining.		
	🗙 Close 💿 Insert Rea	ison

- 6. Note that the Status of the support document is Bypassed and your text appears in the Details.
- 7. Click on the Save button to save the reason in the filing.

Sup	porting Documents			🕈 Cance	🖹 Save
	Description	Status	Details	Options	
*	Prior Year Annual Report	Bypassed	I am mailing in this document	& Attachments (0)	•
*	Prior Year Audited Financial Statements	Incomplete		R Attachments (0)	

Mail hard copy supporting documentation to the below address for what is applicable to your filing.

VOS, Qualified U.S. Financial Institution, Mutual Fund and Counterparty filings:

NAIC – Securities Valuation Office One New York Plaza Suite 4210 New York, NY 10004

SCA filings: NAIC – Financial Regulatory Services 1100 Walnut St Suite 1500 Kansas City, MO 64106-2197

EXAMPLE OF SUBMITTING A COUNTERPARTY/MUTUAL FUNDS FILINGS

There are many similarities in the filing process for Mutual Funds and Counterparties. Below is an example of a Counterparty filing.

1. From the My Counterparty Filings tab, select Initiate Initial Filing to start the filing.

Message Center	Dashboard My Filin	gs SCA Filings	My Counterparties	My Counterparty Filings				
Filings submi	tted by NAIC Test.	Acct Latonya B	uchanan				+ initiate initial Filling	♂ Clear filters
Filing Number ©	Name ¢		Location ¢	Exchange ¢	Submission type 🗢	Status 🌣	Date of Status Change 🗘	10

- Upload the support documents as described in Other Functionality Adding Support Documents to a Filing. Or mail in the support documents described in Other Functionality – Mailing in Support Documents.
- 3. Submit the filing by clicking on the Submit button.

VISION						=
Welcome						
Message Center Dashboard My Filings SCA Filings	My Counterparties My Cou	interparty Filings				
Filing Detail - 1028541						* Cancel Submit Notes (0)
Filing Internation	Q General					
Filing Number 1020541	Counterparty Name	Counterparty Location	Guarantor	Exchange		
Status Pending Submission	vzodd	adds		.5		
Analyst Unicolgred	E Succession Decomments					(11)
Submission Type Indu						eou
Filing Type Courterparty	Description			Status	Details	Options
Contraction of Contractions	Latest Financial State	ments of Guarantor or Lessee		Required as Applicable		
Estimated Filing Cost \$2250	Prior Year Audited Final	ancial Statements		incomplete		
Ine. Rpt. Entity BCBS OF KC (Cocode: 47171)	Proof of Ratings			Incomplete		

4. After filing submission, you are taken to the My Counterparty Filings page. There will be a message that your filing was submitted and an estimated price will be displayed. This filing appears on the first row in the counterparty filings below.

Message Center	Dasabbaru kiy hings Sc	white wy counterparates wy	councerparty trangs				
Filings submi	tted by NAIC Test Acct La	tonya Buchanan				🕈 inBale Indial Fil	ag 🥒 Clear filters
🚺 Tilling 1020541 has	been submitted with an estimated price	of \$2,250.					
Filing Number 0	Name C	Location ©	Exchange C	Submission Type ©	Status ¢	Date of Status Change 🌣	10
1028541	vzedd	aads	5	Initial Filing	Submitted	05/29/2018	
			Showing 1-1 of	C test test (M) and test			

EXAMPLE OF SUBMITTING A PRIVATE LETTER RATING (PLR) FILING

- 1. Initiating the filing
- 2. Completing the filing wizard
- 3. Attaching supporting documents
- 4. Submitting the filing

An example of a PLR filing is shown below:

Initiating the filing

Click on the action button to initiate the filing. You may do this from the security dashboard or from the issue detail page, as discussed in the Getting Started sections of this manual.

								D Cier	a coor a	NATION IN	4
Entire Dashboard								Search by	requer name		
de Filters											
	-										
Secontlies in your dashimund	012	-						Maturity Date	Marked as	Counce Bate	Available Action
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+ V05	Ø	All	-						0		
				504904103	LARRADOR IRON ORE ROVALTVINCO.	TR UNIT	To Be Filed With SVD				A lost statistical of

Completing the filing wizard

If you are associated in VISION with multiple organizations, you have to select the organization for which you are filing and click Next. If you are associated with only one organization, your filing will default that to and you will be taken to the next step. This is also the company who will receive the invoice for the filing.



Provide the issue type information as prompted and select "YES" to specify you are filing a PLR filing.

λ Initiate Initial Filing					×
Organization 2. Issue Type 3. Additional Information 4. F	Review				
33.0%					
← Back → Next					
Choose an issue type and subtype		Filing Information			
Issue Type Foreign Government	issue Subtype Foreign	Insurance Reporting Entity	CUSIP 715638AU6	Type Foreign	Subtype Foreign
Is this a Private Letter Rating filing?		PETER CLAVER (Cocode: 57835)		Government	

Click Next to proceed to the Additional Information step and provide the requested information for your filing.

rganization 2. Issue Type 3. Additional Inform	ation 4 Review							
				83.0%				
lack 🔶 Next								
Additional Information					Filing Information			
Date Acquired *	Financial Analy	st Name	Filing Year		Insurance	CUSIP	Filing Year	Type
mm/dd/yyyy			2017	•	Reporting Entity KNIGHTS OF	715638AU6	2017	Foreign Government
					PETER CLAVER (Cocode: 57835)	Subtype	Filing Type	Industry Code
1 2 3 4 5 6 ance	v	Vas a preliminary (RT) ssue?	AS) designation assign	ed to this	(000000.07000)	Foreign	Private Letter Rating	9730 - FOREIG GOVERNMENT
7 8 9 10 11 12 13 14 15 16 17 18 19 20	•	No		•	Is being filed at request of State Insurance			
					Department?			
					No			
CRP: *		Rating: "		Date of Letter: *				
	14	0.000	1.00	C 222AVALUES				

To add additional Credit Rating Providers (CRPs) ratings to the filing, click the Add Additional Rating button.

				83.0%					
Back - 🔸 Next									
Additional Information						Filing Information			
Date Acquired *	Financial Ana	lyst Name	Filing Year					-	
05/04/2017			2017	•		Reporting Entity KNIGHTS OF	CUSIP 715638AU6	Filing Year 2017	Type Foreign Government
730 - FOREIGN GOVERN s being filed at request of St Department?	IMENTS ate Insurance	Was a preliminary (RTA: issue?	5) designation assigne	ed to this		PETER CLAVER (Cocode: 57835)	Subtype Foreign	Filing Type Private Letter Rating	Industry Code 9730 - FOREIGI GOVERNMENT
No	•	No		τ.		request of State Insurance Department?			
Ratings						No			
CRP: *		Rating: *		Date of Letter: *					
Select One		Select One	,	mmAtdlyyyy					
Select One Standard and Poors Moodrys Fitch DBRS EJR - Egan-Jones AM Best	R	Fax: 816 783-8175 8 am. to 5 p.m. (CST)			Add Addilional Rating				_

Attaching supporting documents

Attach your support documents as described in Other Functionality – Uploading support documents to your filing. Note: you are required to upload the Private Letter Ratings Letter for PLR filings.

Submitting the filing

Click on the Submit button in the upper right-hand corner.

Filing Detail - 1011913					🛪 Cancel 👂 Submit 🔍 Note
CUSIP Information	File uploaded				
CUSIP 715638AU6	O Connect				
issuer Name PERU REP	General				
ssue Desc US\$ GLOBAL BD	9730 - FOREIGN GOVERNMENTS	Filing Year 2017	Date Acquire 05/04/2017	d	State Insurance Requested No
Designation Source In FE					
Coupon Rate 6.550	Q Submitted Ratings				
ssue Disposition	CRD		PATIN		DATE OF LETTER
faturity Date 03/14/2037	DBRS		AAA		05/09/2017
larked as Called Date	Standard and Poors		A-		05/15/2017
lated Date 03/14/2007					
Filing information	Supporting Documents		R		🐂 Cancel 🛄 S
Filing Number 1011913	DE SC RIPTION		STATUS	DETAILS	OPTIONS
tatus Penditog Submittaion	* Standard and Poors Private Letter Rating		Uploaded	business_rule_msgs.bit	% Attachments (1)
Unassigned	DBRS Private Letter Rating		Uploaded	business_rule_msgs.txt	& Attachments (1)
ubmission Type Initial					
iling Type Private Letter Rating	+ Add				
Steron Sovereign					

After filing submission, you will be taken to your My Security Filings page. Note: there is a message confirming the submission of your filing and the estimated price. This filing is the first row of this page, and the filing status is Submitted.

Private Letter	Rating Filings								×
B Equit # Clear	Stars								
FILING NUMBER ©	CUSIP 0	TESUER NAME 0	ISSUE DESC. 0	COCODE 0	COMPANY NAME \$	SUBMISSION TYPE 0	STATUS ©	DATE OF STATUS CHANGE	10
1011954	715638408	PERU REP	US\$ GLOBAL RD	68772	SECURITY MUT LIFE INS CO OF NY	Bubbequeet Filing	Duomited -	05/16/2017	
1011734	571003AP8	MARRIOTT INTLINC NEW	NT SER P	94358	USABLE UPE	Subsequent Filing	Rejected	05/10/2017	
1011232	571303498	MARRIOTT INTLINC NEW	NT SER.P	67628	PERIN LIFE INS CO	Subsequent Filing	Review Completed	05/01/2017	
1011231	571903-4P8	NARRIOTT INTLINCIEN	NT SER P	28339	CITEWAY INS CO	wital Filmg	Review Comprehend	05/01/2017	ne.

EXAMPLE OF SUBMITTING A SUBSIDIARY, CONTROLLED AND AFFLIATED (SCA) FILING

- Initiating the filing
- Completing the filing wizard
- Attaching supporting documents
- Submitting the filing

An example of a SCA filing is shown below:

Initiating the filing

Click on the action button to initiate the filing. You may do this from the SCA dashboard, as discussed in the Getting Started sections of this manual.

Message Center	Dashboard	My Filings	SCA Filings	My Counterparties	My Financial Institutions	My Counterparty Filings	My Mutual Funds	My Mutual Fund Filings	
SCA Filings s	ubmitted fo	r organiza	tions relate	ed to NAIC Test A	cct Latonya Buchana	n		Export 2 Ck	ear filters 🕈 Initiate Sub-1
Filing Number 💠	CUSIP \$	Issuer	Name 🗘	Issue Desc 🗘	CoCode ≎	Company Name 🌣	Submission Type 4	Status \$	Valuation Me
1001682	31741@107	FINAN	CIAL ASSOCS MID	WEST INC COM	47171	BCBS OF KC	SUB-1	Review Completed	8b(ii) - Non In

Completing the filing wizard

If you are associated in VISION with multiple organizations, you have to select the organization for which you are filing and click Next. If you are associated with only one organization, your filing will default that to and you will be taken to the next step. This is also the company who will receive the invoice for the filing.

Organization	2. Issue Type 3. Additional Information 4. Review
	17.0%
HBack 🔶	Next
Pick an org	anization to file for
r lok all org	anization to me for
	Organizations 🗢
S Onland	Organizations \$
Select	Organizations \$
Select	Organizations \$ AETNA BETTER HLTH OF IOWA INC (Cocode: 15805)
Select	Organizations ≎ AETNA BETTER HLTH OF IOWA INC (Cocode: 15805) BAR PLAN GRP (Cocode: 741)
Select	Organizations ≎ AETNA BETTER HLTH OF IOWA INC (Cocode: 15805) BAR PLAN GRP (Cocode: 741)
Select Select Select	Organizations ≎ AETNA BETTER HLTH OF IOWA INC (Cocode: 15805) BAR PLAN GRP (Cocode: 741) Reliance Ins Co (Cocode: 24457)
Select	Organizations ≎ AETNA BETTER HLTH OF IOWA INC (Cocode: 15805) BAR PLAN GRP (Cocode: 741) Reliance Ins Co (Cocode: 24457)

Select the insurance reporting entity and identify which SCA you are filing. This information will vary and is specific to your company.

VISION User Guide—Filer

Q Sub-1						× Cancel
1. Filer and SC	A 2. Valuation Method 3. SCA Acqu	isition Details 4. SCA Acquisition Ove	rview 5. Review			
€ Back → No	20.0%					
Select Filer	-					
	Filer 0					
Select	BCBS OF KC (Cocode: 47171)					
C Select	UNITED AMER INS CO (Cocode: 92916)					
Enter SCA CL	usip					
Find Issue *		SCA Name *	Filing Year *		Was SCA Company Acquired or Formed?	
Enter a 9 cha	racter cusip Q F	nd	2018	V	Select One	v

Click Next to proceed to the Valuation Method step.

Select the SCA Type. Note that the Filing Information is summarized and displayed on the right-hand side of the screen.

Click Next to proceed to the SCA Acquisition Details step.

Sub-1	
Filer and SCA 2. Valuation Method 3. SCA Acquisition Details 4. SCA Acquisition Overview 5. Review	
40.0%	
Back + Next	
Select Type of SCA	Filing Information
SCA Type *	
Select One	Reporting Entity 02401@AC3 - SER Test SCA 2018
orgai - Namer Vaue Böhl - US Insurance SCA Entities Böhli - Non Insurance SCA Entities (SAAP Basis Böhlin - Non Insurance SCA Entities (GAAP Basis Böhlin - Non Insurance SCA Entities (GAAP Basis Böhlin - Foreign Insurance SCA Entities	BGBS OF KC C SR GTD NT (Coccode: 47171) Company Acquired or Formed?

Provide the requested information related to the acquisition of the security.

Click the Next button to proceed in the SCA Acquisition Overview step.

Filer and SCA 2. Valuation I	60.0%. SCA Acquisition Details 4. SCA Acquisition Overview 5. Review	
ack Next SCA Acquisition Trincipal Business *	Date Shares Acquired *	Filing Information
	mm/dd/yww	Reporting Entity musication of Tableco

Click the Next button to proceed in the SCA Acquisition Overview step.

Upon review, if you need to change any of your filing information, use the Back and Next buttons to navigate through the filing wizard.

VISION User Guide—Filer

After the filing information is correct, click on the Prepare Filing button at the bottom of the page.

Back 🤿 Next							
SCA Acquisition Overview							
Transferra Andread A	there is a second se	Malas Bar Phone 1	Brown Constanting Share Constant	Filing Information			
S	shares Owned	s	%	Insurance Reporting Entity	CUSIP	SCA Name	Filing Year
				BCBS OF KC	C SR GTD NT	Was SCA	2018 Method Tupe
onsideration Paid *				(Cocode: 47171)		Company	8(a) - Market Value
5						Formed?	
and a second second second						Acquired	
oes the SCA directly or indire	ctly own shares of the insurance reportir	ng entity? *					
Select One		~					
selecting Yes, an elimination w	orksheet will be required.						
loes the SCA directly or indire	ctly own shares of an upstream intermed	liate or ultimate parent?					
Noes the SCA directly or indire	ctly own shares of an upstream intermed	liate or ultimate parent?					
Does the SCA directly or indire Select One selecting Yes, an elimination w	ctly own shares of an upstream intermed	liate or ultimate parent?					
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Click the Next button to proceed in the review step.

Upon review, if you need to change any of your filing information, use the Back and Next buttons to navigate through the filing wizard.

After the filing information is correct, click on the Prepare Filing button at the bottom of the page.

Helpful hint: You will not be able to return to the filing wizard and make changes after this step, so make sure your information is correct. If you proceed and there is an error, you will have to cancel and start over.

		100.0%	
lack 🔶 Neut			
Filing Information			
surance Reporting Entity	CUSIP	SCA Name	Filing Year
CBS OF KC (Cocode: 47171)	02401@AC3 - SER C SR GTD NT	Test SCA	2018
as SCA Company Acquired or Formed?	Method Type	Principal Business	Date Shares Acquired
quired	8(a) - Market Value	Run	03/01/2017
Seller a Related Entity as defined under SSAP 25?	Goodwill	Total Value Claimed	Shares Owned
	No Goodwill	\$1,000,000.00	10,000.00
lue Per Share	Percent Outstanding Shares Owned	Consideration Paid	Does the SCA directly or indirectly own shares of the
00.00	2.0000 %	\$0.00	insurance reporting entity?
			No
es the SCA directly or indirectly own shares of an upstream	Is the SCA consolidated with other subsidiaries?		
ermediate or ultimate parent?	No		
leady for submission			

Attaching supporting documents

Attach your support documents as described in Other Functionality – Uploading support documents to your filing. Note in this example, the Supporting Documents detail say there is an OFFICAL SHARED COPY ON FILE, so I do not have to provide the documents – the NAIC already has them.

Submitting the filing

Click on the Submit button in the upper right-hand corner.

O SCA Hing information		Q General					
CUSIP	02401@AC3	Valuation Method	Date S	hares Acquired	Principal Business Run	Was SC Acquires	A Company Acquired or Formed?
Issuer Name	AMERICAN ASSETS TR L P	Consolidated SCA	Is Seller a Related Entity 25?	y as defined under SSAP	Goodwill	Discount Rate	Total Value Claimed
SCA Name	Test SCA		No		Shares Owned 10,000.00	Value Per Share \$100.00	Percent Outstanding Shares Owned 2,0000 %
0 Filing information		Consideration Paid \$0.00	Does the SCA directly o ultimate parent?	rectly or indirectly own shares of an upstream intermediate or Does the SCA directly or indirectly o			indirectly own shares of the insurance reporting e
Filing Number	1028461		No				
Status	Pending Submasion						
		 Supporting occurrents 					
Filing Year	2018						
iling Year nalyst	2018 Unassigned	Description		Status	Details		Options
illing Year Analyst Submission Type	2018 Unassigned Sub-1	Description **SCA Elimination	1 Worksheet	Status Required as App	Details		Options
Filing Year Analyst Submission Type	2018 Unassigned Sub-1	Description **SCA Eliminatio **SCA Goodwill V	n Worksheet Yorksheet	Status Required as App Required as App	Details Alcable		Options @
Filing Year Analyst Submission Type Filing Type	2018 Unassigned Sub-1 SCA	Description **SCA Elimination **SCA Goodwill V **SCA Permitted	I Worksheet Vorksheet and Prescribed Practices	Status Required as App Required as App Required as App	Details Ricable Ricable		Options © ©
Filing Year Analyst Submission Type Filing Type Estimated Filing Cost	2018 Unassgned Sub-1 SCA Not Available	Description **SCA Elimination **SCA Goodwill V **SCA Permitted **SCA Stat. Adjus	r Worksheet Vorksheet and Prescribed Practices stment Worksheet	Status Required as App	Details Alcable Alcable Alcable Alcable		Options

After filing submission, you will be taken to your My Security Filings page. Note there is a message confirming the submission of your filing and the estimated price. This filing is the first row of this page, and the filing status is Submitted.

SCA Filings	submitted for	organizations related to	o NAIC Test Acct La	tonya Buchana	in		Export 2	🕈 Clear filters 🕴	Initiate Sub-1
1 Filing 1028461	has been submitted.								
Filing Number 🗘	CUSIP ≎	Issuer Name 🌣	Issue Desc 🗘	CoCode 🗘	Company Name 🌣	Submission Type 🗘	Status *		Valuation Me
1028461	02401@AC3	AMERICAN ASSETS TR L P	SER C SR GTD NT	47171	BCBS OF KC	SUB-1	Submitted		8(a) - Market

EXAMPLE OF SUBMITTING A VOS FILING

- Initiating the filing
- Completing the filing wizard
- Preparing the filing
- Attaching supporting documents
- Submitting the filing

An example of a VOS filing is shown below:

Initiating the filing

Click on the action button to initiate the filing. You may do this from the security dashboard or from the issue detail page, as discussed in the Getting Started sections of this manual.

Entire Dashboard							Search by	ar CUSIP or	Issuer #	Q Search
ide Fitters										
Securities in your dashinarid										
in VOS		Groupings	CUSIP 0	Issuer Name 0	Issue Desc. 0	Designation Source	Maturity Date	Marked as	Coupon Rate ©	Available Actions
IN VOS	Ø	All				a	÷	©		<u> </u>
Connectly Residued	0		934904103	LABRADOR IRON ORE ROYALTYINCO.	TR UNIT	To Be Filed With SVD				🕈 initiate Initial Film

If you are associated in VISION with multiple organizations, you have to select the organization for which you are filing and click Next. If you are associated with only one organization, your filing will default that to and you will be taken to the next step. This is also the company who will receive the invoice for the filing.

Organization	2. Issue Type 3. Additional Information 4. Review
	17.0%
Back 🔶	Next
Pick an org	anization to file for
	Organizations \$
Select	Organizations ≎
Select	Organizations ≎ AETNA BETTER HLTH OF IOWA INC (Cocode: 15805)
Select	Organizations ≎ AETNA BETTER HLTH OF IOWA INC (Cocode: 15805) BAR PLAN GRP (Cocode: 741)
Select	Organizations ≎ AETNA BETTER HLTH OF IOWA INC (Cocode: 15805) BAR PLAN GRP (Cocode: 741)
Select	Organizations ≎ AETNA BETTER HLTH OF IOWA INC (Cocode: 15805) BAR PLAN GRP (Cocode: 741) Reliance Ins Co (Cocode: 24457)
Select	Organizations ≎ AETNA BETTER HLTH OF IOWA INC (Cocode: 15805) BAR PLAN GRP (Cocode: 741) Reliance Ins Co (Cocode: 24457)

Please provide the issue type information as prompted on the next page. This information will vary and is specific to the type of issue type you select.

33.0% Back ✦Next		
Back → Next		
Back 🔶 Next		
Choose an issue type and subtype		
Category *	Subtype *	
Municipal	- Bond Bank	

Click Next to proceed to the Guarantor step.

Provide the guarantor information that is requested. Note that the Filing Information is summarized and displayed on the right-hand side of the screen.

Click Next to proceed to the Additional Information step.

2 Initiate Initial Filing				
1. Organization 2. Issue Type 3. Guarantor 4. Additional Information 5. Review 67.0%	Filing Information			
← Back → Next	Insurance Reporting Entity	CUSIP 504904103	Type Domestic Municipal	Subtype Bond Bank
• Is this issue contractually supported in any way (e.g. guaranteed, insured or putable to a third party)?	OF IOWA INC (Cocode: 15805)		Lease	
No Yes				

Provide the requested information for your filing.

			83.0%		
ack 🔸 Next					
Additional Information					
ste Acquired *	Financial Analy	st Name	Filing Year		
07/04/2016			2016	•	
being filed at request of State	nsurance Department?	Was a preliminary (R	(TAS) designation assigned to this issue?	Accounting Standards	
Ver	•	No	•	U.S. GAAP	-
142					
res le Issue's documentation, inclu signations in Private Agreeme Yes	ding Prospectus and Note Agre nts) shall apply only to transac	ement, was reviewe tions issued after Sep	d for prohibited "trigger" language, and n tember 1, 2010 and to transactions to whi	one was found. "The Prohibition ch the prohibited clause is added	of the use of NAIC after September 1, 2010"
Yes Municipal	ding Prospectus and Note Agre	rement, was reviewe tions issued after Sep	d for prohibited "trigger" language, and n tember 1, 2010 and to transactions to whi	one was found. "The Prohibition ch the prohibited clause is added	(of the use of NAIC after September 1, 2010"

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a initiate initial Hilling			8
1 Organization 2 Issue Type 3 Guaranter 4 Additional Informati	on 5. Review	(1922-9)	
+ East + Net		186.0%	
E Filing Information			
Insurance Reporting Entity AETNA BETTER HUTH OF IOWA INC (Cocode: 15005)	CUSIP 524904103	Filing Year 2016	Type Domestic Municipal Lease
Subtype Bond Bank	Date Acquired 07/04/2016	Jurisdiction ILLINOIS	Is being filed at request of State Insurance Department? Yes
Accounting Standards U.S. GAAP			
The lower's documentation, including Prospectus and Note A transactions to which the prohibited clauxe is added after Se Yes	grooment, was reviewed for prohibited "trigger" langu normber 1, 2010"	age, and mone was found. "The Prohibition (of the use of NAC Designatio	os in Private Agreementý shall apply only to transactions issued after September 1, 2010 and to
0 Ready Fer Submession			
Please review all information prior to submitting. Once submitted yo	u will not be able to return to the VOS filing vicand.		

Attaching supporting documents

Attach your support documents as described in Other Functionality – Uploading support documents to your filing. Note in this example, the Supporting Documents detail say there is an OFFICAL SHARED COPY ON FILE, so I do not have to provide the documents – the NAIC already has them.

Submitting the filing

Click on the Submit button in the upper right-hand corner.

Filing Detail - 100	7759					Suzenit			
O CUEIF Information		Q, General							
CUSIP	104904102	Filling Year	Date Acquired	Arisdetion	Excrowed to	Maturity			
Bussant Name	LABRADOR IRON ORE ROTALTIN.	2016 Pro-Refunded	07/04/2016 Trigger Langsage Vec	ELINOIS State Invasi and	ta) Requested Accounting St	tandards			
Insue Desc	TRUNKT	760		181	U.E. GAAP				
Designation Searce	To be Fred With DrO								
Congron Rate		T Supporting Documents	potring Decuments						
Issue Disposition		Description		Status	Details	Options			
Malurity Date		Prior Year Annual Report		Accepted	OFFICIAL SHARED COPY ON FILE				
Marked as Called Data		Prior Year Audited Financial Stat	amerits	Accepted	OFFICIAL SHARED COPY ON FILE	(4)			
Galed Date									
Ø Filling lodurmation									
Filing Number	1007709								
Status	Footing Transmission								
Analyst	Unassigned								
Submession Type	14M								
Filling Type	Becutters								
Category	Munipal								
Security type	Domestic Manopal Lease								
Insue Subtype	Band Bans								
Estimated Filing Cost	NetAvailable								

After filing submission, you will be taken to your My Security Filings page. Note there is a message confirming the submission of your filing and the estimated price. This filing is the first row of this page, and the filing status is Submitted.

Dachboard My Security Filings My Counterparties My Counterparty Filings													
Filings submitted by NAIC Test Acct :													
Filing 1007759 to	is been submitted wit	h an estimated price of \$5,080.00.											
VOS Fillings													
B Expot d' Clear t	Sters .												
Filing Number 0	CUSIP 0	bauer Name O	Issue Desc 0	CeCode 0	Company Name ©	Submission Type 0	Status 0	Date of Status Change					
10077199	504904103	LABRADOR IRON ORE ROYALTYIN	TR UNIT	15805	Aetna Better Hith of Iowa Inc.	Initial Filing	Submitted	07/28/2016					

Release Notes

4/26/18 – 1.10

- Analysts can complete a FI renewal filing
- Analysts can filter and sort information on their Issuer Dashboard
- Removed the comprehensive export of all filings on Analysts My Assigned Filings
- Analysts can export filtered information in My Assigned Filings for FI, PLR, Securities, Mutual Funds, and Counterparty filings
- Corrected the retention of Notes by Analysts on Mutual Fund filings
- Corrected the '\$' sign in the preorder report that was displaying as garbage values for SVO Admin

4/5/18 – 1.9

- Fixed the Mutual Fund Filing Year issue
- Repaired the Principal Business 500 error on SCA filings
- Fixed the Filter Functionality for Sovereigns on the Financial Institutions List Page
- Removed the concatenation of CUSIP and Issuer Name in the UI for VOS Filings on My Assigned Filings (The export files will be updated and released later this month)
- Accept uploaded internal documents in one key stroke
- Accept filings and approve all external documents in one step
- Prevent the export from dropping the check digit from CUSIPs on Mutual Funds Report

3/23/18 - 1.8

- Replaced the Bank List by adding the U.S. Qualified Financial Institutions functionality
- Users can submit initial and renewal filings to be considered for the U.S. Qualified Financial Institutions
- Filings are submitted with the ABA, EIN/FEIN, LEI and/or CUSIP6

10/5/17 – 1.7

- Removed the Bank List functionality
- Enhanced the review period on Pre-refunded securities
- Added updates to slate prices
- Prevent override on Syndicated Term Loans during the CUSIP Master job

7/14/17 - 1.6

- Added Private Letter Ratings (PLR) functionality to VISION and AVS+. The following updates were made to the search engine, dashboard and AVS+ Valuation files:
- VISION:
- File a PLR
- Dashboard filters for PLR
- Issue Detail displays PLR
- <u>AVS+:</u>
- New Source code 'P' and Designation suffix of 'PL
- Valuation files displays new PLR information
- Advanced Search, and Alerts displays PLR securities

4/7/17 – 1.5

- Fixed the 500 error when multiple filings are submitted in a single browser session
- · Fixed filings that are reassigned when an Info Request has been partially responded to
- Allow all users associated to a company to see the SCA Info Request
- Prevent SCA Info Requests cannot be extended after expiration

2/24/17 – 1.4

New feature for Alert Notifications in AVS+

1/20/17 – 1.3

- Allow Appeals an Annual filings
- Populate and retain SIC code on filings
- Allow Sub-2 filing on a migrated filing
- Allow users to filter by CUSIP on 'My Security' filing tab
- Restrict Surplus Notes is non-fillable
- Allow Cost per share of acquisition to display on Preferred Stock filings
- Allow NR/UP indicator to display on the Issue detail

11/18/16 – 1.2

- Add Export feature for Filing Information similar to the ATF cover sheet
- Add Analyst filing override feature

9/22/16 - 1.1

- Reinstalled the review date and the designation indicator for STS securities to the AVS+ Valuation files
- Reinstalled the Price Source for all securities in AVS+.
- Reinstalled the Market Indicator for on common stock in AVS+
- Allow users to add a value or negative number to the SCA forms

09/6/16 - 1.0

First release of VISION