

A photograph showing a person in a dark suit jacket sitting at a desk, typing on a laptop. The person's hands and part of their torso are visible. The background is slightly blurred, showing what appears to be an office setting.

How to File Securities with the SVO an online course

June 4-11

If you are new to filing securities with the Securities Valuation Office (SVO) or if you have some experience filing but would like a refresher, this course is for you! Filing delays can create inefficiency and frustration for filers. The NAIC has designed a one-week online course that helps take the guesswork out of your security filings and helps eliminate delays in filings that can result from inexperience with using the filing system and with using the available resources. By providing helpful hints and explaining the roles of each party, such delays can be minimized and efficiency increased.

When you have completed the course, you will be able to explain why you need to file securities, what is to be filed, what is not to be filed, when you should file, and, most importantly, the necessary information to include with your submissions.

Topics include:

- The Authorization to File (ATF) process
- Types and Filing Requirements for
 - Corporate Securities
 - Subsidiary, Controlled and Affiliated (SCA) Companies
 - Municipal Securities
 - US Government Securities
 - BA Assets
 - Structured Securities
- Handling Other Filings
 - Appeals
 - Pricing
 - Regulatory Treatment Analysis Service and Emerging Vehicle Service
 - Bank, Mutual Fund and Broker Dealer Lists
- Filing Exempt Securities
 - General
 - US Government

What others have said:

- *This will be my first time filing with the SVO, and this course will help greatly. I'm sure I will be referring to the course material and P&P Manual often.*
- *This course gave me the resources and the confidence to file with the SVO. It gives me great comfort to know we will be compliant in all aspects of filing securities.*



National Association of Insurance Commissioners

How to File Securities with the SVO an online course

June 4-11

Tuition

- ~~\$295~~ *waived* for State Insurance Department Staff
- \$595 for All Others

Provides comprehensive course materials, access to subject matter experts who serve as course facilitators, and the opportunity to network with others from across the country.

Certificate of Completion and Continuing Education

To receive a Certificate of Completion and the documentation that you can use when requesting continuing education credit from other organizations such as SOFE or IRES, you must successfully complete this course. The requirements for successful completion are outlined in the course syllabus sent prior to the course and posted within the class.

Within two weeks after the course has ended, the administrator will review all coursework based on the guidelines listed on the syllabus. Determination of successful completion will be sent via e-mail to those who earn this notification. Fourteen (14) credits will be listed on continuing education materials for this one-week course. Partial credit is not awarded.

Our Recommendations for Your Online Study

- Determine whether online learning is something you will benefit from by taking the short "Is Online Learning for Me" quiz at www.naiconline.org and check your technical requirements prior to enrolling.
- Plan your study time in advance.
 - Online courses offer great flexibility but also require self-motivation, commitment, good time management skills, and space in which to study. You need to be able to fit your study time into your own work schedule.
- Review your course materials and the *Handbook for Distance Learners* that will arrive the week prior to the course.
- Set learning goals for yourself based on what you hope to accomplish by taking this class.
- Familiarize yourself with information in the course syllabus.
- Spend a minimum of two hours a day on your study.

Cancellation Policy

Withdrawals for full refund are permitted up to three weeks before the beginning date of the course; cancellations after this date will result in no refund. Notification of cancellation must be received in writing. If issued, refunds will be mailed after the completion of the course. Substitutions are accepted up to one week before the course begins.

REGISTER online at education.naic.org or complete and return the registration form below by **September 20**. Space is limited so you are encouraged to register early. You will be contacted via e-mail with confirmation of your registration, your password, and login information.

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June 4-11

FAX TO:
(816) 460-7544

MAIL TO:
NAIC Education & Training
Post Office Box 870335
Kansas City, MO 64187-0335

REGISTER ONLINE AT:
<http://education.naic.org>

Name: _____

Title: _____

State/Organization: _____

Address (No PO Boxes): _____

City: _____ State: _____ Zip: _____

Phone: _____ E-mail: _____

Tuition

- ~~\$295~~ State Insurance Department Staff *Tuition is waived for this course.*
- \$595 All Others

Please note that if shipping materials outside of the continental United States, additional fees will apply.

Payment Method

- Check or Money Order payable to the NAIC (Payment must accompany registration form)
- Credit Card (We will contact you by phone to obtain payment information)