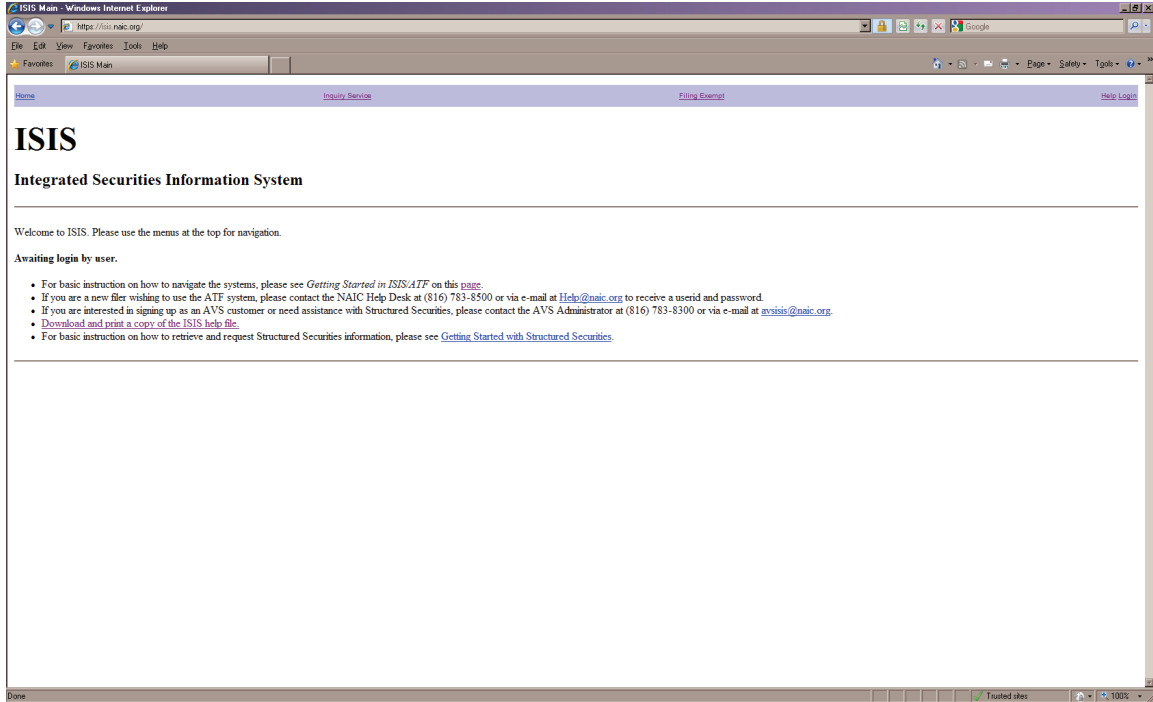


# GETTING STARTED IN ISIS INSTRUCTIONS MARCH 2011

## ISIS Welcome Screen



Here is Home page of the online ISIS web site -<https://isis.naic.org>.

The page provides helpful tips and instructions on the bottom portion of this page including:

1. A link to the Getting Started in ISIS document ([www.naic.org/svo\\_avs\\_isis.htm](http://www.naic.org/svo_avs_isis.htm))
2. Appropriate contact information for new filers wishing to use the ATF system and prospective AVS customers.
3. A link to the ISIS help file.

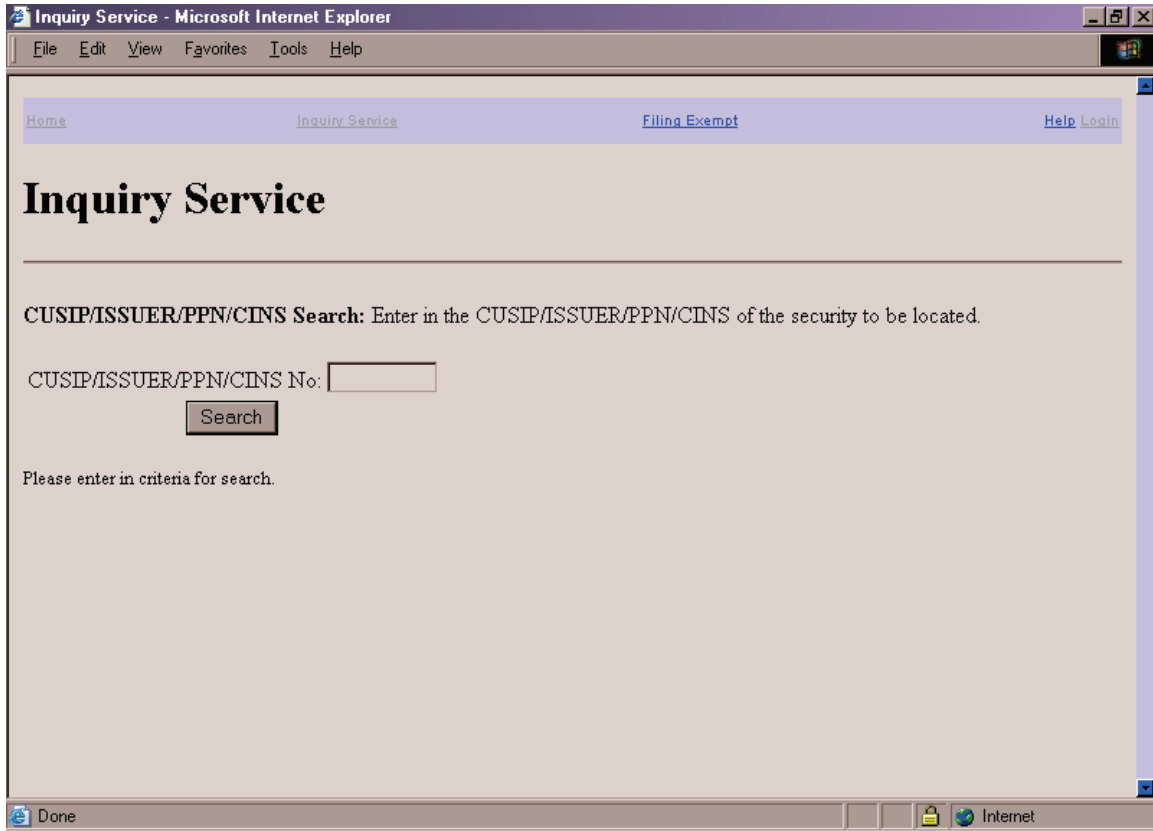
The menu bar on the top of the page contains helpful links to facilitate site navigation.

**Home** – Pressing this link on any other ATF screen will lead back to the ISIS Welcome screen.

***NOTE: User must be logged on for this link to work properly.***

**Inquiry Service** – The Inquiry Service link is available for users to obtain pertinent information for a specific CUSIP/ISSUER/PPN/CINS number.

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Once a valid CUSIP/ISSUER/PPN/CINS number is entered on the Inquiry Service screen, information will display to determine if the security:

1. Is Filing Exempt or Unconfirmed FE
2. Is in the SVO Database. If security is in VOS, the Inquiry Service page will reveal whether it contains a current year Review Date.
3. Contains ATF status, i.e. either created but not yet received by the SVO or received by the SVO but not yet completed.
4. Has outstanding InfoReq information
5. Is assigned Group Code 99 (specific text message)
6. Matured or is near maturity within calendar year (specific text message)
7. Already has financial information received for a particular issuer (specific text message)

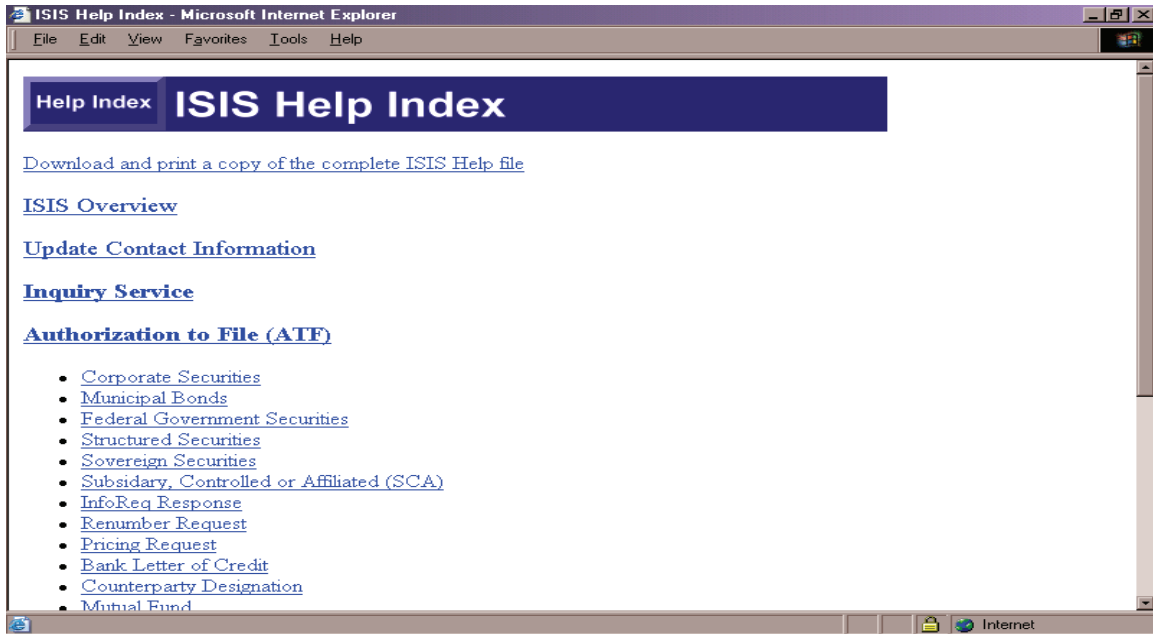
***NOTE: Users do not have to log on to use Inquiry Service***

***IMPORTANT: It is also recommended that filers utilize the Inquiry Service to determine the Filing Exempt and VOS database status of their securities prior to accessing the ATF screens.***

**Help** – The Help link will lead to the ISIS Help Index where additional help information for ISIS applications including Authorization to File (ATF), Inquiry Service, Filing Exempt (FE) and Automation Valuation Services (AVS) are available.

# GETTING STARTED IN ISIS INSTRUCTIONS

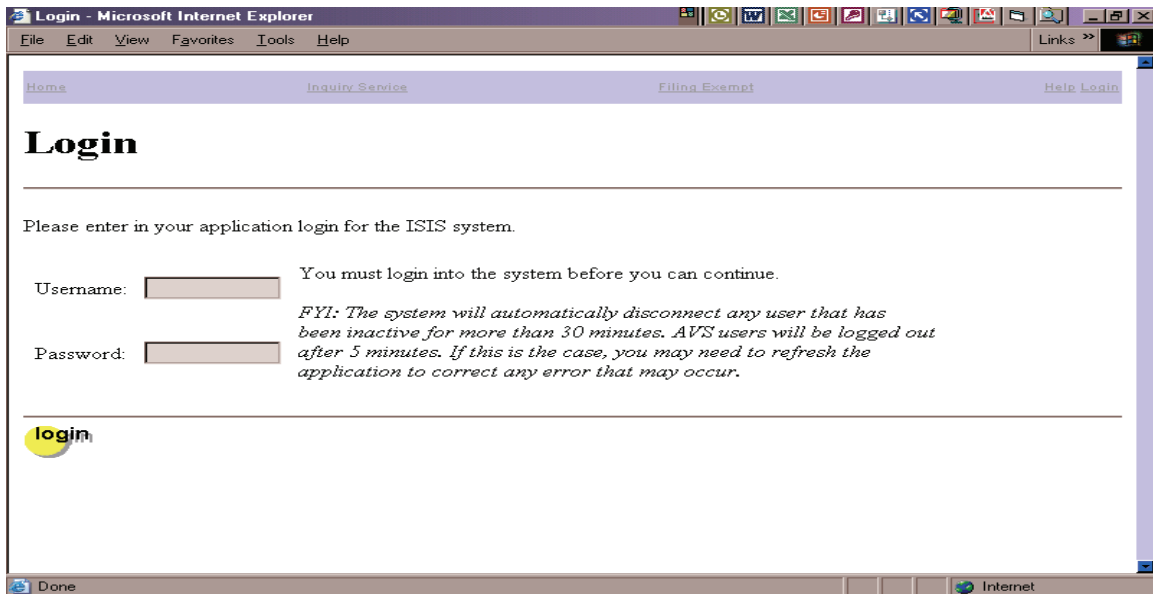
## MARCH 2011



The top link “Download and print a copy of the complete ISIS Help file” will save a complete copy of the ISIS help file locally and to print its contents.

*NOTE: The same link is also available on the bottom of the ISIS Welcome page.*

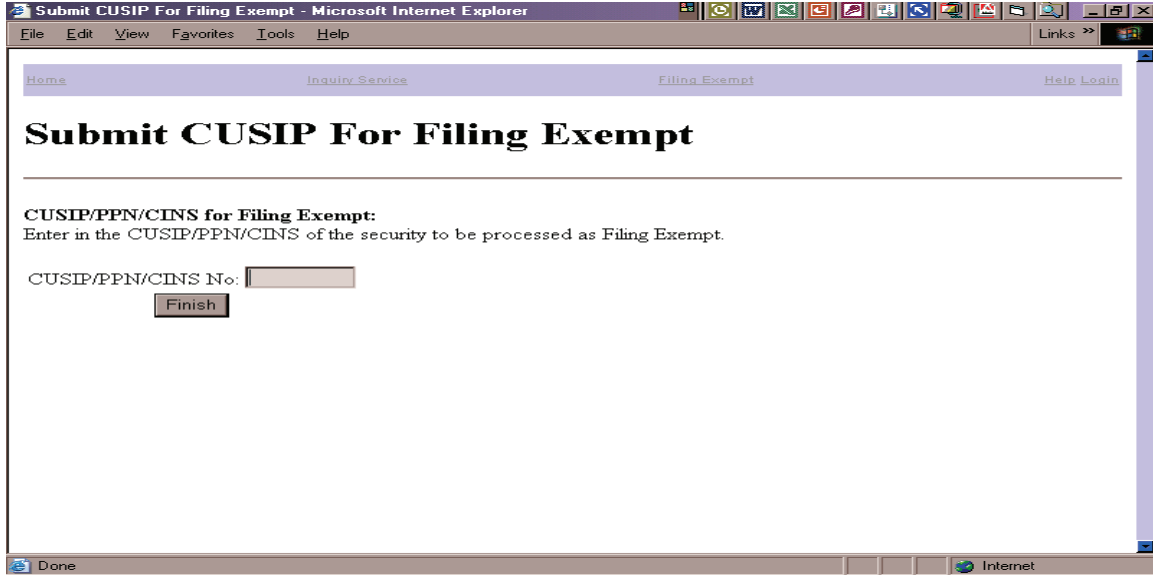
**Login** – Select this link on the top right of the welcome page to log into ISIS.



Enter Username and Password into the appropriate fields and press Enter key or Login button.

## GETTING STARTED IN ISIS INSTRUCTIONS MARCH 2011

**Filing Exempt** – The Filing Exempt link is also available on the menu bar.



The screenshot shows a Microsoft Internet Explorer browser window titled "Submit CUSIP For Filing Exempt - Microsoft Internet Explorer". The address bar is empty. The menu bar includes "File", "Edit", "View", "Favorites", "Tools", and "Help". The status bar at the bottom shows "Done" and "Internet". The main content area has a navigation bar with links for "Home", "Inquiry Services", "Filing Exempt", and "Help Login". Below the navigation bar, the heading "Submit CUSIP For Filing Exempt" is displayed. Underneath, the text reads "CUSIP/PPN/CINS for Filing Exempt: Enter in the CUSIP/PPN/CINS of the security to be processed as Filing Exempt." There is a text input field labeled "CUSIP/PPN/CINS No:" and a "Finish" button below it.

Once a valid CUSIP/PPN/CINS number on the Submit CUSIP for Filing Exempt screen, information will display to determine whether the security:

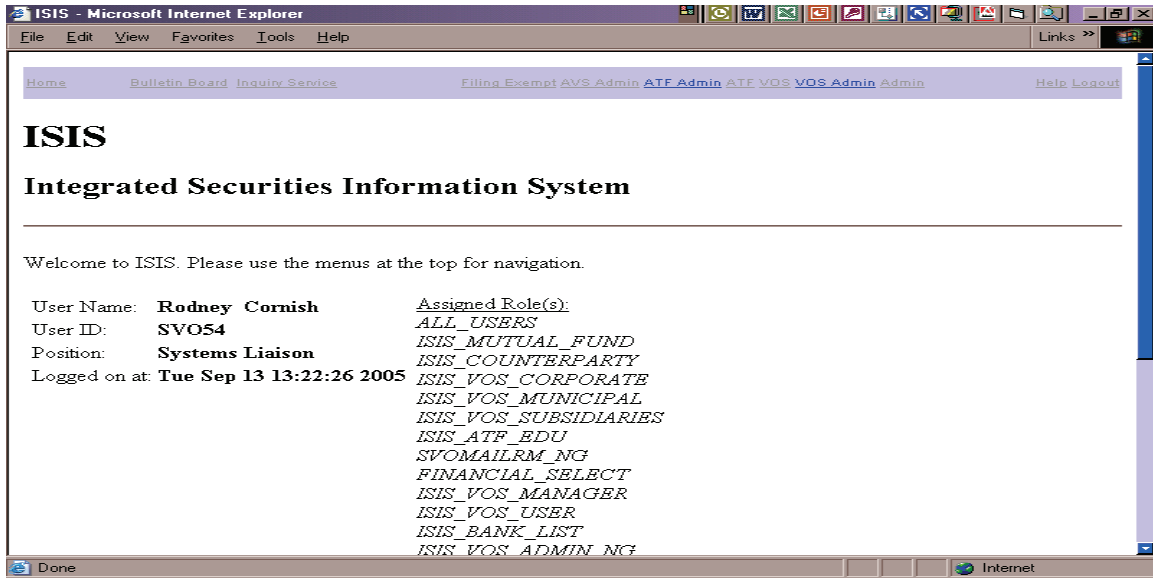
1. Is Filing Exempt or Unconfirmed FE
2. Is currently reported as a Subsidiary within Schedule D thereby screening it from the Filing Exempt process. However, the security may not have to be filed with the SVO.
3. Is considered an exempt government agency and does not need to be filed with the SVO.

***NOTE: Users do not have to log on to use the Filing Exempt application.***

**ATF** – After logging into ISIS, an ATF link will appear on the top menu bar.

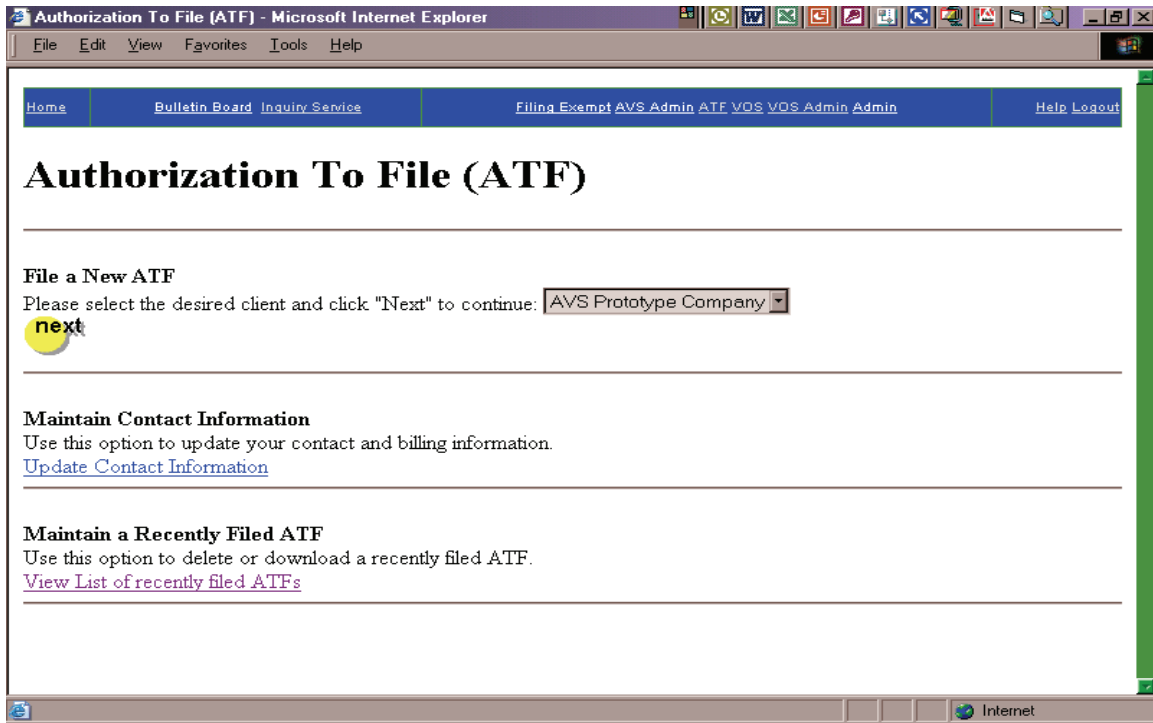
# GETTING STARTED IN ISIS INSTRUCTIONS

## MARCH 2011



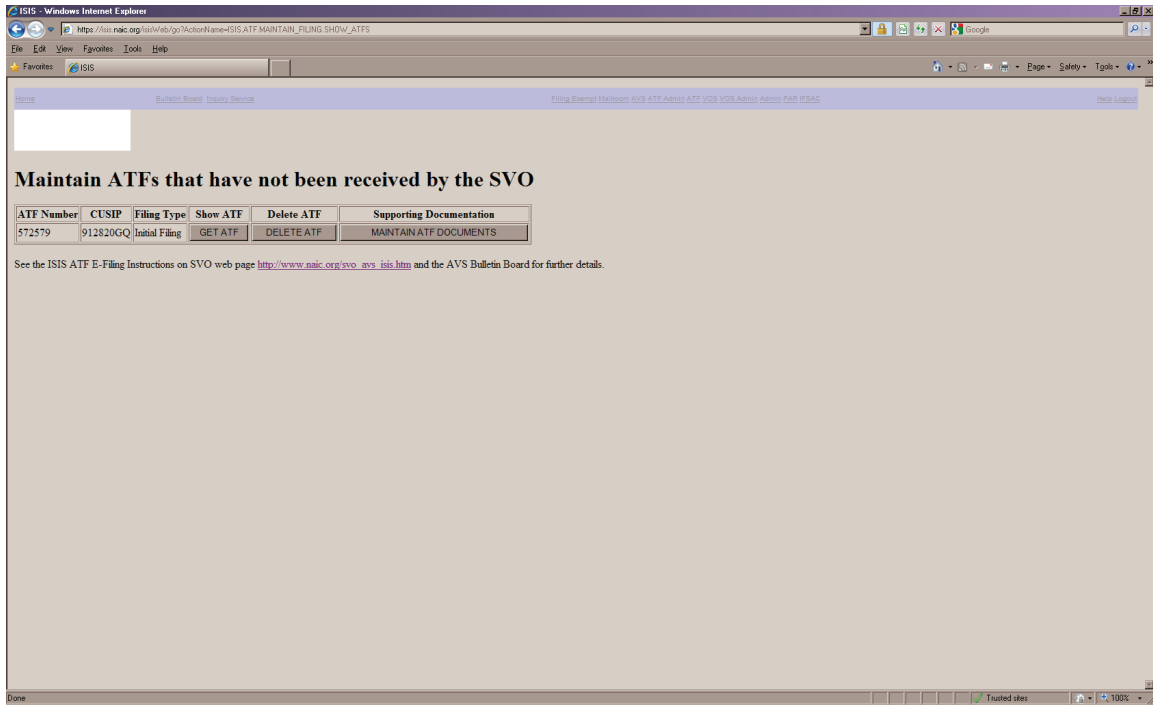
Selecting the ATF link will lead to an ATF title page where users can update their respective contact and billing information for a particular Client by pressing the **Update Contact Information** link.

***NOTE: Please refer to Update Contact Information section of ISIS Help Index prior to accessing this link.***



## GETTING STARTED IN ISIS INSTRUCTIONS MARCH 2011

The **View List of recently filed ATFs** link will display a listing of newly created ATFs not yet received (scanned) by the SVO. It is highly recommended to check Inquiry Service to determine whether the SVO received ATF prior to accessing this link.



The **Delete ATF** button will purge the selected ATF from the system. A brand new ATF can be created for the CUSIP, if desired.

The **Get ATF** button will open up the actual ATF form that can be saved to disk, if desired. This enhancement will eliminate the need to contact the Help Desk if filers need another copy of the ATF form.

The **Maintain Documents** button will enable filers to submit their ATF and supporting documentation electronically to the SVO office. For more details, refer to the **ISIS ATF E-Filing Instructions** at [http://www.naic.org/documents/svo\\_isis\\_atf\\_e-filing\\_instructions.pdf](http://www.naic.org/documents/svo_isis_atf_e-filing_instructions.pdf).

Clicking the **Next** button on the top of ATF title page will prompt the application to display the Schedule BA Assets Message page.

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**Schedule BA Assets ATF Message**

If you're filing a Schedule BA security, please read the instructions below. If you're filing a Schedule D security, click Next to continue the ATF process.

Beginning in 2005, life insurance companies will have the option to report Schedule BA assets to the SVO. You can submit a Schedule BA Assets ATF ONLY if your security is reported on Schedule BA and meets the criteria as described in Part 14 of the Purposes & Procedures Manual.

If your Schedule BA security is eligible to be filed with the SVO, click **Next** and complete the ATF screens as follows:

On Main ATF screen:

- Enter CUSIP.
- Select Schedule BA Asset.
- Press Next to proceed.

On New Security Filing Page:

- Select either **Debt-Like** or **Preferred Stock-Like**.
- Complete remaining screens, print out ATF form and submit it to SVO with the required documents.

The Schedule BA Assets Message was introduced in February 2005 informing filers that Schedule BA assets can be reported with SVO along with instructions on how to file. Clicking the **Next** button on the bottom of this screen will lead to the main ATF page.

**ATF**

For **Initial, Annual Update, Material Change/Additional Information, or Appeal Filings** of **Corporate, Municipal, Federal Government, Sovereign and Supranational or Structured Securities ONLY**, please enter the CUSIP/PPN/CINS number on which you wish to file and click "Next" button to continue. [SVO Forms](#) (See Filing Instructions and Forms section)

CUSIP/PPN/CINS number:  **next**

- Renumber Request
- Pricing Request
- Schedule BA Asset

For **Other Departments or Services**, please select one from the list below.

**Department/Service**

## GETTING STARTED IN ISIS INSTRUCTIONS MARCH 2011

Once a valid CUSIP/PPN/CINS number is selected and the top Next button pressed, the application will determine Filing Exempt status, VOS status and for other outstanding filings and will lead to the appropriate Filing Type screens.

The top half of this page is only applicable when creating filings for the following Departments:

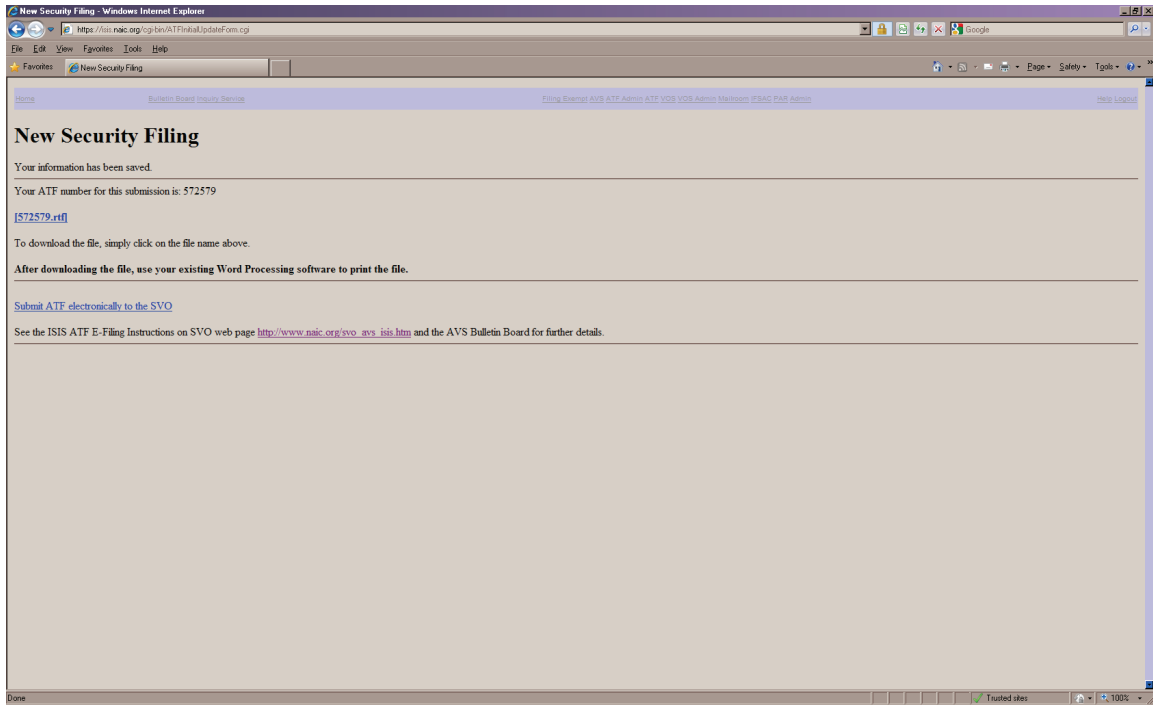
1. Corporate
2. Municipal
3. Federal Government
4. Structured Securities
5. Sovereign and Supranational

To create a filing for other Departments, use the menu on the bottom half of the page.

**SVO Forms** – Applications or forms will be required for specific filings. The SVO forms link on the right hand side of this page will lead to the SVO web page ([www.naic.org/svo\\_filing\\_applications\\_and\\_forms.htm](http://www.naic.org/svo_filing_applications_and_forms.htm)). The various forms will be located under the Filing Instructions and Forms section.

Once a filing is created for a security, the following page will then appear where the application will assign an ATF number to the newly created filing.

The top of the screen displays the Filing Type used for the ATF.



The page also contains specific instructions on how to download the newly created ATF as well as a link to electronically file the ATF, if desired.