



Structured Securities (STS)

2015 User's Manual

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Terms of Use

NAIC 2015 RMBS/CMBS STRUCTURED SECURITIES REPORT

The National Association of Insurance Commissioners (NAIC) is providing a proprietary report with information regarding non-agency Residential Mortgage-Backed Securities ("RMBS") and Commercial Mortgage-Backed Securities ("CMBS"), hereafter known as the 2015 "RMBS/CMBS Structured Securities Report" or "Report." The NAIC owns and retains all rights to the data within the Report.

I understand that following confirmation of my payment to the NAIC of the Structured Securities modeling assessment fee, I will be provided an ID and password to access the Report.

As the owner of the Report, the NAIC grants to me a non-exclusive, non-transferable license to use the file according to the terms and conditions stated herein. I must agree to these Terms of Use in order to be able to access the Report.

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By clicking on the 'Agree' button, as an insurer, I agree that I have paid the required Structured Securities modeling assessment to the NAIC and I agree to use the data within the 2015 Report only for non-commercial, informational use. I shall not market, sell, share, transfer or otherwise distribute this data in any manner or form, including on a local area network, to any other person that is not my insurance company affiliate, it being understood that "affiliate" is any entity wholly controlling, controlled by, or under common control of Licensee. Notwithstanding the foregoing, I shall have the right to reproduce the information and data (in whole or in part, in any medium or format) for my company's internal use and to store the information and data in one or more databases for interrogation, analysis, manipulation, compilation, report preparation or later retrieval. Violation of these terms will result in termination of this license and may result in legal action.

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Third-party administrators (TPAs) are required to sign a hardcopy License Agreement and return it to the NAIC; to provide an insurance company client list to the NAIC; and to pay an access fee prior to accessing client insurance companies' Reports. TPAs agree to use the data within each Report only for their insurance company clients that hold non-agency RMBS or CMBS securities in their portfolio and only to assist in the preparation of insurance company client regulatory financial filings. Even after signing the Terms of Use as a permitted user, TPAs must obtain written authorization from the NAIC to use the Report for each insurance company client. Permission will only be granted after the insurer has paid its assessed modeling fee to the NAIC. The TPA is restricted from using the Report for any

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Change in Terms of Agreement

The NAIC reserves the right to revise these Terms of Use at any time by updating this posting.

(By clicking “AGREE” I am bound to these terms.)

Introduction to Structured Securities

In 2009 members of the National Association of Insurance Commissioners (NAIC) approved the recommendation of the Valuation of Securities (E) Task Force and Financial Condition (E) Committee to create a new modeling and assessment process for non-agency residential mortgage-backed securities (RMBS). This assessment process will assist state regulators in ultimately determining the Risk Based Capital (RBC) requirements for the non-agency RMBS/CMBS owned by U.S. insurers at the end of each year. For each of the RMBS/CMBS CUSIPs, the new model will produce prices based upon expected losses for each NAIC designation. Insurers will map the carrying value of each RMBS to these amounts to determine the appropriate NAIC designation and accompanying RBC requirements.

Members of the NAIC have also authorized an assessment of the costs associated with this project to those U.S. insurers that own non-agency RMBS/CMBS subject to the modeling process. An assessment of the costs associated with this project are billed to the insurance companies owning non-agency RMBS/CMBS CUSIPs subject to the new modeling and assessment process, based on Schedule D information from December 31st, statutory annual statement filings.

The NAIC will include all securities that have been identified as non-agency RMBS/CMBS held by insurers as of the Annual and 2nd Quarter in the first file delivery in late December annually. Securities that were identified after the 2nd Quarter cut-off will be analyzed and released in a similar format on late January

System Hours and Support

The Structured Securities service is available at <https://avsplus.naic.org/avsplus/pages/public/home.jsf>. 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, which is generally the first Saturday of each month. Maintenance and update periods are posted on the STS Bulletin Board to let you know when the database will be unavailable.

System support is provided by the NAIC Help Desk, the AVS 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.

The NAIC has established a help line to receive and respond to questions regarding the RMBS/CMBS modeling process, instructions and invoices. By calling the NAIC at (816) 783-8300 and selecting the Structured Securities prompt, callers can access NAIC staff representatives for assistance with: (1) questions related to user id and password for access to the file; (2) questions related to invoices, or to remit payment by credit card or by wire transfer; or (3) Technical questions related to the application. For questions related to statutory accounting and/or the impact of the RMBS/CMBS modeling and assessment process on RBC, please contact the QA Help Line at (816) 783-8400 and select the RMBS option. Additional information and answers to frequently asked questions are posted at the NAIC's website at http://www.naic.org/index_structured_securities.htm.

Contact Information

Questions about becoming an STS subscriber, or questions regarding your company's portfolio and billing should be directed to:

National Association of Insurance Commissioners
AVS Administrator
1100 Walnut Street, Suite 1500
Kansas City, MO 64106
Phone: (816) 783-8300
E-mail: securitiessupport@naic.org

For assistance with your ID or password, please have the following information available: AVS+ User ID and password, NAIC company code, system contact name, and type of browser used. Then contact:

Help Desk
(816) 783-8500
E-mail: help@naic.org

System Requirements

AVS+ performs optimally under Microsoft Internet Explorer versions 8, 9, 10 and 11 and under the major versions of Firefox (i.e. v23+). Customers will not be required to load any additional software onto their PCs.

Users must have a valid ID and password to use the system. To obtain an AVS+ User ID and password, please contact the AVS Administrator at (816) 783-8300.

Third Party Administrator Service

A Third-Party Administrator (TPA) is defined as an individual or group of individuals that are in the business of advising, managing, or procuring Structured Securities data for insurance companies' investment portfolios. A TPA is allowed to create and maintain portfolios, in the name of one or more insurance companies. All clients of TPAs must specify the TPA to which they are granting access.

AVS+ Home Page & Logging In

To access the AVS+ home page, open a browser and enter <https://avsplus.naic.org/avsplus/pages/public/home.jsf>.

To Log In to AVS+ select Log In.

The NAIC AVS+ Log In window displays.

ws02:NAICBETA:AVPLUS

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8/22/2013

NAIC Log In Window

Enter your AVS+ ID User Name and Password. The password is case sensitive and will appear as asterisks (*) when entered.

After the User Name and Password are successfully entered, read and agree to all terms and conditions by selecting the check box beside the By Checking the box to the left your agree to all terms and conditions label.

Select the Login Button.

First Time Logging In

The first time you log in, the system will prompt you to select challenge questions and provide answers. After established, if you forget your password and select the [Forget Your Password](#) hyperlink, the system will prompt you to enter the case sensitive answers to the challenge questions you previously selected.

If you provide the correct case sensitive answers, the system will display the change password prompts. If you are not able to provide the case sensitive answers, contact the NAIC Help Desk by email, help@naic.org or phone 816.783.8500 for additional assistance.

Using Structured Securities

After successfully logging in, you will see the below screen.

The screenshot shows the AVS+ dashboard with the following elements:

- Header:** AVS+ Automated Valuation Service // A product of NAIC. User: me NAIC Test.
- Navigation Bar:** Home, Searches, Portfolios, My Account, New Window, Help, Log Off.
- Bulletin Board - Latest Posts:** A table with columns To, Subject, Date. A 'View All Posts' button is present.
- AVS+ Section:** A wealth of information is at your fingertips with a subscription to the Automated Valuation Service+. AVS+ is the fastest and most efficient way to obtain crucial information about the securities in your portfolio.
 - Web-based, real-time Automated Valuation Service, now with a historical view.
 - Database includes over 250,000 securities from over 40,000 issuers.
 - Unlimited securities in your portfolio, Unlimited searches and Unlimited valuation files.
 - Alert Service will send you a daily e-mail notifying you of changes to securities in your portfolio.
- Structured Securities Section:**
 - Portfolio: Manage Structured Securities Portfolio, Multi-Company Portfolio Download
 - Search: Search Modeled Securities, Add/Remove from Portfolio in Bulk
 - My Account: View Invoice Details
 - Help: View Online Tutorials

Annotations:

- A box on the left says: "See important communications for Structured Securities in the Bulletin Board." with an arrow pointing to the Bulletin Board table.
- A box on the right says: "Utilize the dashboard options or menu bar to navigate through Structured Securities." with arrows pointing to the Structured Securities section and the 'My Account' link.

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The screenshot shows the AVS+ dashboard with the AVS+ Search menu open. The menu items are:

- Inquiry Service
- Filing Exempt
- AVS
- Structured Securities

The AVS+ Search section includes:

- VOS and FE Quick Search: CUSIP: [input] Search
- VOS and FE Advanced Search
- Ex-Dividend
- Foreign Exchange Rates
- Mutual Funds
- Counterparty Designations
- Letter of Credit Banks
- Group Code 99
- Schedule 9a
- Surplus Notes (NAIC1)
- Surplus Notes (NAIC2-NAIC6)
- BSAT Index List
- Industry Memo

The AVS+ Portfolio section includes:

- Portfolio Upload & Valuation Requests
- Multiple Portfolio Upload
- Period End Update
- Alert Notification Settings
- Alert Notification Report

The Structured Securities section is the same as in the previous screenshot.

Annotations:

- A box on the right says: "If you are also an AVS subscriber then you'll see additional navigations in the menu bar to distinguish between AVS and Structured Securities processes." with an arrow pointing to the AVS and Structured Securities menu items.

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Structured Securities - Terms of Use

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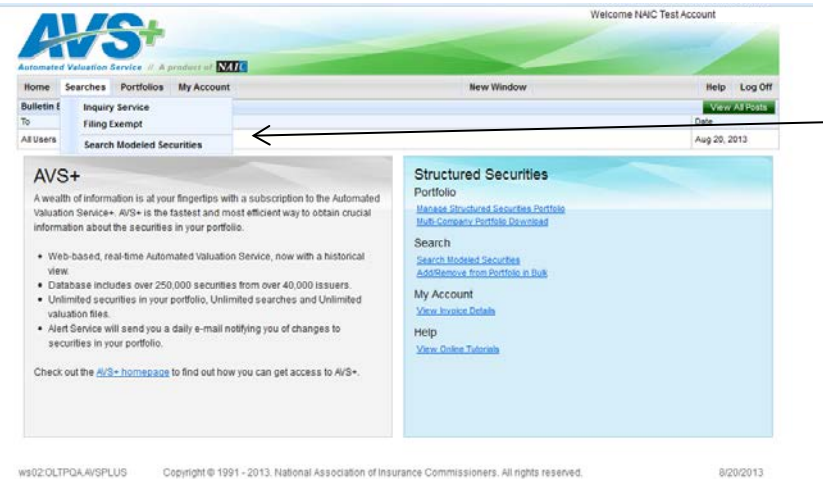
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Following confirmation of payment of your Structured Securities acquisition or assessment fee, you will be provided an ID and password to access the RMBS/CMBS Structured Securities Report.

Your use of an ID and password to access the RMBS/CMBS Structured Securities Report constitutes your agreement to the terms and conditions of this agreement without limitation or exception. If you do not agree to these Terms of Use, you are not permitted to access the RMBS/CMBS Structured Securities Report. As the owner of the Structured Securities Report, the NAIC grants you a non-exclusive, non-transferable license to use the file according to the terms and conditions stated herein.

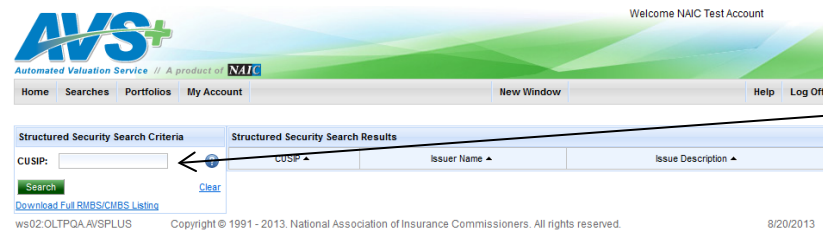
The Terms of Use will appear the first time you select a Structured Securities process each day. You will need to review and accept the Terms of Use to continue to the page you requested.

CUSIP Search - Add to Portfolio and Submit for Consideration



The screenshot shows the AVS+ homepage. The navigation menu includes Home, Searches, Portfolios, My Account, New Window, Help, and Log Off. A 'Bulletin' section is visible with a 'View All Posts' button. The main content area features a 'Structured Securities' section with links for 'Manage Structured Securities Portfolio', 'Add/Remove from Portfolio in Bulk', and 'Search Modeled Securities'. An arrow points to the 'Search Modeled Securities' link.

To complete a CUSIP search, select Searches > Search Modeled Securities



The screenshot shows the 'Structured Security Search Results' page. It features a search criteria table with columns for CUSIP, CUSIP, Issuer Name, and Issue Description. The CUSIP field is highlighted with an arrow. Below the table are 'Search' and 'Clear' buttons, and a link to 'Download Full RMBS/CMBS Listing'.

Enter the security number in the CUSIP field and select Search.

Welcome NAIC Test Acct

Automated Valuation Service // A product of NAITC

Home Searches Portfolios My Account New Window Help Log Off

Structured Security Search Criteria

CUSIP: TESTCUSIP5

Structured Security Search Results - 1 result

CUSIP	Issuer Name	Issue Description
TESTCUSIP5	TESTING NAME	TESTING Description

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Select the security.

Welcome NAIC Test Acct

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Home Searches Portfolios My Account New Window Help Log Off

Security: TESTCUSIP5 - TESTING NAME - TESTING Description

Year	Security Type	Security Status	Action
2013	RMBS	Modeled	Add to Portfolio(s)
2012	RMBS	Modeled	N/A

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Select Add to Portfolio(s)

Welcome NAIC Test Account

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Home Searches Portfolios My Account New Window Help Log Off

Structured Security Search Criteria

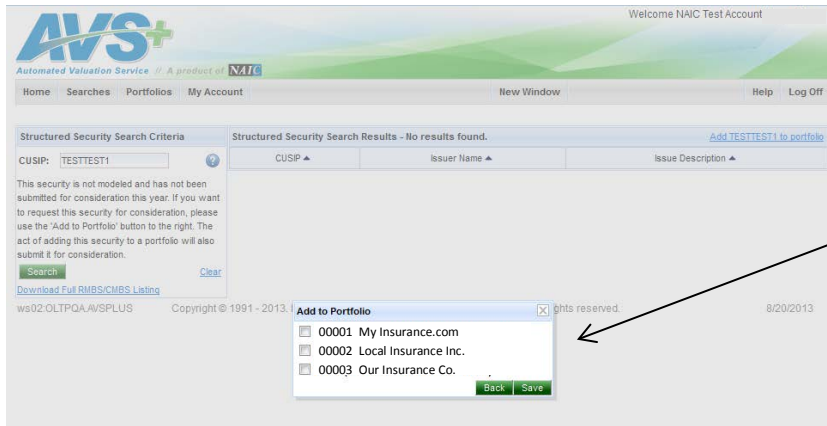
CUSIP: TESTTEST1

Structured Security Search Results - No results found.

This security is not modeled and has not been submitted for consideration this year. If you want to request this security for consideration, please use the 'Add to Portfolio' button to the right. The act of adding this security to a portfolio will also submit it for consideration.

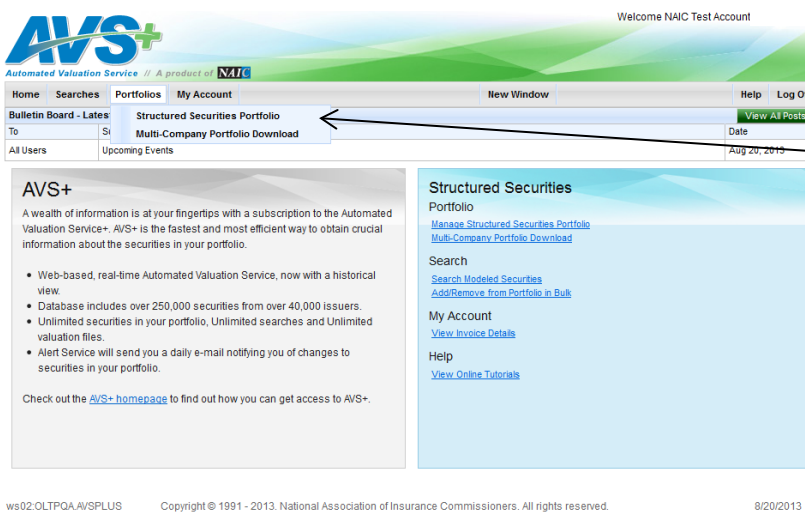
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This message will display if the security you are searching for has not been selected to be modeled. To request it to be modeled, simply add the security to your portfolio.

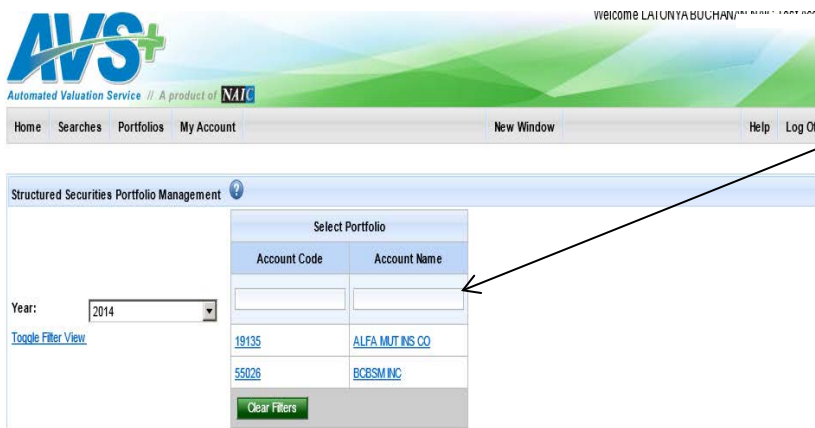


When adding a security to your portfolio, specify the company(s) to add the security to if you are associated to more than one company, then Save.

Portfolio Management



Select Portfolios to view your company portfolio or download Multi-Company Portfolios if you are associated to more than one company.



If you are associated to multiple STS accounts or a TPA, you can narrow your search by populating the filter with the Account Code or Account Name

All Items in your Portfolio

Structured Securities Portfolio Management - 7 total result(s)

Year: 2013 Portfolio Name: 00001 My Insurance.com

Summary All Items Purchase Download History

Filter Currently: none

This view contains all of the items in your portfolio.

CUSIP	Portfolio Status	Invoice #	Type	Security Status	Action
TESTCUSIP1	Ready for Download	SS00000001	RMBS	Modeled	
TESTCUSIP2	Ready for Download	SS00000001	RMBS	Modeled	
TESTCUSIP3	Ready for Download	SS00000001	RMBS	Modeled	
TESTCUSIP4	Ready for Download	SS00000001	RMBS	Modeled	
TESTCUSIP5	Ready for Download	SS00000001	RMBS	Modeled	
TESTCUSIP6	Ready for Download	SS00000001	RMBS	Modeled	
TESTCUSIP7	Ready for Download	SS00000001	RMBS	Modeled	

Export Portfolio Add/Remove Securities in Bulk

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Next, select the Year to view your portfolio.

Additional information related to your portfolio is available on these tabs.

You can upload a TXT file to Add or Remove securities to your portfolio in a batch file or Export your Portfolio to a csv file.

Add/Remove Securities in Bulk File Format
 Add/Remove codes: Delete = 1 Add = 2
 File format: "Company Code" "Add/Remove Code" "Cusip"
 Example: 12345 2 0011AKC0
NOTE: There is a 100 Cusip limit per file.

Portfolio Summary

Structured Securities Portfolio Management - 7 total result(s)

Year: 2013 Portfolio Name: 00001 My Insurance.com

Summary All Items Purchase Download History

# of Securities by Type	# of Securities by Portfolio Status	# of Securities by Security Status	Invoices
RMBS: 7 Total: 7 (0 Downloaded) less...	Ready for Download: 7 Total: 7	Modeled: 7 Total: 7	Invoice: SS00000001

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On the Portfolio Summary tab you can see the total number of securities in your portfolio by Type (RMBS or CMBS), Status, total number of securities in your portfolio and applicable invoice(s).

SECURITY STATUS - for a given year, a security always has a status of one of the following:

- *N/A* - The security was not modeled or submitted for consideration for that particular year
- *Requested for Consideration* - The security is under review and whether or not it will be modeled has yet to be determined.
- *To Be Modeled* - That the security has undergone an initial review and will be modeled.
- *Modeled* - The security has been modeled.
- *Not Modeled* - The security will not be modeled. When a security is identified as 'Not Modeled', it is always accompanied by an explanation of why it was not modeled. The following are reasons a security will not be modeled
 - Asset Class
 - Obligation Type
 - Invalid
 - Insufficient Information Model
 - Insufficient Information Data
 - Under NAIC Threshold
 - Other

Purchase Securities

The Purchase tab shows the securities that have been added to your portfolio that will be modeled and are available to purchase.

Securities that you no longer wish to purchase can be removed by selecting the Remove link prior to purchasing.

Export the security details that are available for purchase in your portfolio in a csv file.

Select Purchase to complete the process to purchase the security for your portfolio.

Download Modeled Data

Once you have purchased the securities and the Modeled Data is available, you can download the data on this tab, or Export the details to a csv file.

History of Actions in your Portfolio

Structured Securities Portfolio Management - 223 total result(s)

Year: 2013 Portfolio Name: 00001 My Insurance.com

CUSIP	Type	Date	Action Taken By
TESTTEST1	ADD	Tue Aug 20 15:20:27 CDT 2013	NAIC Test Account

Export Search Results as CSV

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View and download the actions that have occurred in your portfolio, the date it occurred and the individual who made the change.

Download Multiple Portfolios

Navigate to Portfolios > Multi-Company Portfolio Download

Select the file format for the download, and the portfolios to be included.

Select Submit to start the process to create the single Zip file with the portfolios.

Download Submissions

File Status	Date Completed (Central Time)	File Format
In Queue For Processing		csv

Select File Format csv text

Select All

Download	Company Code	Company Name
<input checked="" type="checkbox"/> Available	00001	My Insurance.com
<input checked="" type="checkbox"/> Available	00002	Local Insurance Inc.
<input checked="" type="checkbox"/> Available	00003	Our Insurance Co.

Submit For Download

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Download Submissions

File Status	Date Completed (Central Time)	File Format
Ready To Download	08/27/2013 2:22 PM	csv

Select File Format csv text

Select All

Download	Company Code	Company Name
<input type="checkbox"/> Available	00001	My Insurance.com
<input type="checkbox"/> Available	00002	Local Insurance Inc.

Submit For Download

The process to create the Zip file may take up to 15 minutes to complete. You may need to refresh your browser to see the link to the Zip file containing all portfolio files requested.

View Invoice Detail

Welcome NAIC Test Account

Automated Valuation Service // A product of NAIC

Home | Searches | Portfolios | **My Account** | Help | Log Off

Bulletin Board - Latest Posts | **View My STS Invoices** | View All Posts

To: All Users | Subject: Upcoming Events | Date: Aug 20, 2013

AVS+
A wealth of information is at your fingertips with a subscription to the Automated Valuation Service- AVS+ is the fastest and most efficient way to obtain crucial information about the securities in your portfolio.

- Web-based, real-time Automated Valuation Service, now with a historical view.
- Database includes over 250,000 securities from over 40,000 issuers.
- Unlimited securities in your portfolio, Unlimited searches and Unlimited valuation files.
- Alert Service will send you a daily e-mail notifying you of changes to securities in your portfolio.

Check out the [AVS+ homepage](#) to find out how you can get access to AVS+.

Structured Securities Portfolio
[Manage Structured Securities Portfolio](#)
[Multi-Company Portfolio Download](#)

Search
[Search Modeled Securities](#)
[Add/Remove from Portfolio in Bulk](#)

My Account
[View Invoice Details](#)

Help
[View Online Tutorials](#)

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View the details related to all of your invoices by navigating to My Account > View My STS Invoices

Welcome NAIC Test Acct

Automated Valuation Service // A product of NAIC

Home | Searches | Portfolios | **My Account** | New Window | Help | Log Off

Invoice Criteria
 Period: 2013 Search

STS Invoice Details - 2 results

Company Code	Company Name	Invoice Number	Order Date	Invoice Paid	Invoice Type	Billing Contact	Invoiced Cocode	Invoiced Company Name	Invoice Total
00001	My Insurance.com	SS000001	08/23/2013	Yes	TPA	TESTUSER	00001	My Insurance.com	Pending
00003	Our Insurance Co.	SS000002	08/23/2013	No	Initial	TESTUSER	00003	Our Insurance Co	Pending

Export Search Results as CSV

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Select the year for the period to view all invoices, or Export the details in a csv file.

Select the invoice link to download the detailed list of securities on that invoice.

Bulletin Board Notices

The four most recent Bulletin Board notices display on the dash board. To see the details for any notice, simply move your cursor over the subject and a box will display with the message.

You can also select View All Posts to see other messages posted to the Bulletin Board.

Cusip Credit

CUSIP	Portfolio Status	Invoice #	Type	Security Status	Action
TESTCUSIP1	Ready for Purchase		RMBS	Modeled	Remove
TESTCUSIP2	Ready for Purchase		RMBS	Modeled	Remove
TESTCUSIP3	Available Empty Slot	SS000001	RMBS	Modeled	
TESTCUSIP4	Ready for Download	SS000001	RMBS	Modeled	

If you have received a credit for a paid off security, you will now have an 'Available Empty Slot' in your portfolio to compensate you for that security. You can now use this empty slot to add the same type of security to your portfolio without being invoiced.

CUSIP	Portfolio Status	Invoice #	Type	Security Status
...TESTCUSIP5	Submitted for Consideration		Undetermined	Submitted for Consideration
TESTCUSIP6	Ready for Download replaces: TESTCUSIP3	* SS000001	RMBS	Modeled
...TESTCUSIP7	Submitted for Consideration		Undetermined	Submitted for Consideration
TESTCUSIP8	Submitted for Consideration		Undetermined	Submitted for Consideration
...TESTCUSIP9	Submitted for Consideration		Undetermined	Submitted for Consideration
TESTCUSIP10	Ready for Download	SS000001	RMBS	Modeled
TESTCUSIP11	Ready for Download	SS000001	CMBS	Modeled
TESTCUSIP12	Ready for Download	SS000001	RMBS	Modeled
...TESTCUSIP3	Used Empty Slot replaced by: TESTCUSIP6	SS000001	RMBS	Modeled
TESTCUSIP14	Ready for Download	SS000001	RMBS	Modeled

Once you have purchased the replacement security, it will show in your portfolio with the same invoice number as the replacement security. Also, the Portfolio Status for the 'Available Empty Slot' will change to 'Used Empty Slot replaced by: Cusip #'.

Note: If there are unused empty slots in your portfolio by the end of the first quarter 2015, the NAIC will issue you a refund.