

VISION

VISION User Guide—For Filers

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INTRODUCTION

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 voluntary Association. The Automated Valuation Service (AVS) is designated as the official 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: securitiessupport@naic.org

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: svo inquirydesk@naic.org

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 http://www.naic.org/documents/sec_rat_contacts.pdf.

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 <https://vision.naic.org/>. 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 <http://www.naic.org/svo.htm>, so that a VISION Administrator can complete your setup.

5. Click on the yellow Login button.

NAIC National Association of Insurance Commissioners



Username Enter your username

Password Enter your password

Login

Forgot your password? [Click Here.](#)

Need assistance with logging in?

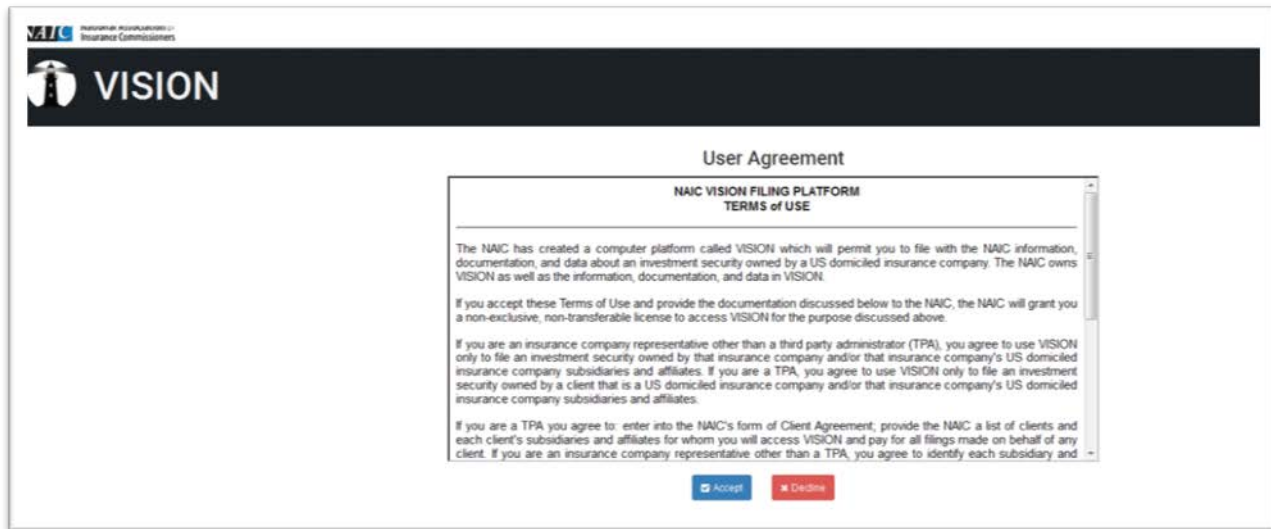
[✉ Email Support](#) | [☎ Call Support: \(816\) 783-8500](#)

By logging in, you agree to the NAIC's [Terms and Conditions.](#)

© National Association of Insurance Commissioners 2015

Agree to terms

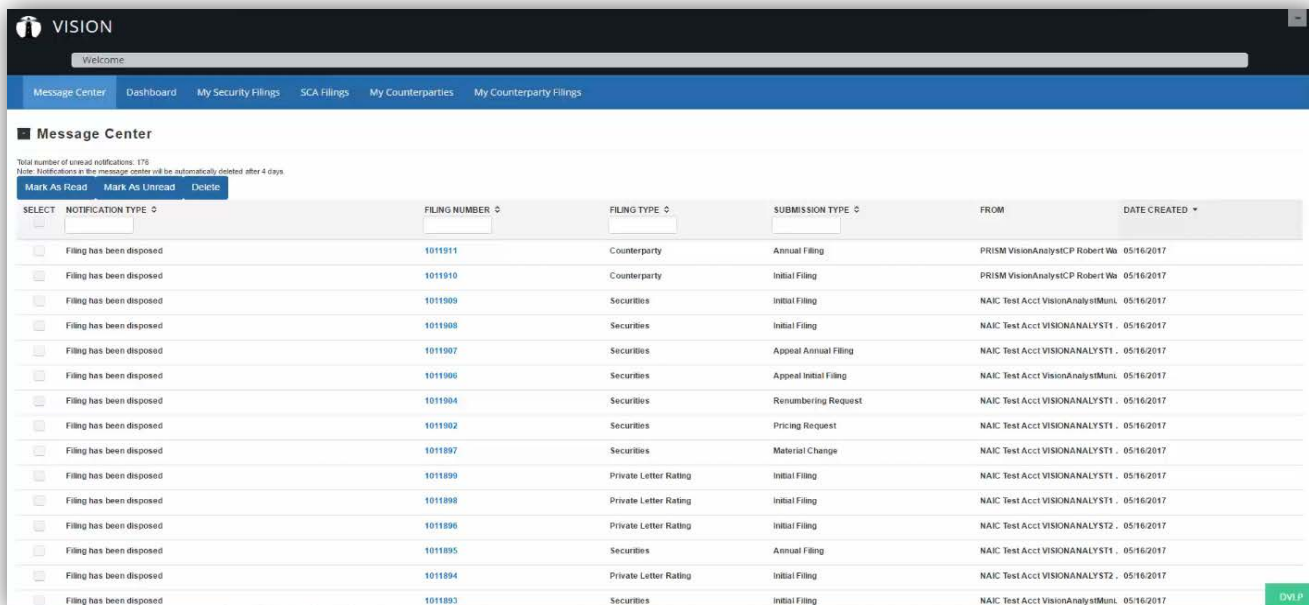
Review the terms and select 'Accept' to access the application.



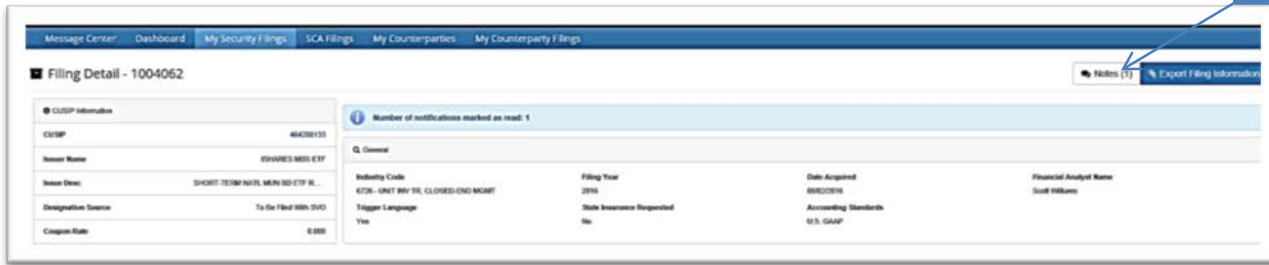
Message Center

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.



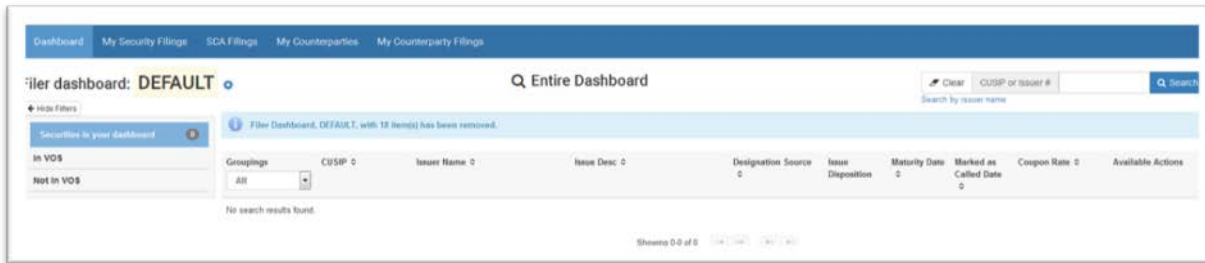
To view the message, click Notes.



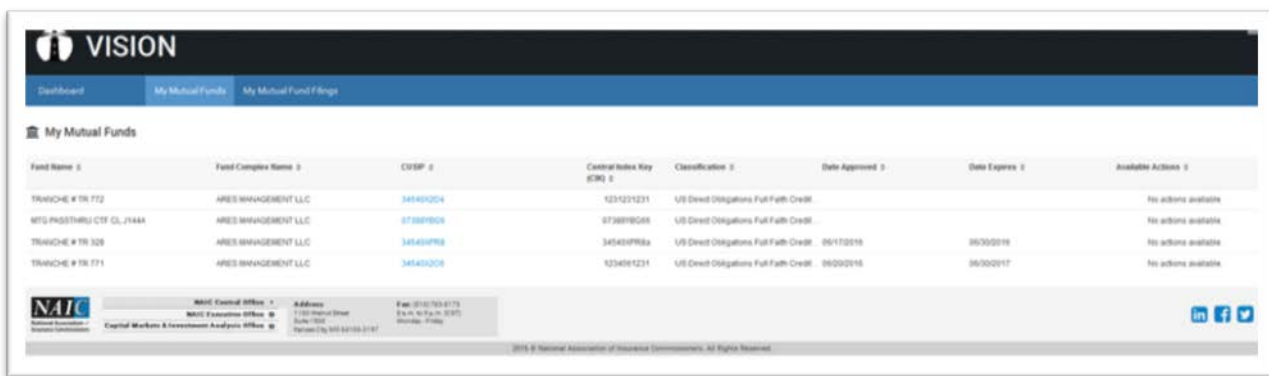
VISION Dashboard differ by type of user

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



Asset dashboard



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.

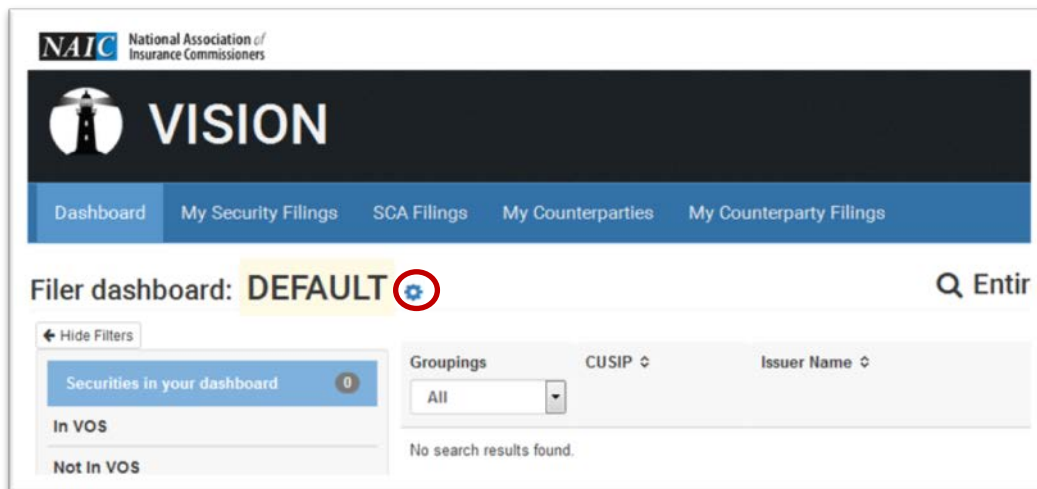
GETTING STARTED AS AN INSURER OR TPA

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

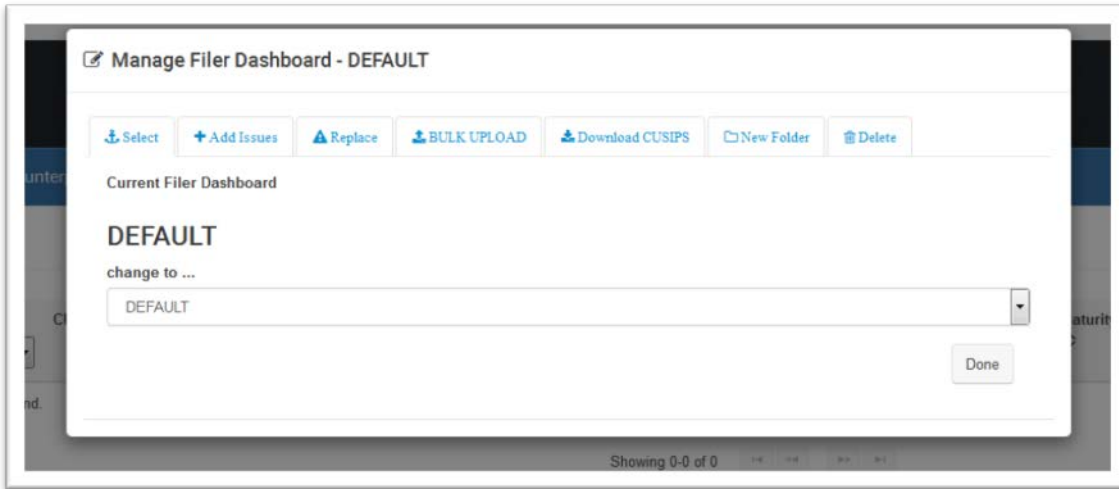
Create and manage Filer Dashboard

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



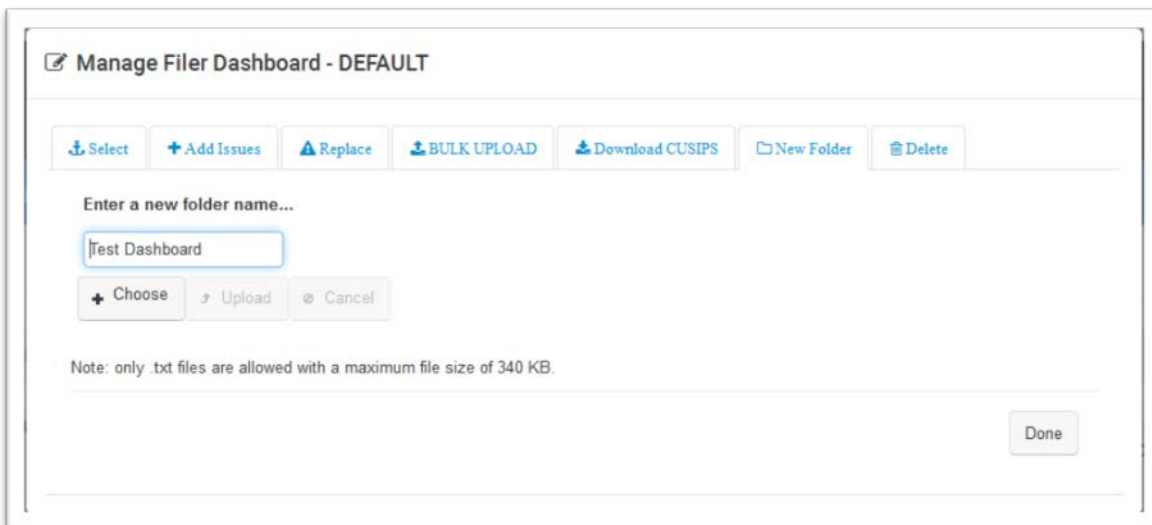
The Manage Filer Dashboard window opens with a DEFAULT dashboard and the following options:

- **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

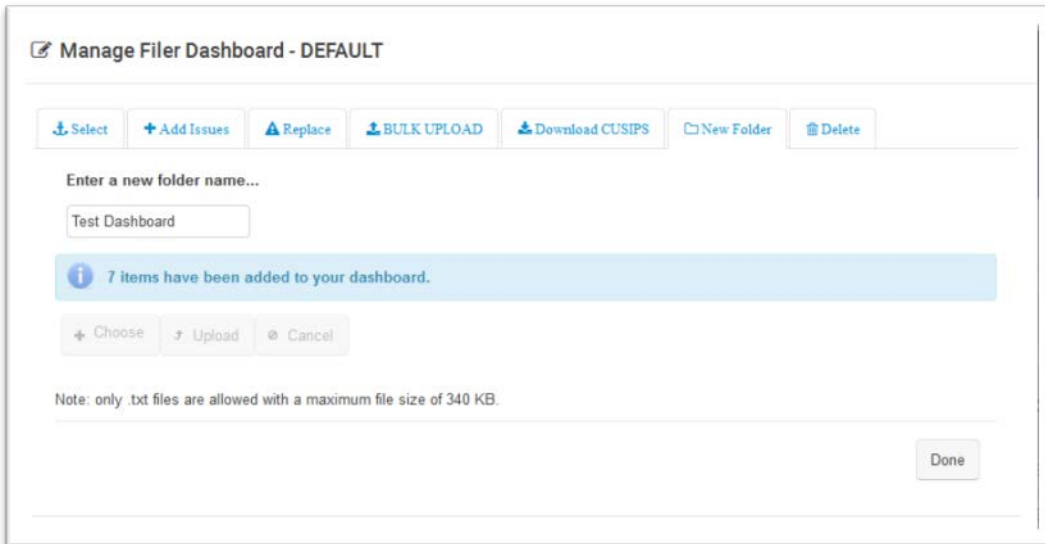


To create a new dashboard

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

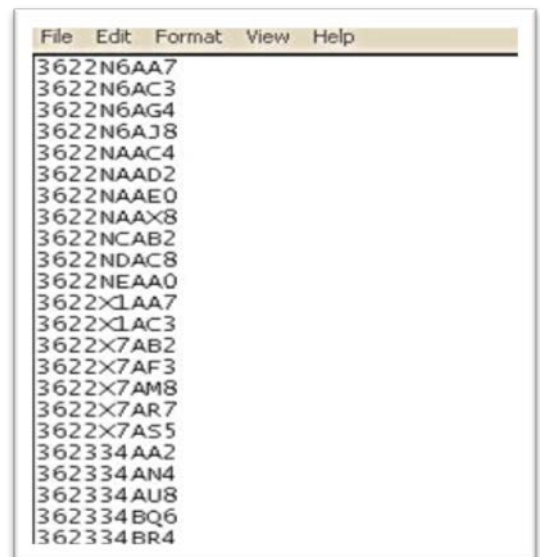


Upon adding the securities, you will receive a message showing the number of securities that were added to that dashboard.



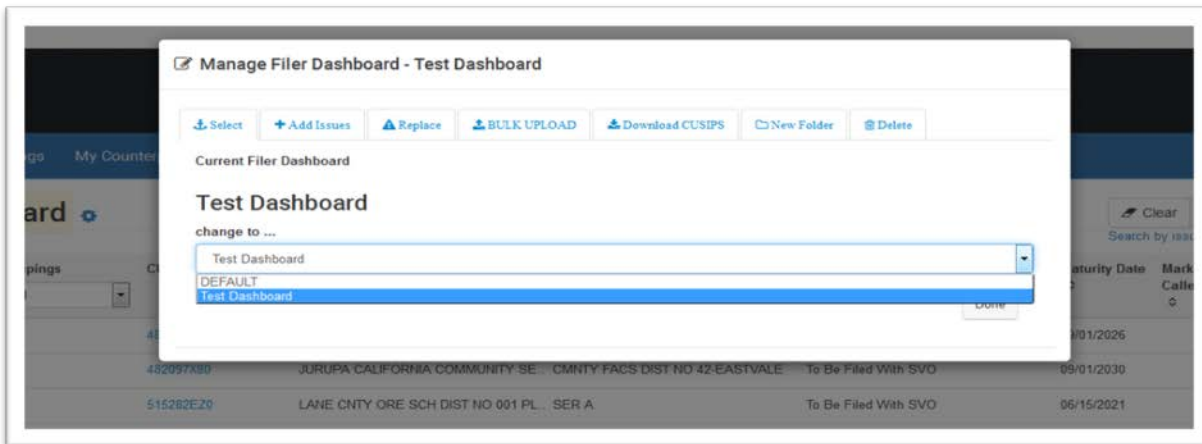
Sample Text file

The upload will support a 340 KB text file that typically contains around 25,000 security identifiers; currently limited to CUSIP, CINS, PPN or Syndicated Loan CUSIP.

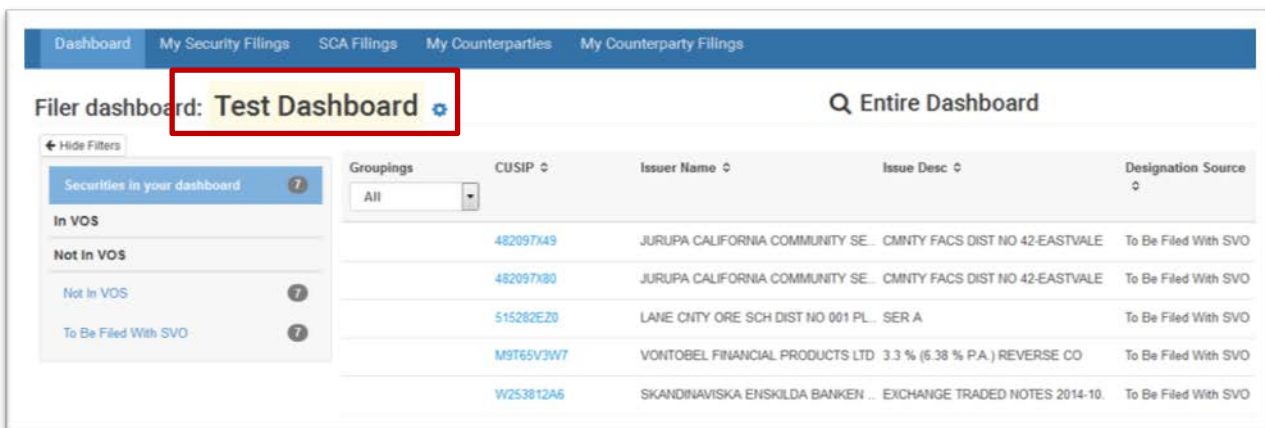


To select a dashboard

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

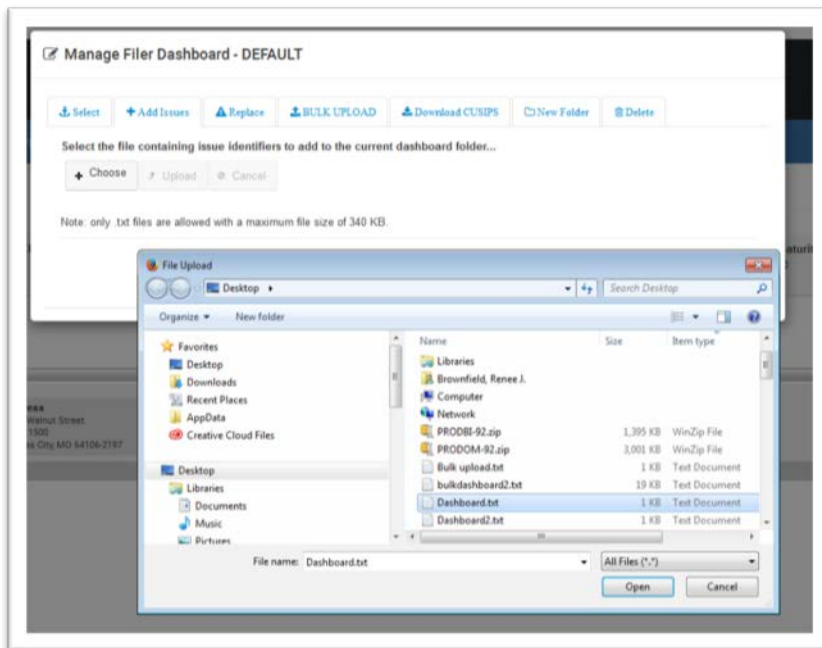


You will then see the name of the dashboard on your dashboard page.

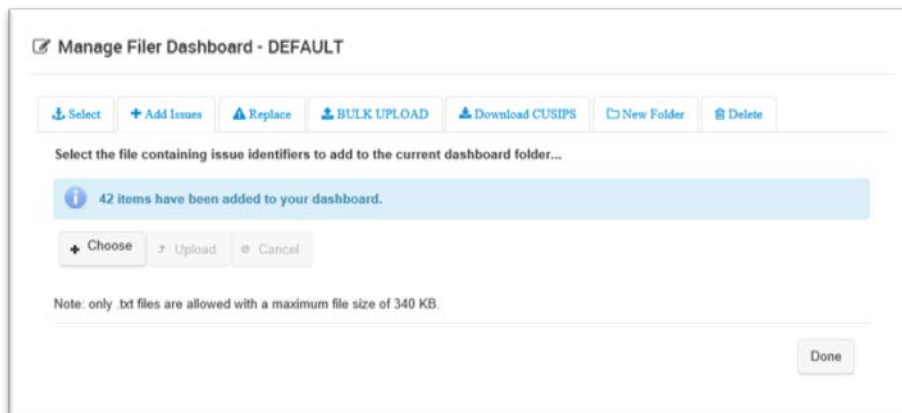


Add Issues to your dashboard

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'.

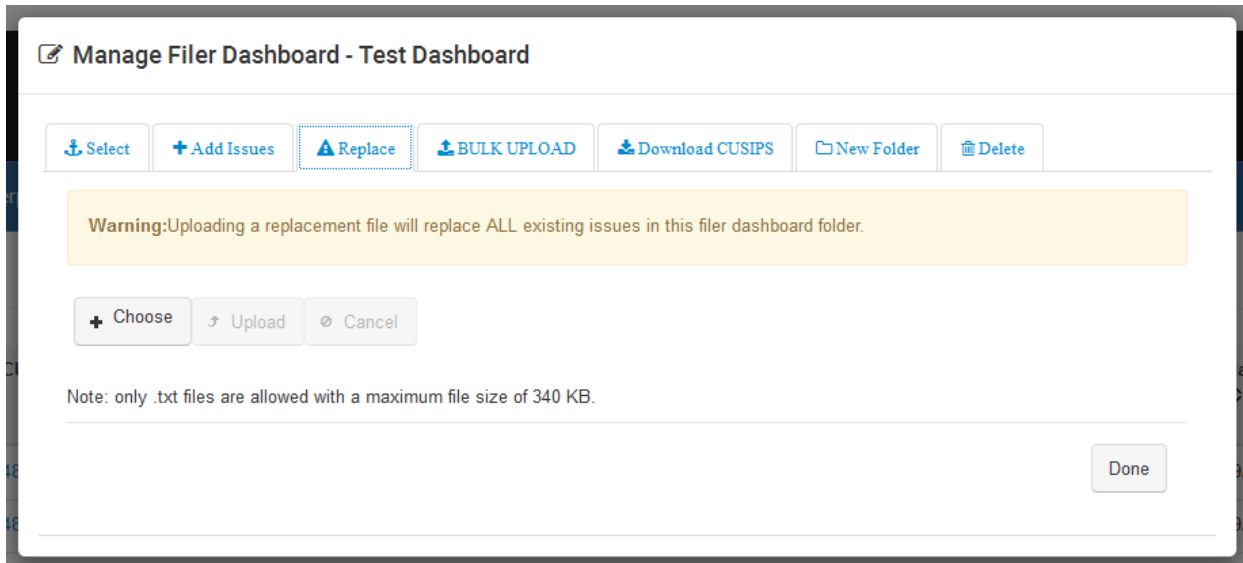


Once your file has been uploaded successfully you will see a message telling you how many items were added to your dashboard.



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.



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.



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

The screenshot shows the Filer dashboard interface. At the top, there is a navigation bar with tabs: Dashboard, My Security Filings, SCA Filings, My Counterparties, and My Counterparty Filings. Below the navigation bar, the dashboard is titled "Filer dashboard: DEFAULT" with a search icon and the text "Entire Dashboard". A notification message is displayed in a light blue box, stating "2 folder(s) have been replaced on your Filer Dashboard." This message is highlighted with a red rectangular box. Below the notification, there is a table with columns: Groupings, CUSIP, Issuer Name, and Issue Desc. The table contains three rows of data:

Groupings	CUSIP	Issuer Name	Issue Desc
All	482097X49	JURUPA CALIFORNIA COMMUNITY SE..	CMNTY FACS DIS'
	482097X80	JURUPA CALIFORNIA COMMUNITY SE..	CMNTY FACS DIS'
	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'.

The screenshot shows the "Manage Filer Dashboard - Test Dashboard" interface. At the top, there is a title "Manage Filer Dashboard - Test Dashboard". Below the title, there is a row of buttons: Select, Add Issues, Replace, BULK UPLOAD, Download CUSIPS, New Folder, and Delete. Below the buttons, there is a text prompt: "Press the Download button to save the cusips from the current dashboard folder to a text file...". Below the prompt, there is a checkbox labeled "Bulk?" and a note: "(checking this box will result in ALL dashboard folders being downloaded)". Below the note, there is a green "Download" button. At the bottom right, there is a "Done" button.

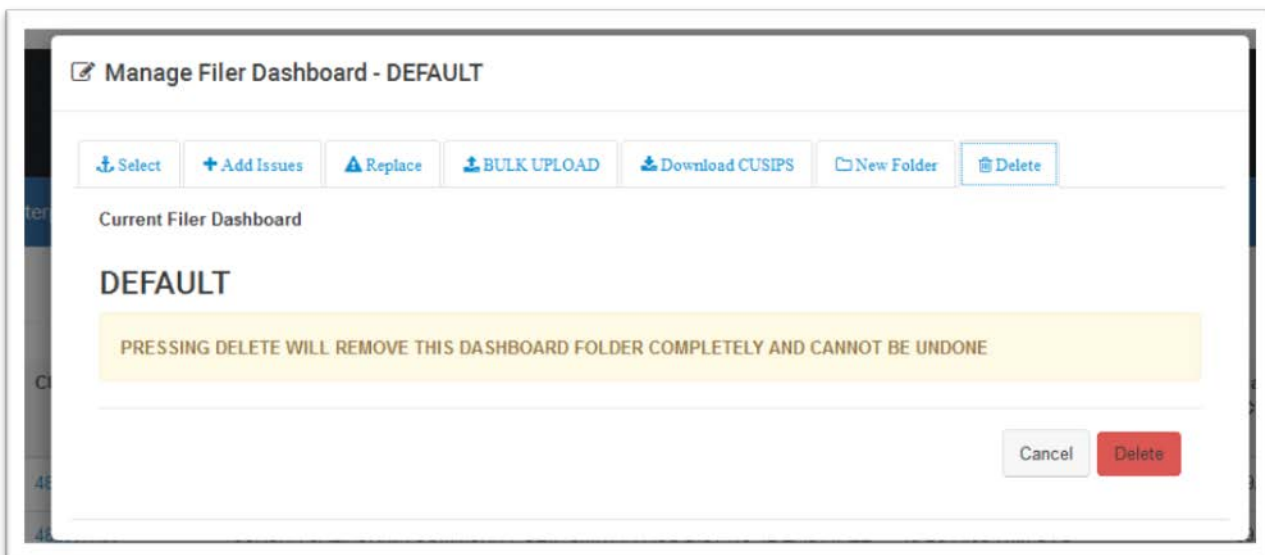
	A
1	[DEFAULT]
2	D105AC774
3	D105AC782
4	D105AC790
5	D105AC808
6	D105AC816
7	D105AC824
8	D105AC832
9	D105AC840
10	D1A4KKKF4
11	D1A4KKKT4
12	D1A4KKKQ0
13	D1A4KKKR8
14	D1A4KKKS6
15	D1A4KKKU1
16	D1A4KKKV9
17	D1A4KKKW7
18	D1A4KKKX5
19	D1A4KKKY3
20	[Test Dashboard]
21	482097X49
22	482097X80
23	515282E20
24	M9T65V3W7
25	W253812A6
26	W253812D0
27	W253812H1

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.



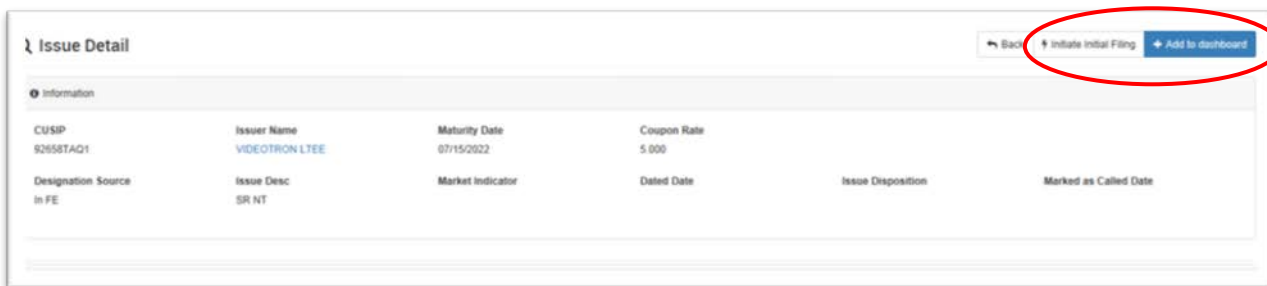
Adding securities to your dashboard

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.

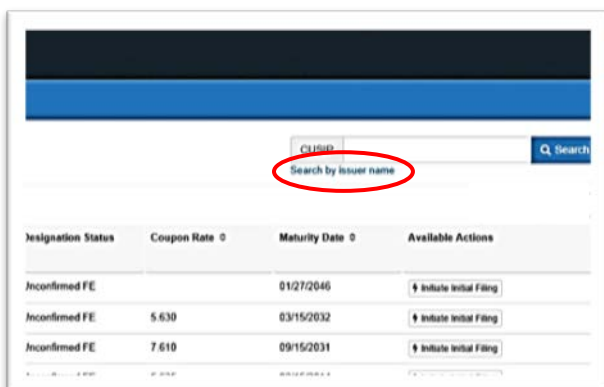


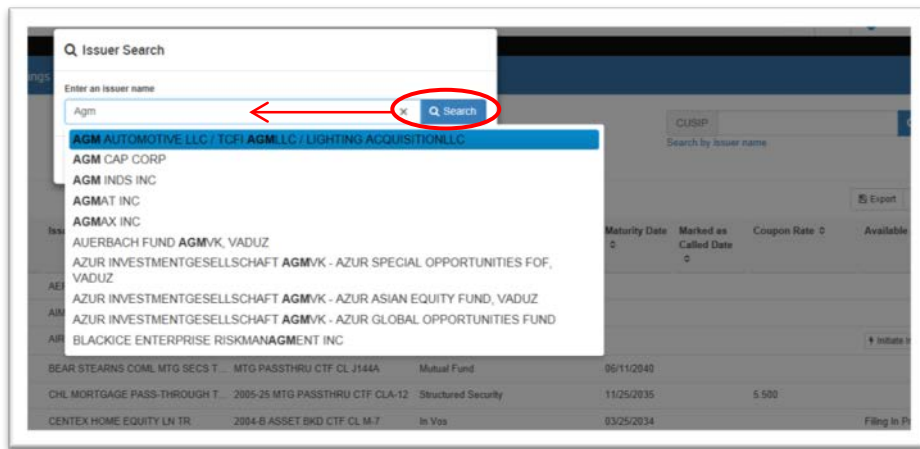
The Issue Detail page of that specific Security Identifier displays. You can begin a filing or add the security to your dashboard.



To search by issuer name:

1. Click the link for Search by Issuer name.



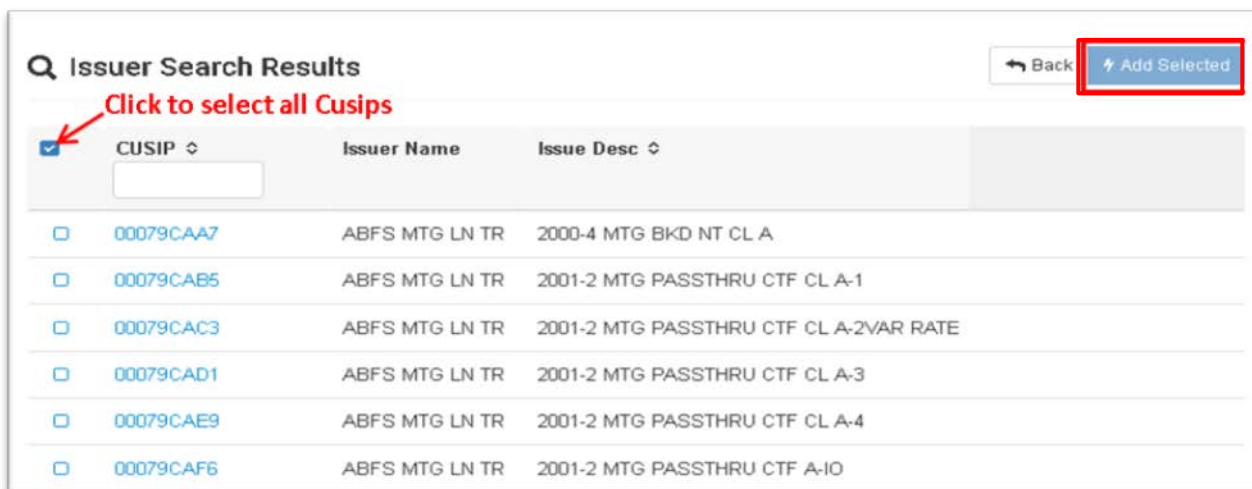


2. Type the Issuer Name in the search field. After typing **three** letters, a list of Issuer Names meeting the criteria displays. The user can shorten this list, by typing more letters.
3. Select the Issuer Name and click the Search button. The Search Results page displays if the Issuer Name is associated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

3. Select the Issuer Number you want. The Issuer Search Results page displays.



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



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.

<input checked="" type="checkbox"/>	CUSIP	Issuer Name
<input type="checkbox"/>	00079CAF6	ABFS MTG LN TR

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.

CUSIP	Issuer Name	Maturity Date	Coupon Rate	Category	Security Type
50076QAC0	KRAFT FOODS GROUP INC	06/04/2042	5.000	Sovereign	Foreign Government
Issue Subtype					
Foreign					
Designation Source	Issue Desc	Market Indicat	Dated Date	Issue Disposition	Marked as Called Date
In FE	NT144A		06/04/2012		

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:

1. 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, Renummer Requests and Pricing Requests.
- C) Security Identifier summary information, including the Security Identifier drill down capability to the issue details.
- D) Security Identifier and Issuer search box.

The screenshot shows the 'Entire Dashboard' interface. On the left, there is a sidebar with filters for 'In VOS' (27) and 'Not in VOS' (23). The main table lists securities with columns for Groupings, CUSIP, Issuer Name, Issue Desc, Designation Source, Issue Disposition, Maturity Date, Marked as Called Date, Coupon Rate, and Available Actions. A search box at the top right is labeled 'D' and contains the text 'Clear CUSIP or issuer # Search'. The table is annotated with letters A, B, and C corresponding to the key areas mentioned in the text.

Groupings	CUSIP	Issuer Name	Issue Desc	Designation Source	Issue Disposition	Maturity Date	Marked as Called Date	Coupon Rate	Available Actions
All	723657300	PIONEER ELECTR CORP	ADR NEW	To Be Filed With SVO					Initiate Initial Filing
	730000107	POLK AUDIO INC	COM	To Be Filed With SVO					Initiate Initial Filing
	723657102	PIONEER ELECTR CORP	COM	To Be Filed With SVO					Initiate Initial Filing
	836889109	SONY CORP	COM	To Be Filed With SVO					Initiate Initial Filing
	836889008	SONY CORP	AMERN SHS	To Be Filed With SVO					Initiate Initial Filing
	22208T100	COUGAR PETE INC	COMACCD INVS	In Vos					
	877712108	WOLF INDUSTRIES INC	COM	To Be Filed With SVO					Filing In Progress
	000981100	ACI TELECENTRICS INC	COM	Suplex Notes					
	798292108	RED ARROW INDS INC	COM	To Be Filed With SVO					Filing In Progress
	096302109	BLUE BEAR ENERGY INC	COMACCD INVS	To Be Filed With SVO					Filing In Progress
	90076GAC0	KRAFT FOODS GROUP INC	NT144A	In FE		06/04/2042		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 with IN-PROGRESS filings

Clear CUSIP or Issuer # Search

Search by issuer name

Hide Filters

Securities in your dashboard 117

In VOS

- In VOS 38
- Currently Reviewed 10
- Not Currently Reviewed 20
- NR 11
- In Progress Filings 5**

Not in VOS

- Not in VOS 70
- Filing Exempt 7
- To Be Filed With SVQ 14
- In Progress Filings 20
- Surplus Notes 5

Groupings	CUSIP	Issuer Name	Issue Desc	Designation Source	Issue Disposition	Maturity Date	Marked as Called Date	Coupon Rate	Available Actions
All									
	001065201	AFLAC INC	PFD SER 1980 VAR FIRED DIVIDRATES	In Vos					Filing In Progress
	393602106	GREEN ACRES LTD	UNIT LTD PARTNERSHIP INT	In Vos					Filing In Progress
	00104FAA9	AES EL SALVADOR DISTR VENTURES	SR INCREASING VAR RATE NT144A	In Vos					Filing In Progress
	000029AB7	ACA AQUARIUS 2006 1 LTD / ACAADU	SR SECD NT CL A1J FLTG RATE144A	In Vos		09/12/2046			Filing In Progress
	001018103	ADPT CORP	COM	In Vos					Filing In Progress

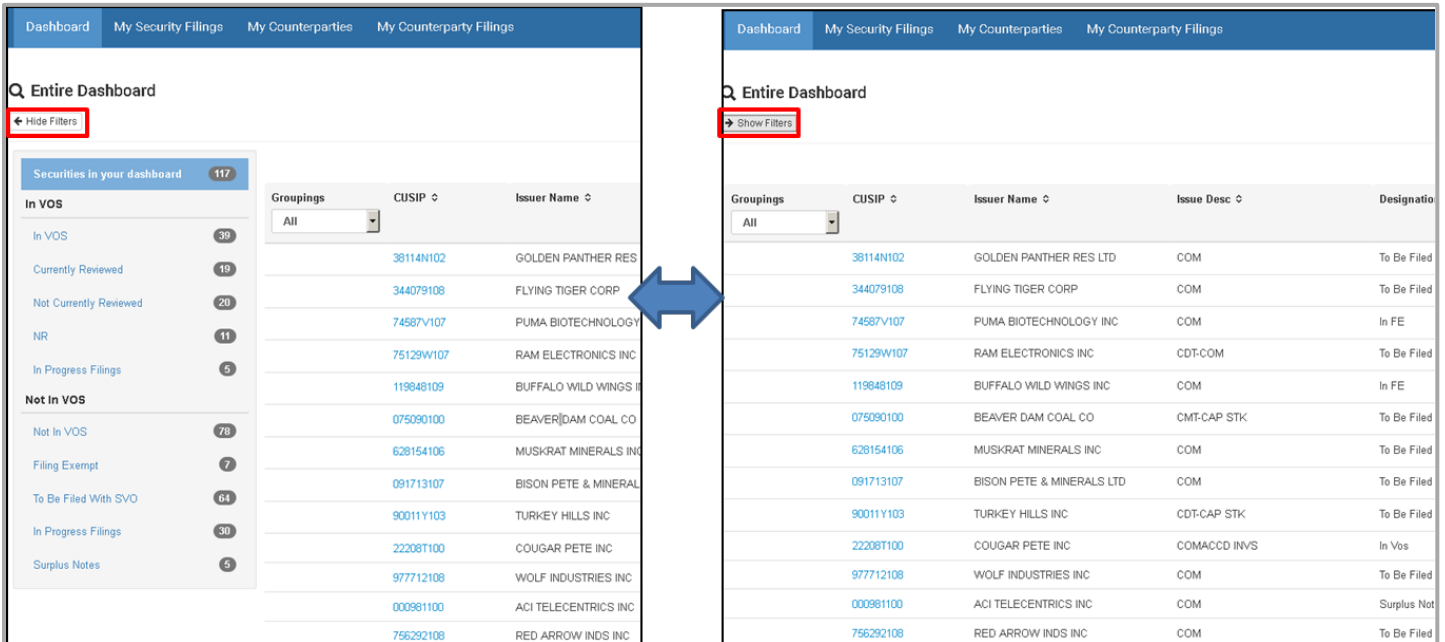
Showing 1-5 of 5

Select to view additional pages of securities.

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.

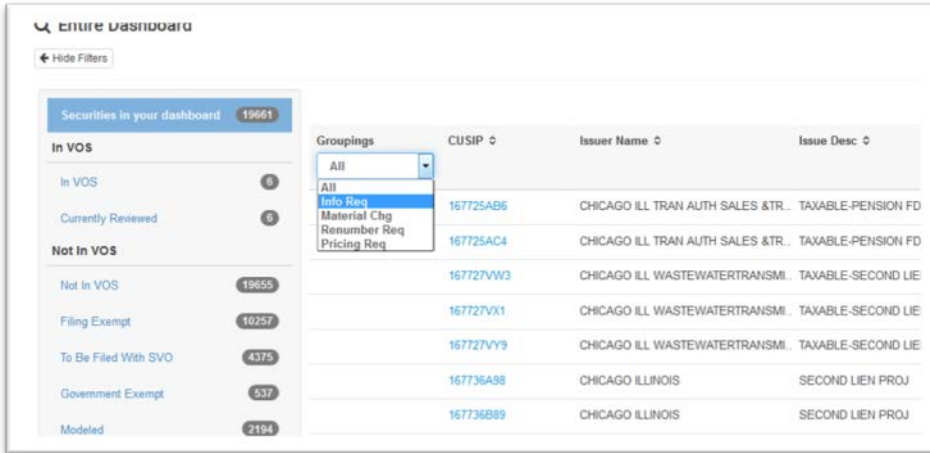
Helpful hint to maximize screen space:

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.







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.



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

-  Renumbering Request
-  Info Request

-  Pricing Request
-  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.

Groupings	CUSIP	Issuer Name	Issue Desc	Designation Source	Issue Disposition	Maturity Date	Marked as Called Date	Coupon Rate	Available Actions
All	N73348AG8	WERELDHAVE N V	EURO SER C SR NT	To Be Filed With SVO		07/23/2024		2.940	Initiate Initial Filing
	N73348AJ2	WERELDHAVE N V	USD SER E SR NT	To Be Filed With SVO		07/23/2026		3.060	Initiate Initial Filing
	N7330@A87	RED ELECTRICA DE ESPANA FN BV	USD SER B SR GTD NT	To Be Filed With SVO		10/19/2020		5.070	Initiate Initial Filing
	N7330@AC5	RED ELECTRICA DE ESPANA FN BV	USD SER C SR GTD NT	ii vna		10/19/2025		5.310	Initiate Initial Filing
	N7660AK3	SHV NEDERLAND B V	USD SER F GTD SR NT	ii vna		03/28/2017		3.330	Initiate Initial Filing
	N7660AL1	SHV NEDERLAND B V	USD SER G GTD SR NT	To Be Filed With SVO		03/28/2019		3.840	Initiate Initial Filing
	N7660AM9	SHV NEDERLAND B V	USD SER H GTD SR NT	To Be Filed With SVO		03/28/2022		4.420	Initiate Initial Filing
	N7521RAD4	SHANKS B V NETH	EURO SER A GTD SR NT	To Be Filed With SVO		04/11/2016		5.025	Initiate Initial Filing
	N7993Y8D5	SIEMENS FINANCIERINGSMAATSCHAP	5.5/6 % NOTES 2006-16 3.16 REG-	To Be Filed With SVO	Matured	03/16/2016		5.625	
	N8879KAC6	TRONOX PIGMENTS (NETHERLANDS) B V	USD TERM LN- ISSUED MARCH 2013	To Be Filed With SVO		03/19/2020			Initiate Initial Filing
	N8981F271	UNILEVER NV, ROTTERDAM	CERT OF SHS	To Be Filed With SVO					Initiate Initial Filing
	N91088B73	USM HOLDING BV	USD SER F GTD SR NT	To Be Filed With SVO		04/06/2021		4.410	Initiate Initial Filing

Q Issue Detail Back 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
To Be Filed With SVO	CTFS CLACCD 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	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
74587V107	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.

CUSIP	Issuer Name	Maturity Date	Coupon Rate		
38114N102	GOLDEN PANTHER RES LTD				
Designation Source	Issue Desc	Market Indicator	Dated Date	Issue Dispositor	Marked as Called Date
To Be Filed With SVO	COM				

Initiating Counterparty filings

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

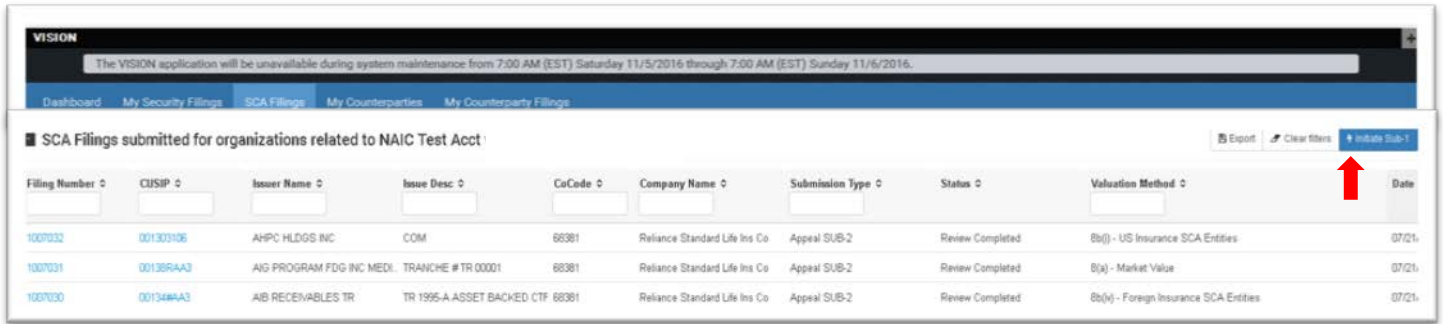
Filing Number	Name	Location	Exchange	Submission Type	Status	Date of Status Change
1006068	Rocky Mtn NP	CO	635982493	Initial Filing	Approved	06/22/2016
1004269	Test 2	KCKS	Test123	Initial Filing	Rejected	05/04/2016
1004268	Test 1	KCMO	654968	Initial Filing	Approved	05/04/2016

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.

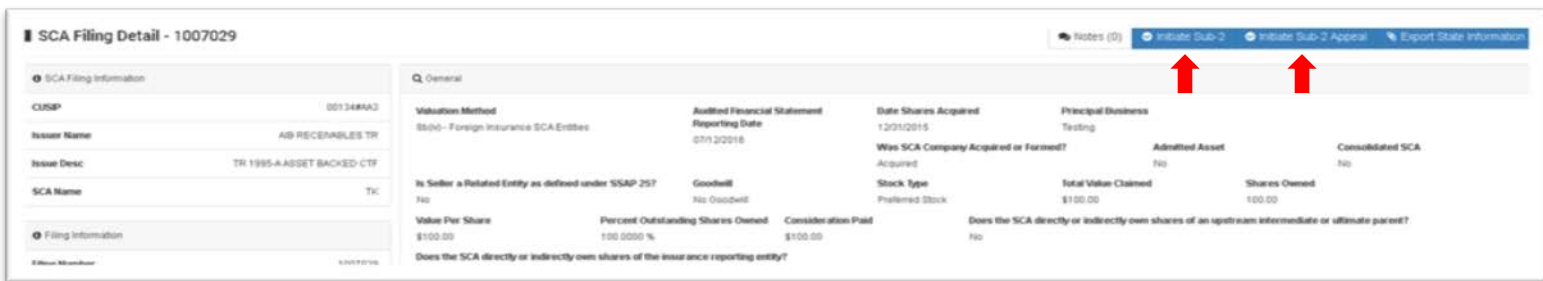
Counterparty Name	Location	Approval Date	Expiration Date	Available Actions
09271	New York, NY	07/12/2016	06/30/2017	No actions available.
118588	Kansas City	06/29/2016	10/30/2018	No actions available.
1212454	kansas city	07/12/2016	06/30/2017	No actions available.

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.



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.



- 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 http://www.naic.org/index_industry.htm. 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.

F1 Name	Branch Name	F1 Identifiers	Approval Date	Expiration Date	Available Actions
LSM Investments		LEI: 96257415983215647895 ABA: CUSIP: EIN:			Initiate Filing
Missouri State Bank		LEI: 090001000 ABA: CUSIP: EIN:			Initiate Filing
Star Bank		LEI: 75295145635789635145 ABA: 91700253 CUSIP: 390248 EIN: 102053607			Initiate Filing

Checking the status of a filing

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

View options for filing status

- From My Security Filings tab

The screenshot shows the 'VOS Filings' interface. At the top, there are 'Export' and 'Clear filters' buttons. Below is a table with columns: Filing Number, CUSIP, Issuer Name, Issue Desc, CoCode, and Company Name. Two rows of data are visible. A dropdown menu is open over the 'Status' column, showing options: 'Status', 'Review Completed', and 'Submitted'. A red arrow points to the 'Submitted' option.

Filing Number	CUSIP	Issuer Name	Issue Desc	CoCode	Company Name	Status
1006772	68275CA46	1345 AVE OF THE AMER & PK AVE.	2005-1 COML MTG PASSTHRU CTF1	86630	Prudential Ann Life Assur Corp	Review Complete
1004588	05948A101	BANC AMER CAP MGMT FDS VILLC	INTL VALUE FD ACCD INVS	86630	Prudential Ann Life Assur Corp	Submitted

- 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.

The screenshot shows a table with columns: Groupings, CUSIP, Issuer Name, Issue Desc, Designation Source, Issue Disposition, Maturity Date, Marked as Called Date, Coupon Rate, and Available Actions. The CUSIP '309D6100' is highlighted with a red box.

Groupings	CUSIP	Issuer Name	Issue Desc	Designation Source	Issue Disposition	Maturity Date	Marked as Called Date	Coupon Rate	Available Actions
All	309D6100	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

Q Issue Detail

Information (In Dashboard)

CUSIP 38982@100	Issuer Name GREAT AMERN ALLIANCE INS CO	Maturity Date	Coupon Rate
Designation Source To Be Filed With SVO	Issue Desc COM	Market Indicator	Dated Date

[In Progress Vos Filings](#)
[In Progress Surplus Note Filings](#)
[In Progress Mutual Fund Filings](#)

Filing Number ▾	Submission Type ▾	Status
1005223	Initial 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 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.

Entire Dashboard

→ Show Filters

Groupings	CUSIP	Issuer Name	Issue Desc
Info Req	977712108	WOLF INDUSTRIES INC	COM

Filings submitted by NAIC Test Acct :

VOS Filings

Export Clear filters

Filing Number	CUSIP	Issuer Name	Issue Desc
1005207	977712108	WOLF INDUSTRIES INC	COM

Drill down on the Cusip to the Issue Detail then click on the filing number to see the filing details

Drill down on the filing number to see the filing details

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.

Filing Detail - 1005207

CUSIP Information

CUSIP: 877712108
 Issuer Name: WOLF INDUSTRIES INC
 Issue Desc: COM
 Designation Source: To Be Filed With SVO
 Coupon Rate:
 Issue Disposition:
 Maturity Date:
 Marked as Called Date:
 Dated Date:

Supporting Documents

Description	Status	Details	Options
Stock Certificate (front and back)	Rejected		

General

Filing Year: 2016
 Date Acquired: 05/04/2016
 Trigger Language: No
 State Insurance Requested: Yes

Supporting Documents

Description	Status	Details	Options
Stock Certificate (front and back)	Rejected		Options

Filing Document History

- NAIC Test Analyst (07/26/2016 03:25 PM): Please send in the correct file.
- NAIC Test Insurer (05/26/2016 09:27 AM): File has been uploaded.

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.

FI Name	Branch Name	FI Identifiers	Approval Date	Expiration Date	Available Actions
LSBM Investments		LEI: 96357415963215647895 ABA: CUSIP: EIN:			Initial Filing
Missouri State Bank		LEI: 059001000 ABA: CUSIP: EIN:			Initial Filing
Star Bank		LEI: 75205443635789635145 ABA: 91700353 CUSIP: 39621@ EIN: 102053687			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 Filings My Mutual Funds My Mutual Fund Filings

Q Initial Filing 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 organization:

Financial Institution Name	LEI	ABA	CUSIP	EIN
LSBM Investments	96357415963215647895			
Branch Name	Branch Number			

Filing Information		
FI Name	ABA	CUSIP
LSBM Investments	96357415963215647895	
EIN	Sovereign	

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.

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.

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.

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 Financial Institutions

Q Initial Filing Cancel

1. Financial Institution 2. Additional Information 3. Financial Institution Ratings 4. Contact Information 5. **Review** 6. User Agreement

83.0%

← Back → Next

Ready For Submission

Please review all information prior to submitting. Once submitted you will not be able to return to the Financial Institution filing wizard.

Filing Information

FI Name	LEI	Sovereign
LSBM Investments	90357415963215647895	UNITED STATES
GAAP Standard	Fiscal Year End	Statement Type
U.S. GAAP	12/31	Quarterly
Credit Rating Provider	Rating	
Standard and Poors	AAA	

Contact Information

Primary Contact

First Name	Last Name	Email
Beta	Tester	BT@gmail.com
Phone		
(755) 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

User 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 NAIC to its members; i.e., the commissioners, directors, superintendents and other named state officials that regulate the insurance business in the 50 states, the District of Columbia and the four U.S. territories. NAIC members (and their domiciled insurance companies) use this List to administer state laws pertaining to reinsurance arrangements that incorporate or are based on the NAIC's Credit for Reinsurance Model Law (#785) (Model 785). This List is not intended to be used and may not be used for any other purpose or by any other person or entity. Detailed information about the List is [available here](#).

By agreeing below, the filer certifies they have the authority to execute this Application and legally bind the applicant.

I Agree

[Download Agreement](#)

[Prepare Filing](#)

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

Filing Detail - 1035325 Cancel Submit Notes (0)

Filing Information

Filing Number: 1035325

F1 Name: [LSEB Investments](#)

Status: [Pending Submission](#)

Analyst: Grace Kennedy

Submission Type: Initial Filing

Estimated Filing Cost: \$1,250.00

General

LEI: 903741993215447895 Sovereign: UNITED STATES Fiscal Year End: 12/31

Statement Type: Accounting Standards

Quarterly: U.S. GAAP

Credit Rating Provider: Standard and Poors Rating: AAA

Contact Information

Primary Contact

First Name: Seta Last Name: Teitel Email: ST@gmail.com

Phone: (781) 960-6214

Secondary Contact

Email: TT@gmail.com

Supporting Documents Add

Description	Status	Details	Options
Standard and Poors Proof of Credit Rating	Incomplete		Add
Audited Annual Financials	Incomplete		Add

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.*

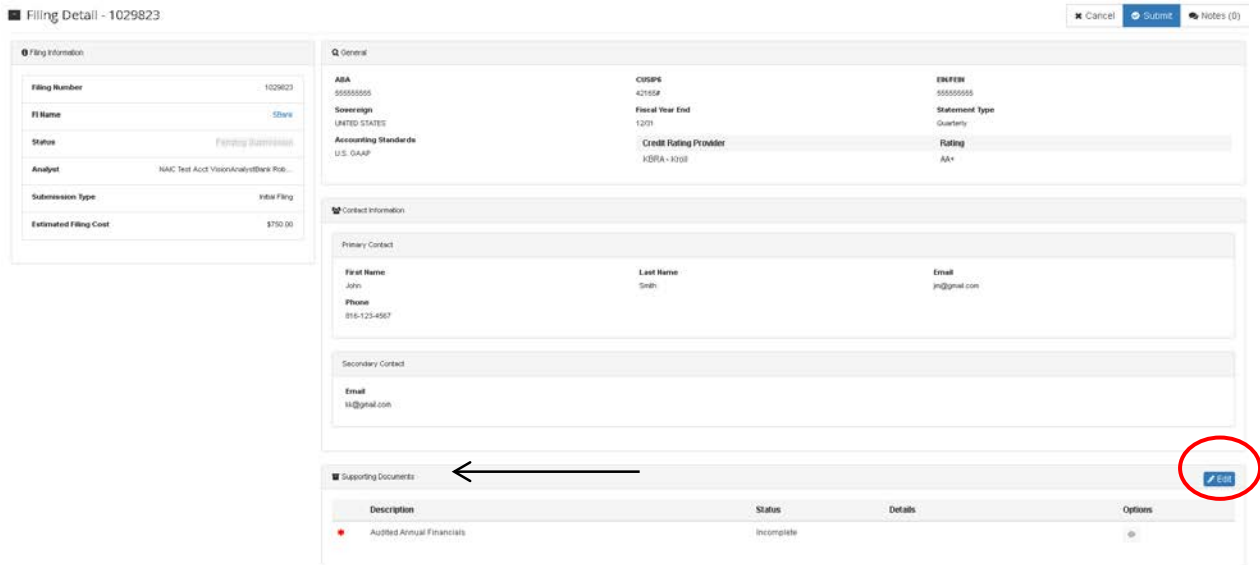
Step 7: Upload the support documents as described in Other Functionality - Adding Support Documents to a Filing. Or mail in the support documents described in Other Functionality – Mailing in Support Documents. After adding the documents, click 'SAVE' and 'Submit'.

Adding Kroll Proof of Credit Rating in supporting documents

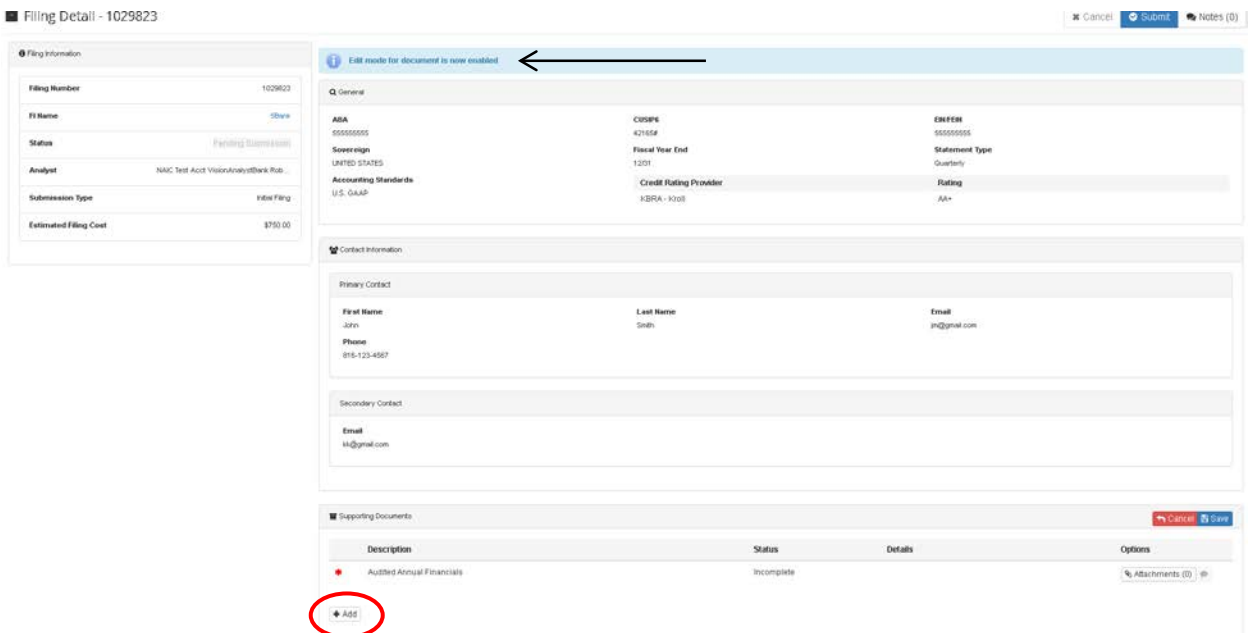
To add Kroll Proof of Credit Rating to a Filing, please follow the instructions below.

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

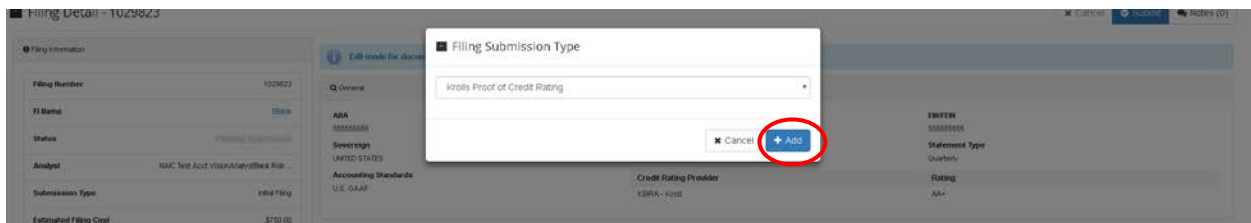
- From the Filing Detail page, click the Edit button that is located to the right of the Supporting Documents section.



- Once the edit mode is enabled, click the “Add” button, to add more document types.



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



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

Filing Detail - 1029823 Cancel Submit Notes (0)

Filing Information

Filing Number: 1029823

FI Name: [Share](#)

Status: Pending Submission

Analyst: NAC Test Acct VisionAnalyt@bank Rob...

Submission Type: Initial Filing

Estimated Filing Cost: \$750.00

Q General

ABA: 55555555	CUSIP: 42165F	ENREF: 55555555
Sovereign: UNITED STATES	Fiscal Year End: 12/31	Statement Type: Quarterly
Accounting Standards: U.S. GAAP	Credit Rating Provider: VDBRA - 12/08	Rating: AA+

Contact Information

Primary Contact

First Name	Last Name	Email
John	Smith	js@gmail.com
Phone		
016-123-4567		

Secondary Contact

Email: js@gmail.com

Supporting Documents Cancel Save

Description	Status	Details	Options
Audited Annual Financials	Incomplete		Attachments (0)
Kroll's Proof of Credit Rating	Required as Applicable		Attachments (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.

Filing Detail - 1029823 Cancel Submit Notes (0)

Filing Information

Filing Number: 1029823

FI Name: [Share](#)

Status: Pending Submission

Analyst: NAC Test Acct VisionAnalyt@bank Rob...

Submission Type: Initial Filing

Estimated Filing Cost: \$750.00

Filing 1029823 has been saved and has a status of "Pending Submission". ←

Q General

ABA: 55555555	CUSIP: 42165F	ENREF: 55555555
Sovereign: UNITED STATES	Fiscal Year End: 12/31	Statement Type: Quarterly
Accounting Standards: U.S. GAAP	Credit Rating Provider: VDBRA - 12/08	Rating: AA+

Contact Information

Primary Contact

First Name	Last Name	Email
John	Smith	js@gmail.com
Phone		
016-123-4567		

Secondary Contact

Email: js@gmail.com

Supporting Documents Edit

Description	Status	Details	Options
Audited Annual Financials	Bypassed	Test	
Kroll's Proof of Credit Rating	Uploaded	kroll's proof of	

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.

Filing Number	FI Name	Branch Name	LEI	ABA	CUSIP	EIN/FIN	Submission Type	Status	Date of Status Change
1038146	GreenLeaf Bank			052903147			Initial Filing	Awaiting Filer Input	04/27/2018
1038146	City Financial	Boston		012000036	313450		Initial Filing	Rejected	03/12/2018
1038126	May Anne LLC			123654789	123@14		Initial Filing	Review Completed	03/09/2018

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.

Filing Number	FI Name	Branch Name	LEI	ABA	CUSIP	EIN/FIN	Submission Type	Status	Date of Status Change
▲ 1033140	Green Leaf Bank			052903147			Initial Filing	Awaiting Filer Input	04/27/2018

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.

Supporting Documents Edit			
Description	Status	Details	Options
 Filch Proof of Credit Rating	Rejected		
 Moodys Proof of Credit Rating	Accepted	Vos.txt	

Filing Document History

Park, Kevin	test
<small>04/27/2018 06:43 AM</small>	
Kennedy, Grace	Response accepted.
<small>04/23/2018 11:43 AM</small>	
Kennedy, Grace	Response accepted.
<small>04/23/2018 11:43 AM</small>	
Latonya Buchanan, NAIC Te...	Please change the fiscal year
<small>03/22/2018 12:43 PM</small>	
Latonya Buchanan, NAIC Te...	File has been uploaded.
<small>03/22/2018 12:33 PM</small>	

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	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			
CUSIP		Issuer Name	Category
05634A2J8		BACARDI USA INC IAM COML PAPER4/2	Mutual Fund
Designation Source		Issue Desc	Issue Disposition
Mutual Fund		TRANCHE # TR 777	

[Back](#)
[Initiate Annual Filing](#)

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	INITIAL	Advent Capital Mgmt	ADR	001079102	123987456d	US Direct Obligations Full Faith	Submitted
1006627	INITIAL	Barclays Capital	COML PAPER IAM 314	16760RP96	6659895599	Bond Mutual Fund	Submitted
1006544	INITIAL	Barclays Capital	TRANCHE # TR 00010	00077UAA7	8909015154	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
1005093	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...	00080L502	2274896503	Bond Mutual Fund	Rejected
1006545	INITIAL	Advent Capital Mgmt	PFD SEC V NON CUM FLTG RATE	00080E201	333567uioK	Bond Mutual Fund	Pending SVO Review
▲ 1004432	INITIAL	Advent Capital Mgmt	INSTL CTF DEP 595	00034QF80	5632789635	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.

Supporting Documents Edit

Description	Status	Details	Options
Proof of Ratings	Rejected		
Financial Statements	Accepted	Audited Financial Statements.xls	

Filing Document History

Test Analyst 07/27/2016 02:34 PM Please send in ratings.

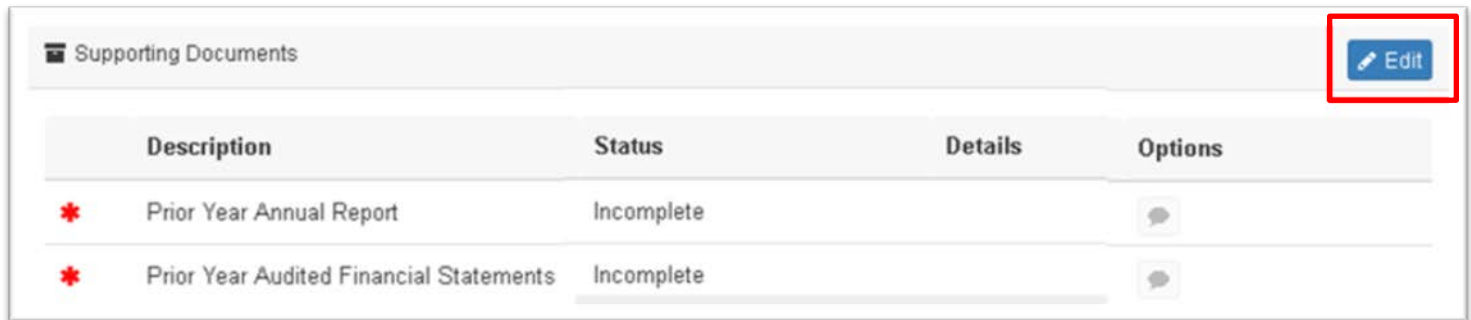
Test Filer 07/27/2016 02:25 PM I cannot find the ratings at this time.

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.



The screenshot shows the 'Supporting Documents' section of a filing detail. At the top right, there is a blue 'Edit' button with a pencil icon, which is highlighted with a red rectangular box. Below the button is a table with four columns: Description, Status, Details, and Options. The table contains two rows of data, both marked with a red asterisk in the Description column and 'Incomplete' in the Status column.

Description	Status	Details	Options
* Prior Year Annual Report	Incomplete		
* Prior Year Audited Financial Statements	Incomplete		

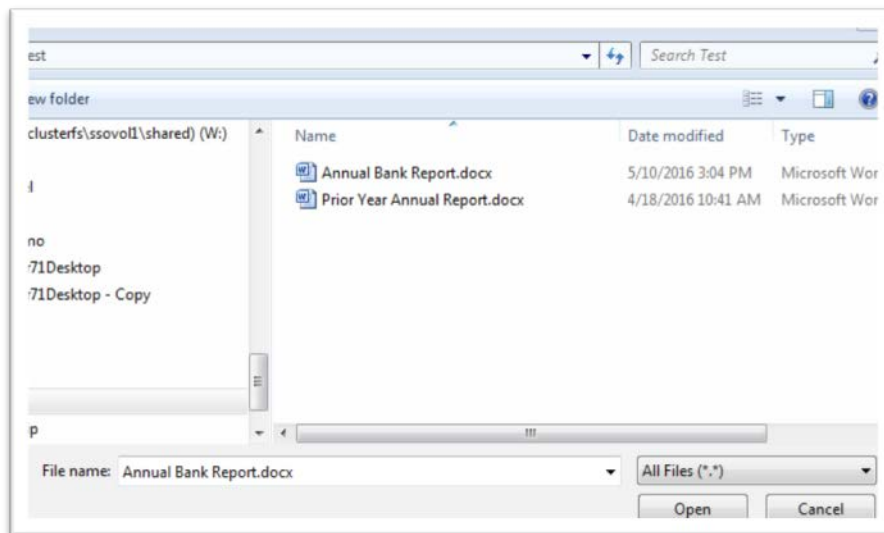
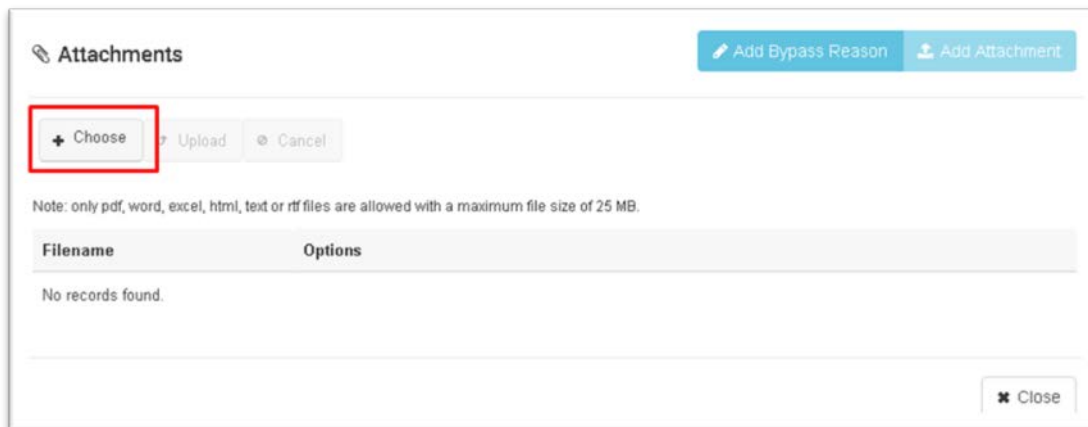
2. Click on the Attachment button for the support document you want to upload



The screenshot shows the 'Supporting Documents' section after clicking the 'Edit' button. At the top right, there are 'Cancel' and 'Save' buttons. The table from the previous screenshot is shown again, but now the 'Options' column for the first row contains a button labeled 'Attachments (0)' with a red rectangular box around it. The second row also has an 'Attachments (0)' button.

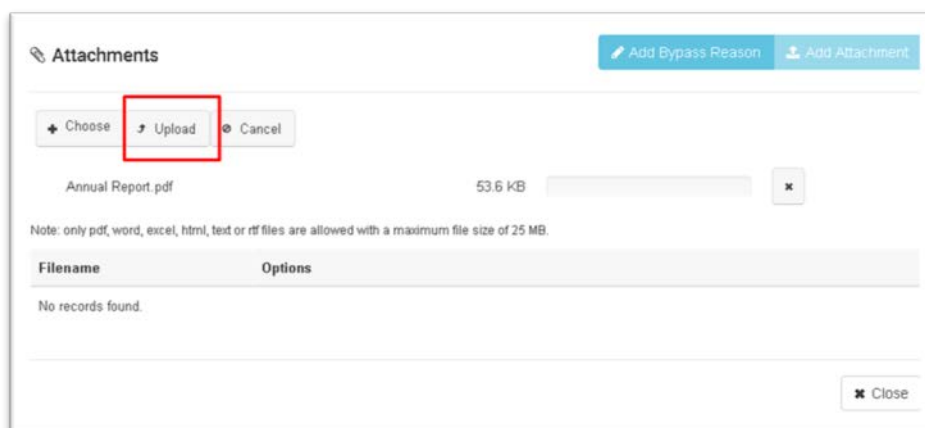
Description	Status	Details	Options
* Prior Year Annual Report	Incomplete		Attachments (0)
* Prior Year Audited Financial Statements	Incomplete		Attachments (0)

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

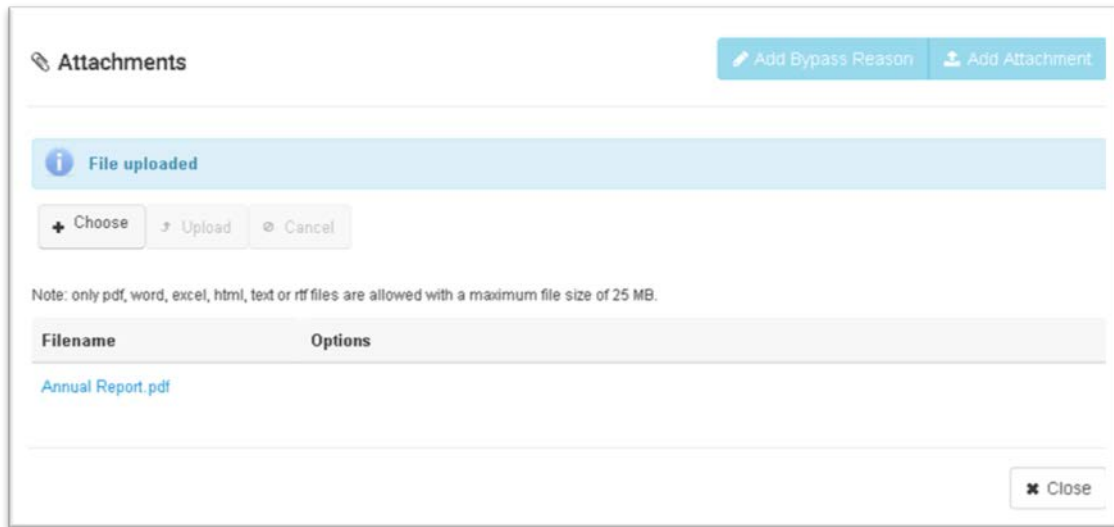


- Click the upload button and your selected file(s) will be attached to your filing.

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



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



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

Supporting Documents				Cancel	Save
Description	Status	Details	Options		
* Prior Year Annual Report	Uploaded	Annual Report.pdf	Attachments (1)		
* Prior Year Audited Financial Statements	Incomplete		Attachments (0)		

- Repeat this process for other support document required
- 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.

The screenshot shows the VISION interface for filing 1004069. The 'Supporting Documents' section contains a table with the following data:

Description	Status	Details
Prior Year Audited Financial Statements	Accepted - 91529Y10	
Prior Year Annual Report	Accepted - 91529Y10	

The 'Edit' button is circled in red.

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

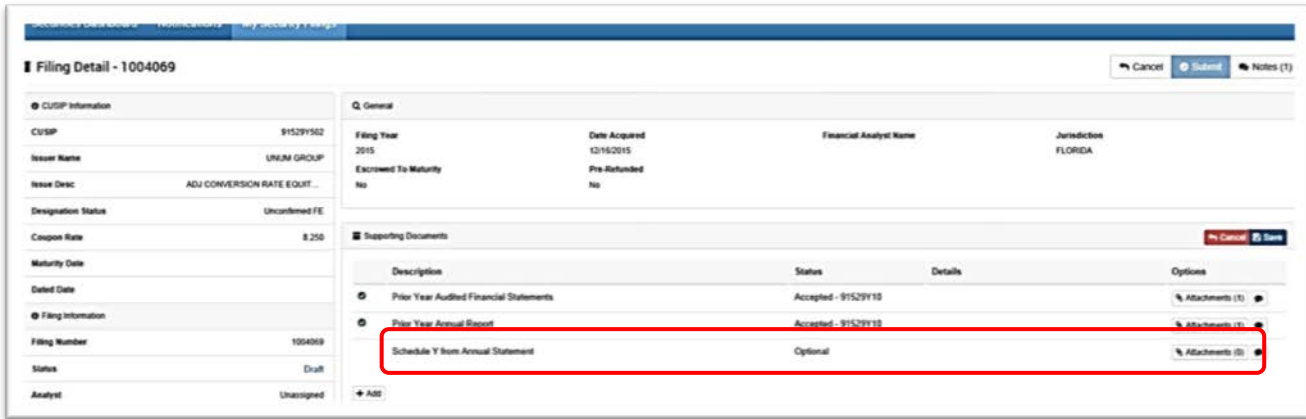
The screenshot shows the VISION interface for filing 1004069. A message at the top states: "Edit mode for document is now enabled". The 'Supporting Documents' section now includes an 'Add' button, which is circled in red. The table below shows the existing documents:

Description	Status	Details	Options
Prior Year Audited Financial Statements	Accepted - 91529Y10		Attachments (1)
Prior Year Annual Report	Accepted - 91529Y10		Attachments (1)

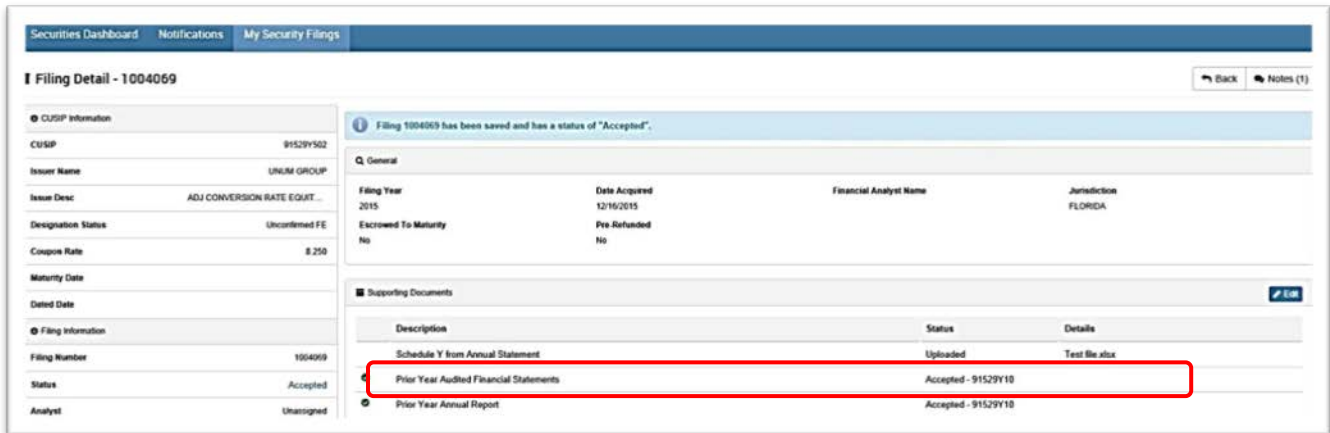
3. When the window pops up, select the “Filing Submission Type” from the dropdown menu, then Click the “Add” button.

The screenshot shows the VISION interface for filing 1004069. A modal window titled "Filing Submission Type" is open, displaying a dropdown menu with "Schedule Y 2015 Annual Statement" selected. The "Add" button is circled in red.

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

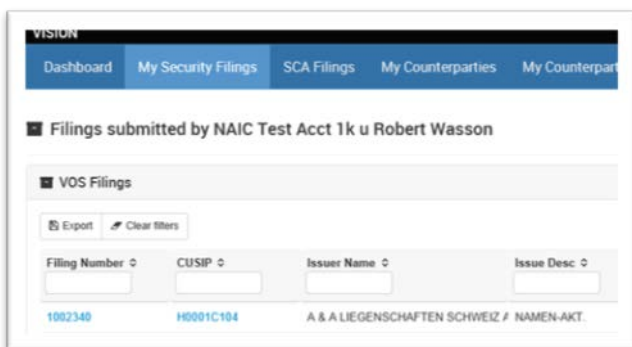


- Prior to saving the changes, upload your file to the added document as described in the section above. Otherwise, the added document type will be removed during the saving process.
- Once the file is uploaded, click the “Save” button for the Supporting Documents section.
- A message confirming the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

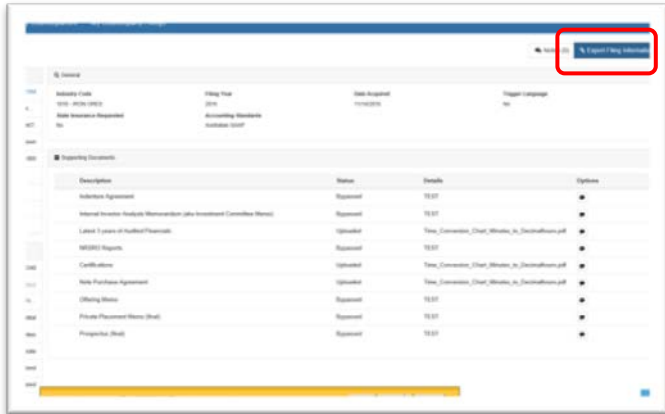


Export filing information

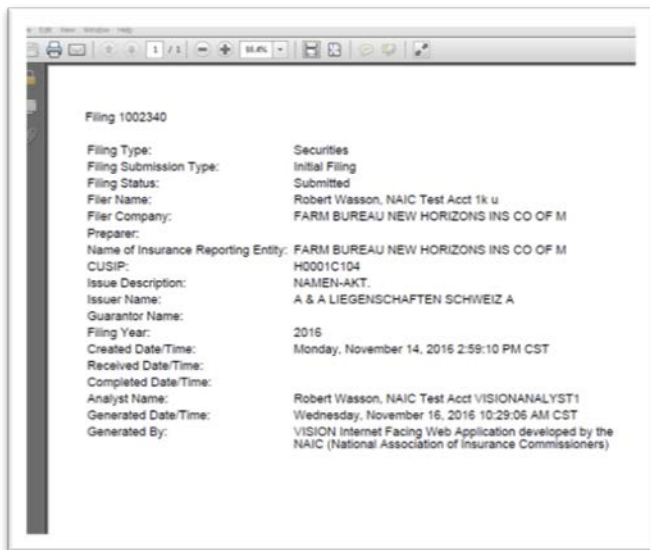
1. Under “My Security Filings” tab, select the filing number.



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



- 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 screenshot shows the VISION dashboard. At the top, a gray box with a red border contains the message: "The system will be down for maintenance beginning Saturday at noon and will be available Sunday by noon." Below this is a navigation bar with links like "Dashboard", "My Banks", "My Bank Filings", etc. The main content area is titled "Entire Dashboard" and features a table of filings. The table has columns for Groupings, CUSIP, Issuer Name, Issue Desc, Designation Source, Issue Disposition, Maturity Date, Marked as Called Date, Coupon Rate, and Available Actions.

Groupings	CUSIP	Issuer Name	Issue Desc	Designation Source	Issue Disposition	Maturity Date	Marked as Called Date	Coupon Rate	Available Actions
All	32242EAA8	AA AIRCRAFT FRG 2013-1 LLC	CFIS CL A3AAA	To Be Filed With SV0		11/01/2017		3.5%	Filing In Progress
	32242EAD6	AA AIRCRAFT FRG 2013-1 LLC	CFIS CL AACCD RW	To Be Filed With SV0		11/01/2017		3.5%	Instate Initial Filing
	32242EACA	AA AIRCRAFT FRG 2013-1 LLC	CFI CL B1AAA	To Be Filed With SV0		05/01/2021		6.5%	Instate Initial Filing

Sending comments to the analyst

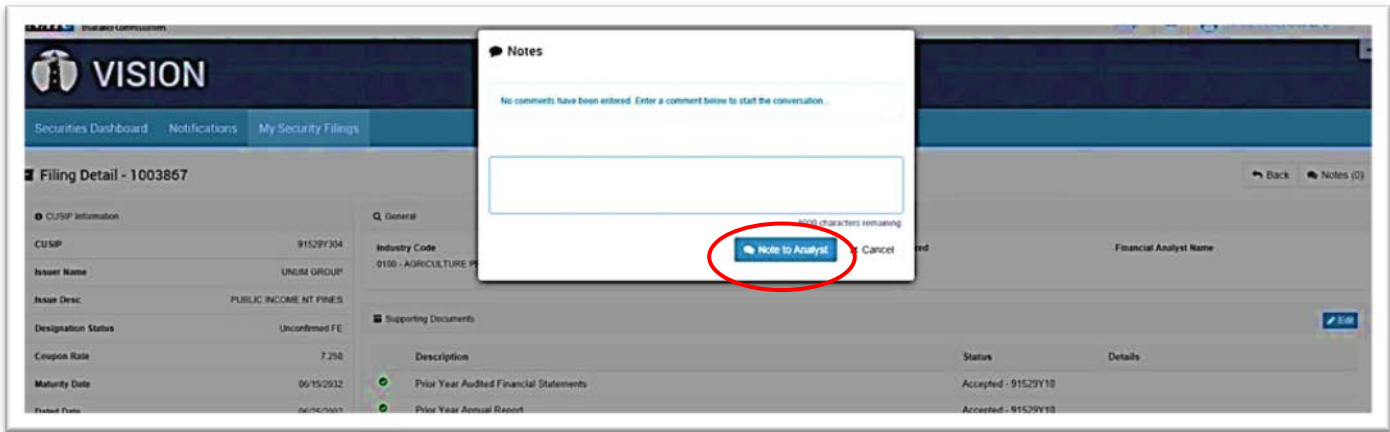
All filings have the functionality for the filer to send a confidential note to the NAIC analyst regarding the filing. This note is not viewable by other filers. If you need to send a note to the analyst to whom a filing has been assigned, perform the following steps:

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.

The screenshot shows the "Filing Detail - 1003867" page. It has a navigation bar with "Securities Dashboard", "Notifications", and "My Security Filings". The main content is divided into sections: "CUSIP Information", "General", and "Supporting Documents". The "General" section includes fields for Industry Code, Filing Year, Date Acquired, and Financial Analyst Name. The "Supporting Documents" section lists documents like "Prior Year Audited Financial Statements" and "Prior Year Annual Report". In the top right corner, there is a "Notes" button circled in red.

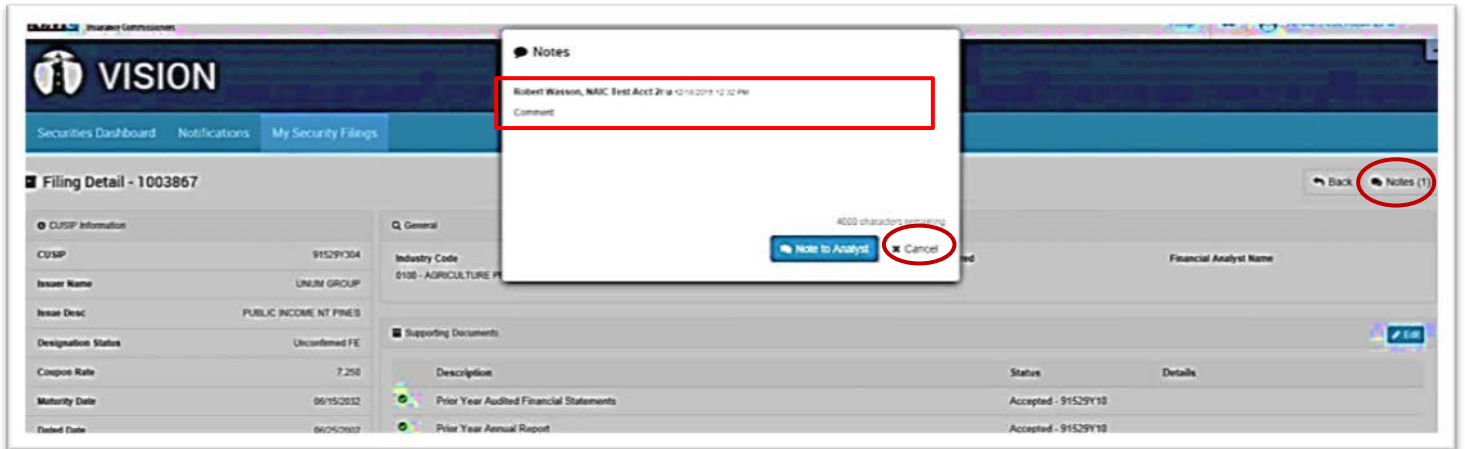
CUSIP Information		General			
CUSIP	91529Y304	Industry Code	Filing Year	Date Acquired	Financial Analyst Name
Issuer Name	LINEUM GROUP	0100 - AGRICULTURE PRODUCTION CROPS	2015	12/14/2015	
Issue Desc	PUBLIC INCOME NT PINES				
Designation Status	Unconfirmed FE				
Coupon Rate	7.25%				
Maturity Date	06/15/2032				
Dated Date	06/25/2002				

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



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.

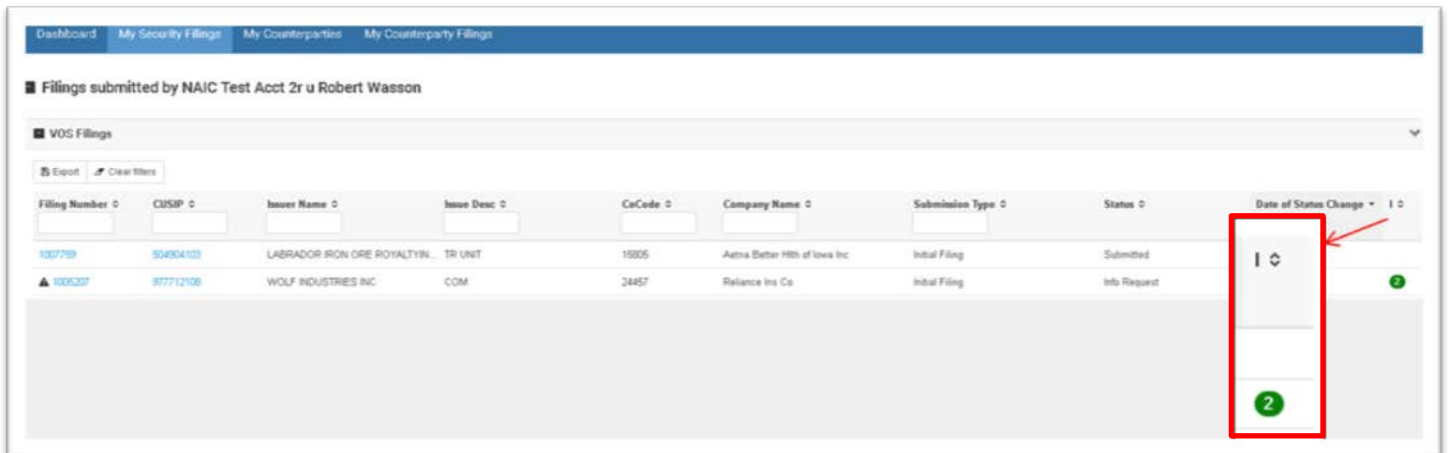


Note: A different filer or analyst who looks at the filing is not able to see the Details column, edit the Supporting Documents section, or view the comments in the Notes. This data is confidential and available only to the filer and NAIC analyst.

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.

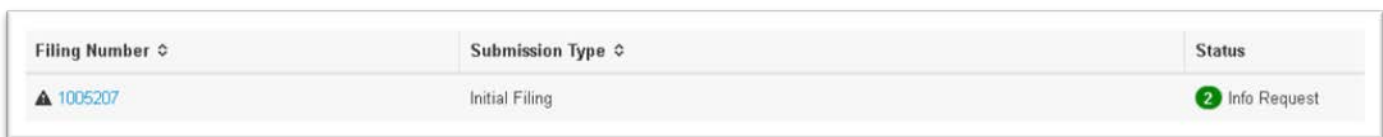


The filing clock will also show to all filers in any filing status fields related to this security. When they hover over the filing clock, 43 days remaining will be displayed.

From the Filing Detail:



From the Issue Detail page:



Mailing paper copies of support documents

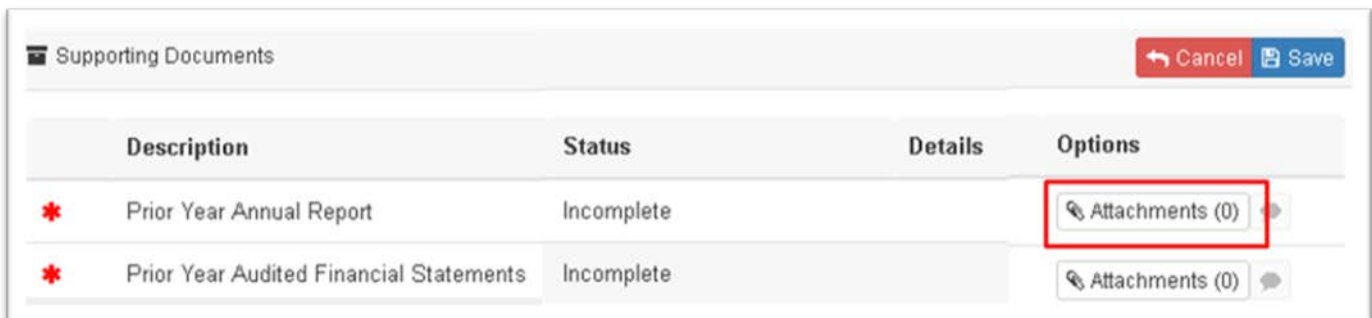
If you are unable to upload a support document, you may mail it to the NAIC. These filings will cost more to help cover the manual processing costs. Make sure you indicate that you are mailing the support document in on the filing and enclose a screen print of the filing detail with your mailing.

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

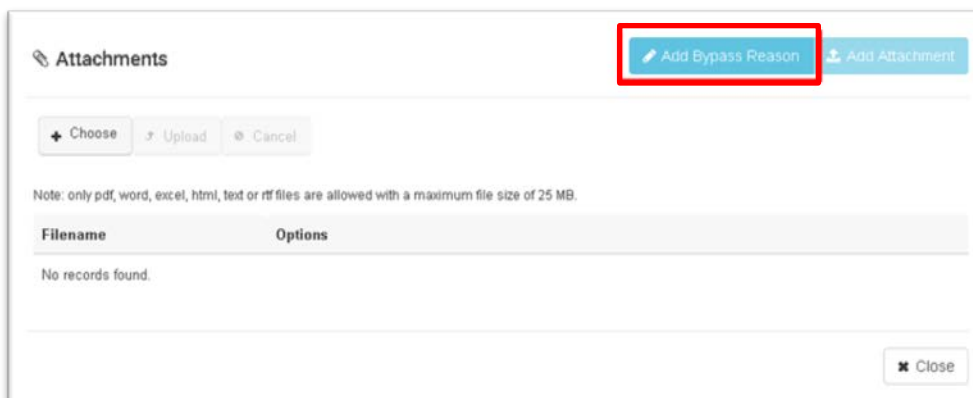
1. Enable the edit mode of the Supporting Documents by clicking on Edit.



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



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



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

Attachments

Add Bypass Reason Add Attachment

I am mailing in this document

3971 characters remaining.

Close Insert Reason

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.

Supporting Documents

Cancel Save

Description	Status	Details	Options
* Prior Year Annual Report	Bypassed	I am mailing in this document	Attachments (0)
* Prior Year Audited Financial Statements	Incomplete		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

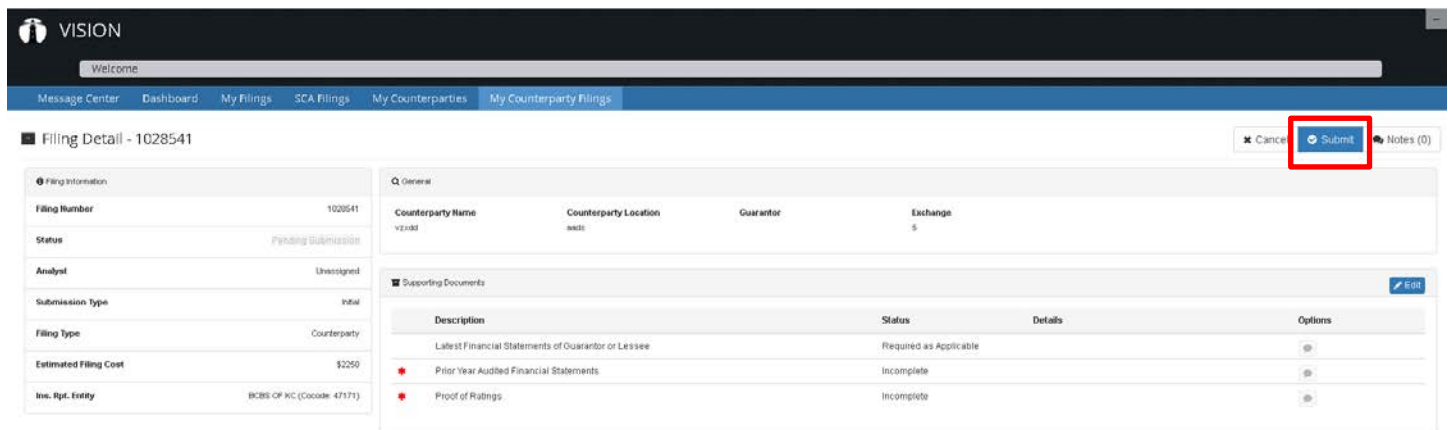
There are many similarities in the filing process for Mutual Funds and Counterparties. Below is an example of a Counterparty filing.

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

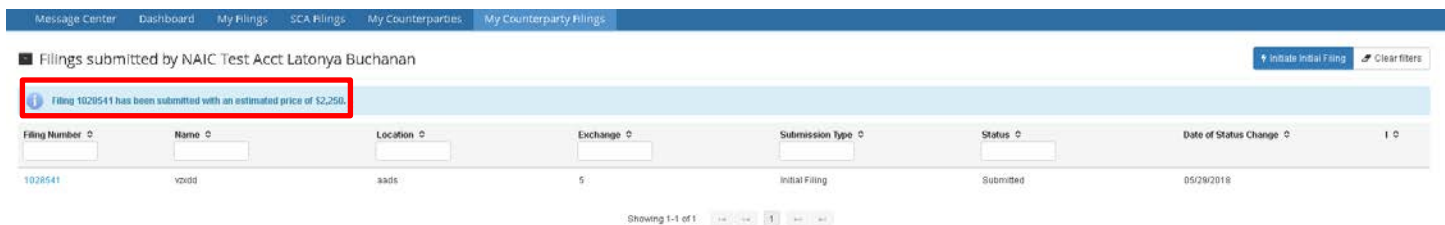


2. Upload the support documents as described in Other Functionality - Adding Support Documents to a Filing. Or mail in the support documents described in Other Functionality – Mailing in Support Documents.

3. Submit the filing by clicking on the Submit button.



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.



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:

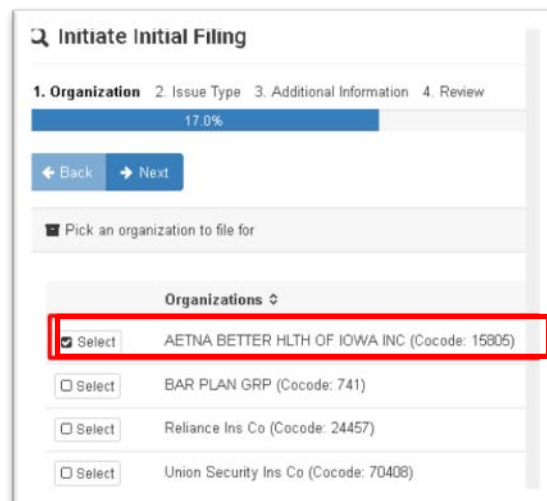
Initiating the filing

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.



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.

Q Initiate Initial Filing Cancel

1 Organization 2. **Issue Type** 3. Additional Information 4. Review

33.0%

Back Next

Choose an issue type and subtype

Issue Type
Foreign Government

Issue Subtype
Foreign

Is this a Private Letter Rating filing?
 No Yes

Filing Information

Insurance Reporting Entity	CUSIP	Type	Subtype
KNIGHTS OF PETER CLAVER (Cocode: 57835)	715638AU6	Foreign Government	Foreign

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

Q Initiate Initial Filing Cancel

1 Organization 2. Issue Type 3. **Additional Information** 4. Review

83.0%

Back Next

Additional Information

Date Acquired *
mm/dd/yyyy
May 10, 2017

Financial Analyst Name

Filing Year
2017

Was a preliminary (RTAS) designation assigned to this issue?
No

CRP: *
Select One

Rating: *
Select One

Date of Letter: *
mm/dd/yyyy

+ Add Additional Rating

Filing Information

Insurance Reporting Entity	CUSIP	Filing Year	Type
KNIGHTS OF PETER CLAVER (Cocode: 57835)	715638AU6	2017	Foreign Government

Subtype	Filing Type	Industry Code
Foreign	Private Letter Rating	9730 - FOREIGN GOVERNMENTS

Is being filed at request of State Insurance Department?
No

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

Q Initiate Initial Filing Cancel

1 Organization 2. Issue Type 3. **Additional Information** 4. Review

83.0%

Back Next

Additional Information

Date Acquired *
05/04/2017

Financial Analyst Name

Filing Year
2017

Industry Code *
9730 - FOREIGN GOVERNMENTS

Is being filed at request of State Insurance Department?
No

Was a preliminary (RTAS) designation assigned to this issue?
No

Ratings

CRP: *
Select One
Standard and Poor's
Moody's
Fitch
DBRS
EUR - Egan-Jones
AM Best
KBRA - Kroll
MorningStar
HR Ratings de Mexico

Rating: *
Select One

Date of Letter: *
mm/dd/yyyy

+ Add Additional Rating

Filing Information

Insurance Reporting Entity	CUSIP	Filing Year	Type
KNIGHTS OF PETER CLAVER (Cocode: 57835)	715638AU6	2017	Foreign Government

Subtype	Filing Type	Industry Code
Foreign	Private Letter Rating	9730 - FOREIGN GOVERNMENTS

Is being filed at request of State Insurance Department?
No

Phone: (815) 763-8175
8 a.m. - 6 p.m. (CST)
Monday - Friday

DVLP

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.

The screenshot shows the 'Filing Detail - 1011913' page. At the top right, there are buttons for 'Cancel', 'Submit', and 'Notes (0)'. The 'Submit' button is highlighted with a red box. The page is divided into several sections:

- CUSIP Information:** CUSIP: 715638AU6, Issuer Name: PERU REP, Issue Desc: USS GLOBAL BD, Designation Source: In FE, Coupon Rate: 6.550, Issue Disposition: , Maturity Date: 03/14/2037, Marked as Called Date: , Dated Date: 03/14/2007.
- Filing Information:** Filing Number: 1011913, Status: Pending Submission, Analyst: Unassigned, Submission Type: Initial, Filing Type: Private Letter Rating.
- File uploaded:** A table with columns: Industry Code (9730 - FOREIGN GOVERNMENTS), Filing Year (2017), Date Acquired (05/04/2017), State Insurance Requested (No).
- Submitted Ratings:** A table with columns: CRP, RATING, DATE OF LETTER. Rows include DBRS (AAA, 05/09/2017) and Standard and Poors (A-, 05/15/2017).
- Supporting Documents:** A table with columns: DESCRIPTION, STATUS, DETAILS, OPTIONS. Rows include 'Standard and Poors Private Letter Rating' (Uploaded, business_rule_msgs.txt) and 'DBRS Private Letter Rating' (Uploaded, business_rule_msgs.txt).

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.

FILING NUMBER	CUSIP	ISSUER NAME	ISSUE DESC	COCODE	COMPANY NAME	SUBMISSION TYPE	STATUS	DATE OF STATUS CHANGE	
1011914	715638AU6	PERU REP	USS GLOBAL BD	68772	SECURITY MUT LIFE INS CO OF NY	Subsequent Filing	Submitted	05/15/2017	
1011731	571903AF9	MARRIOTT INTL INC NEW	NT SER P	94356	USABLE LIFE	Subsequent Filing	Rejected	05/10/2017	
1011232	571903AF9	MARRIOTT INTL INC NEW	NT SER P	97628	PERK LIFE INS CO	Subsequent Filing	Review Completed	05/01/2017	
1011231	571903AF9	MARRIOTT INTL INC NEW	NT SER P	28339	GATEWAY INS CO	Initial Filing	Review Completed	05/01/2017	

EXAMPLE OF SUBMITTING A SUBSIDIARY, CONTROLLED AND AFFILIATED (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.

Filing Number	CUSIP	Issuer Name	Issue Desc	CoCode	Company Name	Submission Type	Status	Valuation Mtr
1001682	31741@107	FINANCIAL ASSOCS MIDWEST IN	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.

Initiate Initial Filing

1. Organization 2. Issue Type 3. Additional Information 4. Review

17.0%

← Back → Next

Pick an organization to file for

Organizations

- Select AETNA BETTER HLTH OF IOWA INC (Cocode: 15805)
- Select BAR PLAN GRP (Cocode: 741)
- Select Reliance Ins Co (Cocode: 24457)
- Select Union Security Ins Co (Cocode: 70408)

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

Sub-1

1. Filer and SCA 2. Valuation Method 3. SCA Acquisition Details 4. SCA Acquisition Overview 5. Review

20.0%

← Back → Next

Select Filer

Filer

Select BCBS OF KC (Cocode: 47171)

Select UNITED AMER INS CO (Cocode: 60918)

Enter SCA CUSIP

Find Issue SCA Name Filing Year Was SCA Company Acquired or Formed?

Enter a 9 character cusip Find 2018 Select One

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

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

SCA Type

Select One

(a) - Market Value

(b)(i) - US Insurance SCA Entities

(b)(ii) - Non Insurance SCA Entities Statutory Basis

(b)(iii) - Non Insurance SCA Entities GAAP Basis

(b)(iv) - Foreign Insurance SCA Entities

Filing Information

Insurance Reporting Entity	CUSIP	SCA Name	Filing Year
BCBS OF KC (Cocode: 47171)	02401@AC3 - SER C SR GTD NT	Test SCA	2018
		Was SCA Company Acquired or Formed?	
		Acquired	

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

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

Sub-1

1. Filer and SCA 2. Valuation Method 3. SCA Acquisition Details 4. SCA Acquisition Overview 5. Review

60.0%

← Back → Next

SCA Acquisition

Principal Business Date Shares Acquired

Is Seller a Related Entity as defined under SSAP 28? Goodwill

Select One [checked] Select One

If selecting Positive or Negative Goodwill, a goodwill worksheet will be required.

Filing Information

Insurance Reporting Entity	CUSIP	SCA Name	Filing Year
BCBS OF KC (Cocode: 47171)	02401@AC3 - SER C SR GTD NT	Test SCA	2018
		Was SCA Company Acquired or Formed?	
		Acquired	
		Method Type	(a) - Market Value

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.

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

1. Filer and SCA 2. Valuation Method 3. SCA Acquisition Details 4. **SCA Acquisition Overview** 5. Review

80.0%

← Back → Next

SCA Acquisition Overview

Total Value Claimed * Shares Owned * Value Per Share * Percent Outstanding Shares Owned *

Consideration Paid *
Enter 0 if not applicable.

Does the SCA directly or indirectly own shares of the insurance reporting entity? *
Select One
If selecting Yes, an elimination worksheet will be required.

Does the SCA directly or indirectly own shares of an upstream intermediate or ultimate parent? *
Select One
If selecting Yes, an elimination worksheet will be required.

Is the SCA consolidated with other subsidiaries? *
Select One
If selecting Yes, a Stat. Adjustment Worksheet will be required.

Analyst Name Phone Number Email

Comments

Filing Information

Insurance Reporting Entity BCBS OF KC (Cocode: 47171)	CUSIP 02401@AC3 - SER C SR GTD NT	SCA Name Test SCA	Filing Year 2018
Was SCA Company Acquired or Formed? Acquired	Method Type S(a) - Market Value	Was SCA Company Acquired or Formed? Acquired	Method Type S(a) - Market Value

DWP

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.

Q Sub-1 ✕ Cancel

1. Filer and SCA 2. Valuation Method 3. SCA Acquisition Details 4. SCA Acquisition Overview 5. **Review**

100.0%

← Back → Next

Filing Information

Insurance Reporting Entity BCBS OF KC (Cocode: 47171)	CUSIP 02401@AC3 - SER C SR GTD NT	SCA Name Test SCA	Filing Year 2018
Was SCA Company Acquired or Formed? Acquired	Method Type S(a) - Market Value	Principal Business Run	Date Shares Acquired 03/01/2017
Is Seller a Related Entity as defined under SSAP 25? No	Goodwill No Goodwill	Total Value Claimed \$1,000,000.00	Shares Owned 10,000.00
Value Per Share \$100.00	Percent Outstanding Shares Owned 2.0000 %	Consideration Paid \$0.00	Does the SCA directly or indirectly own shares of the insurance reporting entity? No
Does the SCA directly or indirectly own shares of an upstream intermediate or ultimate parent? No	Is the SCA consolidated with other subsidiaries? No		

Ready for submission

Please review all information prior to submitting. Once submitted you will not be able to return to the SCA filing wizard.

➤ Prepare SCA Filing

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.

SCA Filing Detail - 1028461 Cancel **Submit** Notes (0)

SCA Filing Information		General			
CUSIP	02401@AC3	Valuation Method	Date Shares Acquired	Principal Business	Was SCA Company Acquired or Formed?
Issuer Name	AMERICAN ASSETS TR L P	8(a) - Market Value	03/01/2017	Run	Acquired
Issue Desc	SER C SR GTD NT	Consolidated SCA	Is Seller a Related Entity as defined under SSAP 257	Goodwill	Discount Rate
SCA Name	Test SCA	No	No	No Goodwill	20.00 %
				Shares Owned	Total Value Claimed
				10,000.00	\$1,000,000.00
				Value Per Share	Percent Outstanding Shares Owned
				\$100.00	2.0000 %
				Does the SCA directly or indirectly own shares of an upstream intermediate or ultimate parent?	Does the SCA directly or indirectly own shares of the insurance reporting entity?
				No	No

Filing Information		Supporting Documents			
Filing Number	1028461	Description	Status	Details	Options
Status	Pending Submission	**SCA Elimination Worksheet	Required as Applicable		
Filing Year	2018	**SCA Goodwill Worksheet	Required as Applicable		
Analyst	Unassigned	**SCA Permitted and Prescribed Practices	Required as Applicable		
Submission Type	Sub-1	**SCA Stat. Adjustment Worksheet	Required as Applicable		
Filing Type	SCA	**SCA Sub-1 Acquisition Overview	Incomplete		
Estimated Filing Cost	Not Available				
Ins. Rpt. Entity	BCBS OF KC (CoCode: 47171)				

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 NAIC Test Acct Latonya Buchanan Export Clear filters Initiate Sub-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

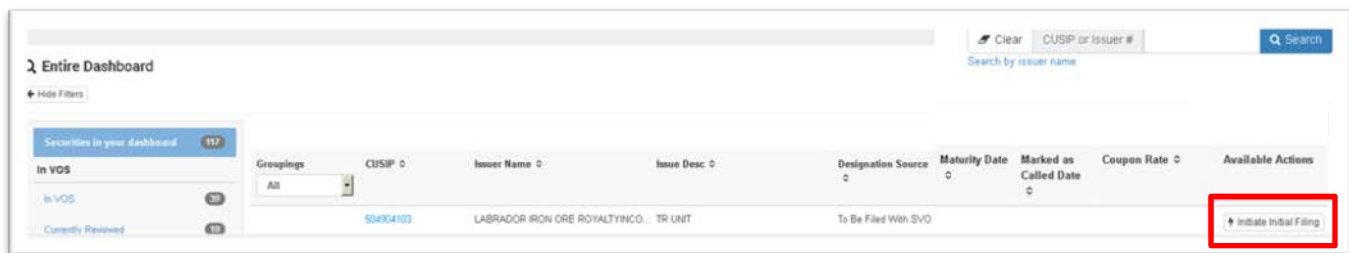
EXAMPLE OF SUBMITTING A VOS FILING

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

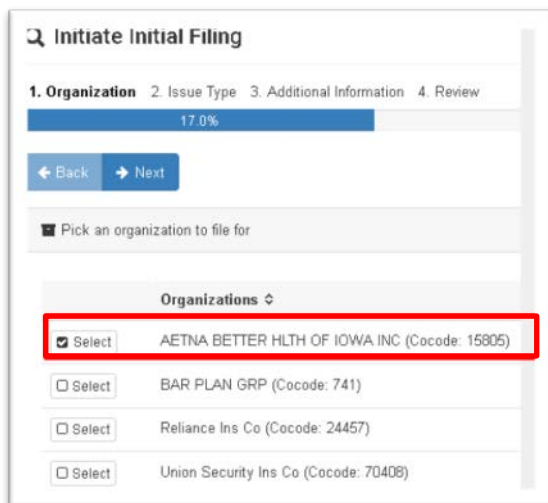
An example of a VOS filing is shown below:

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.



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.



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.

Q Initiate Initial Filing

1. Organization 2. **Issue Type** 3. Guarantor 4. Additional Information 5. Review

33.0%

← Back → Next

Choose an issue type and subtype

Category * **Subtype ***

Municipal Bond Bank

Security Type *

Domestic Municipal Lease

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.

Q Initiate Initial Filing

1. Organization 2. Issue Type 3. **Guarantor** 4. Additional Information 5. Review

67.0%

← Back → Next

Is this issue contractually supported in any way (e.g. guaranteed, insured or puttable to a third party)?

No Yes

Filing Information			
Insurance Reporting Entity	CUSIP	Type	Subtype
AETNA BETTER HLTH OF IOWA INC (Cocode: 15805)	504904103	Domestic Municipal Lease	Bond Bank

Provide the requested information for your filing.

Q Initiate Initial Filing

1. Organization 2. Issue Type 3. Guarantor 4. **Additional Information** 5. Review

93.0%

← Back → Next

Additional Information

Date Acquired * Financial Analyst Name Filing Year

07/04/2016 [] 2016

Is being filed at request of State Insurance Department? Was a preliminary (RTAS) designation assigned to this issue? Accounting Standards *

Yes No U.S. GAAP

The Issue's documentation, including Prospectus and Note Agreement, was reviewed for prohibited "trigger" language, and none was found. "The Prohibition (of the use of NAIC Designations in Private Agreements) shall apply only to transactions issued after September 1, 2010 and to transactions to which the prohibited clause is added after September 1, 2010"

Yes

Municipal

Jurisdiction * Escrowed To Maturity? *

ILLINOIS No

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.

4 Initiate Initial Filing

1. Organization 2. Issue Type 3. Guarantor 4. Additional Information 5. **Review**

100.0%

← Back → Next

Filing Information

Insurance Reporting Entity	CUSIP	Filing Year	Type
AETNA BETTER HLTH OF IOWA INC (Cocode: 15805)	504904100	2016	Domestic Municipal Lease
Subtype	Date Acquired	Jurisdiction	Is being filed at request of State Insurance Department?
Bond Bank	07/04/2016	ILLINOIS	Yes

Accounting Standards
U.S. GAAP

The Issue's documentation, including Prospectus and Note Agreement, was reviewed for prohibited "trigger" language, and none was found. "The Prohibition (of the use of NAIC Designations in Private Agreements) shall apply only to transactions issued after September 1, 2010 and to transactions to which the prohibited clause is added after September 1, 2010"

Yes

Ready For Submission

Please review all information prior to submitting. Once submitted you will not be able to return to the VOS filing wizard.

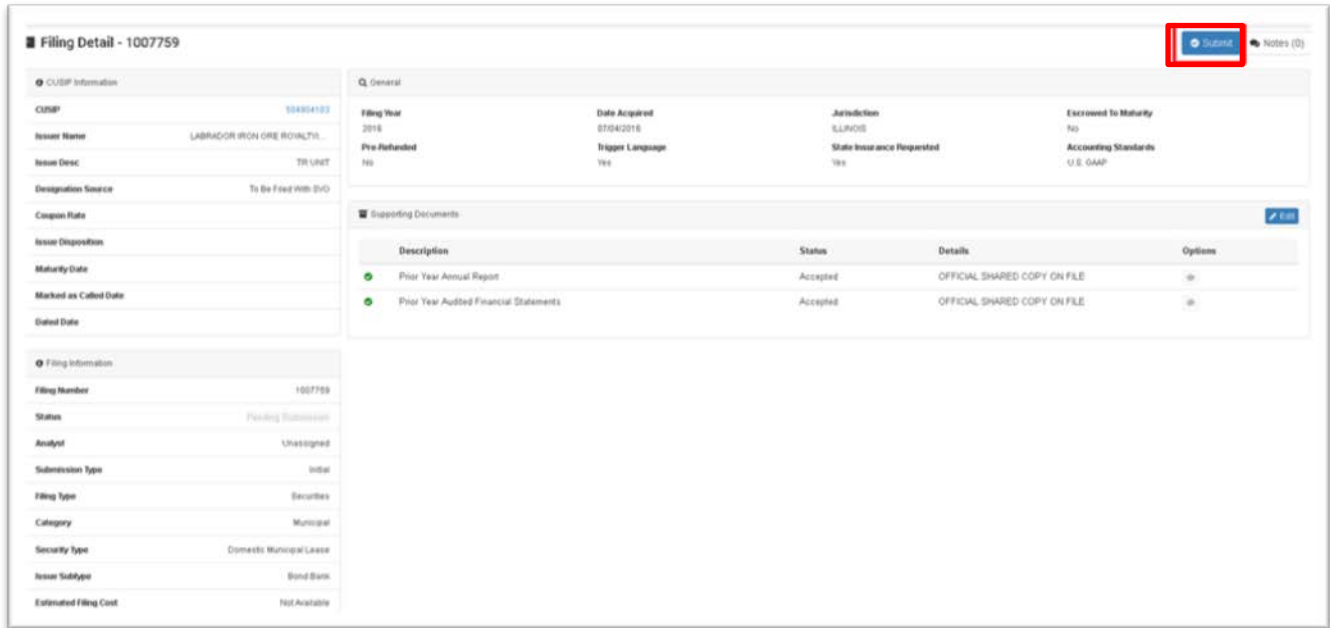
Prepare Filing

Attaching supporting documents

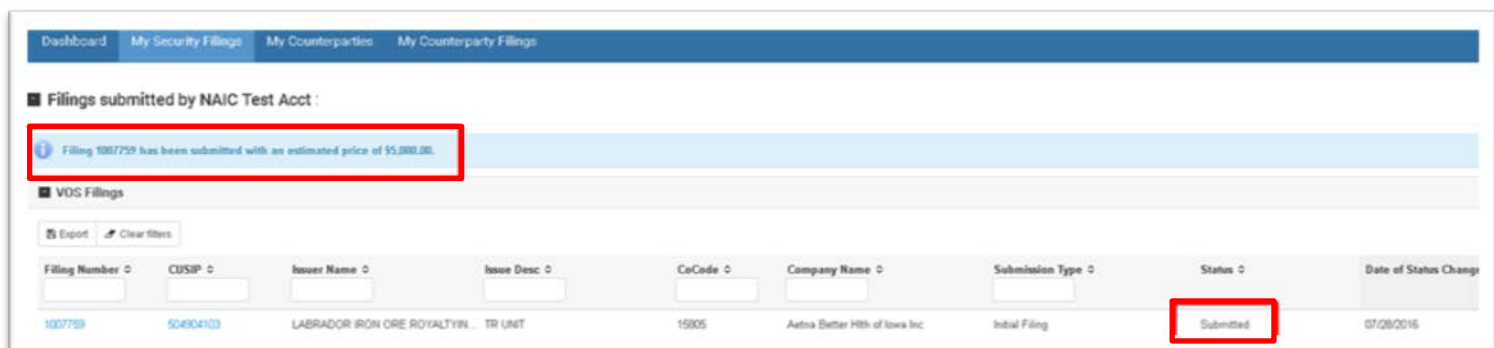
Attach your support documents as described in Other Functionality – Uploading support documents to your filing. Note in this example, the Supporting Documents detail say there is an OFFICAL SHARED COPY ON FILE, so I do not have to provide the documents – the NAIC already has them.

Submitting the filing

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



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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
 - **AVS+:**
 - 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