

A background image showing a person in a dark suit sitting at a desk, typing on a laptop. The person's hands and part of their torso are visible. The image is partially obscured by a dark green curved banner at the bottom.

How to File Securities with the SVO an online course

June 22-29, 2009 • September 28-October 5, 2009

If you are responsible for filing securities with the NAIC Securities Valuation Office, this is one course you won't want to miss! 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
 - o Corporate Securities
 - o Subsidiary, Controlled and Affiliated (SCA) Companies
 - o Municipal Securities
 - o US Government Securities
 - o BA Assets
 - o Structured Securities
- Handling other filings
 - o Appeals
 - o Pricing
 - o Advanced Rating and Emerging Vehicle Service
 - o Bank, Mutual Fund and Broker Dealer Lists
- Filing Exempt Securities
 - o General
 - o US Government

What others have said:

- *This course is a must for beginners and intermediate learners.*
- *I felt that this was a good overview of how to file securities and the purpose behind it. I now have a good idea about which securities need to be filed and those that are exempt, and I also understand the rating designations and reserve requirements.*
- *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.*

Tuition

- \$295 for State/U.S. government employees
- \$595 for all others

Tuition includes comprehensive course materials, password access to the course, assistance from course facilitators, a 24/7 Help Desk for technical problems, continuing education materials (upon request and successful completion), and the opportunity to learn and connect with others from across the country.

About Learning Online

Plan to spend at least two hours a day on this course. Online courses offer great flexibility but also require self-motivation, commitment, good time management skills, and space in which to study. So be sure to plan accordingly. At www.naiconline.org, you'll find a short quiz to help you decide if learning online is the right fit for you. At this website, you'll also be able to check the technical requirements for your PC or laptop. *Note: RealPlayer, a free download, is required to listen to the lectures in our courses.* The week preceding the course, you will receive materials, including the Handbook for Distance Learners, sent to the mailing address you supply on the registration form.

Continuing Education

Continuing education materials are sent upon request and based on successful completion of the course (refer to course syllabus for completion requirements). Six (6) hours will be listed on continuing education materials for this one-week online course.

Cancellations

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 www.naic.org/education_home.htm or complete and return the registration form below by **June 1** for the first session or **September 7** for the second session. 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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FAX TO:
(816) 460-7544

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

FED-EX/AIR MAIL ADDRESS:
UMB Bank
Attn: Wholesale Lockbox, 6th Floor
Box 870335
928 Grand
Kansas City, MO 64106

www.naic.org/education_home.htm

Name: _____

Title: _____

State/Organization: _____

Address (No PO Boxes): _____

City: _____ State: _____ Zip: _____

Phone: _____ E-mail: _____

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Payment Method

- Check or Money Order payable to the NAIC (Payment must accompany registration form)
- Zone Funds (State Ins. Dept. Staff only)
- Grant Funds (State Ins. Dept. Staff only)
- Scholarship (State Ins. Dept. Staff only)
- Credit Card (We will contact you by phone to obtain payment information)