

ISIS ATF Electronic Filing Instructions
May 16, 2014

Effective 2/25/2011, the ISIS/ATF system will have an electronic filing option enabling insurance company filers to submit newly created ATF forms and supporting documentation to the appropriate SVO credit analyst via electronic format.

NOTE: The current electronic option utilizing e-mail to deliver specific ATF filings to the SVO will remain viable until further notice.

The electronic filing option will be available for practically any type of ATF filing with the following Department/Service and Filing Type combinations:

Department/Service

Corporate
Municipal
Structured
Government
Sovereign and Supranational
Subsidiary, Controlled or Affiliated (SCA)
Schedule BA
Bank Letter of Credit
Mutual Fund
Schedule BA
Counterparty
Surplus Note
Information Request Response

Filing Type

Initial Filing
Annual Update
Appeal
Material Change/Additional Information
Pricing Request
Renumber Request

NOTE: Mutual Fund holders are encouraged to check out the Renewal ATF Batch Procedure, effective as of February 2013.

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

File Type Criteria

All companies wishing to utilize the ISIS electronic option must follow the following criteria:

- 1) The maximum individual file size limit will be 25 MB (effective 5/16/2014).
- 2) The following file types will be accepted:¹

¹ Additional file type can be requested for future releases.

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- Portable Document Format (pdf)
- Word Documents (.doc and .docx)
- Excel Spreadsheets (.xls and .xlsx)
- Web Format (.htm and .html)
- Text Format(.txt)
- Rich Text Format (.rtf)

3) Zip files will not be eligible for submission.

The traditional option of submitting the hard copy ATF form and supporting documentation to the SVO office via mail courier will continue to be available for companies not interested in the electronic filing option or if their particular submission does not meet the specific file type criteria.

The ISIS Help Index along with specific ATF screens within the ISIS system will contain references on how to retrieve the latest version of ISIS ATF E-Filing Instructions.

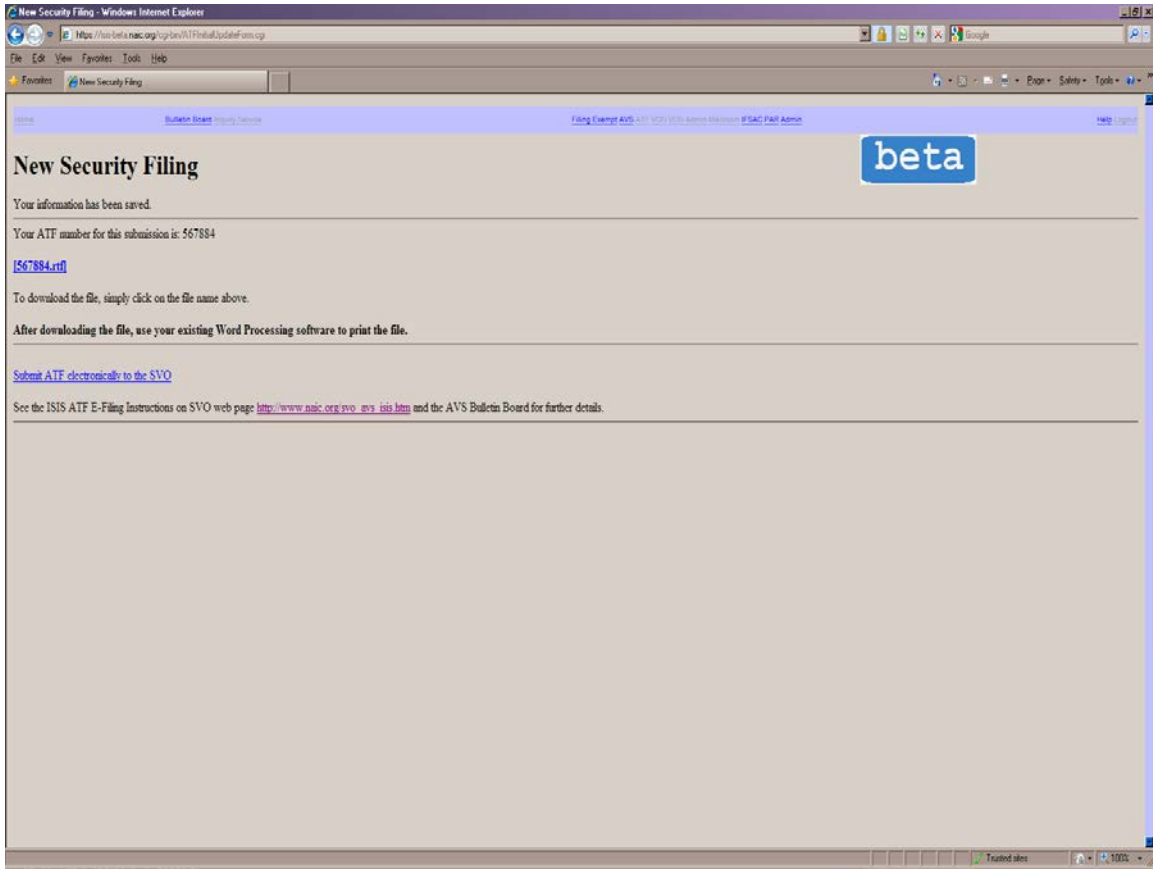
How ISIS ATF E-Filing Will Work

The ISIS ATF filing workflow will remain intact thus company filers will access and navigate the same ATF screens for their desired filings.

Once a brand new ATF has been created, the filer will now see a new link '[Submit ATF electronically to the SVO](#)' along with a reference to the latest E-Filing Instructions posted on the SVO web page.

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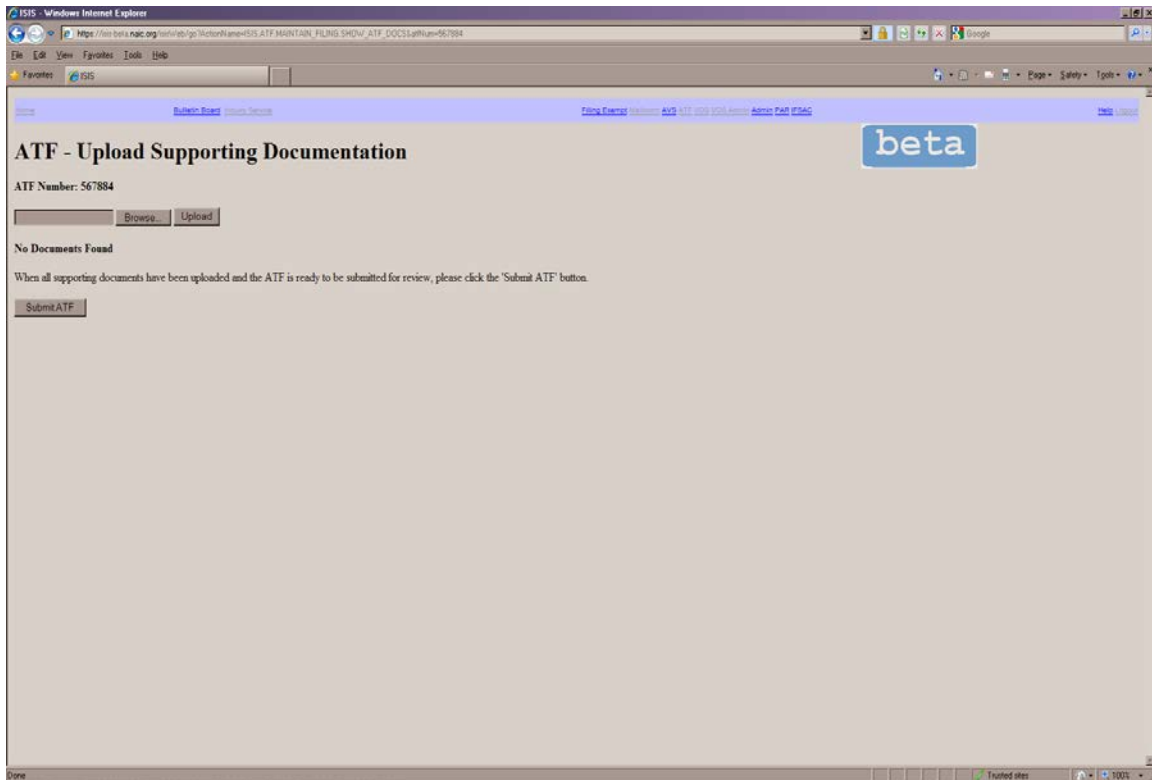
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Clicking the new link will lead to new page titled **ATF – Upload Supporting Documentation**.

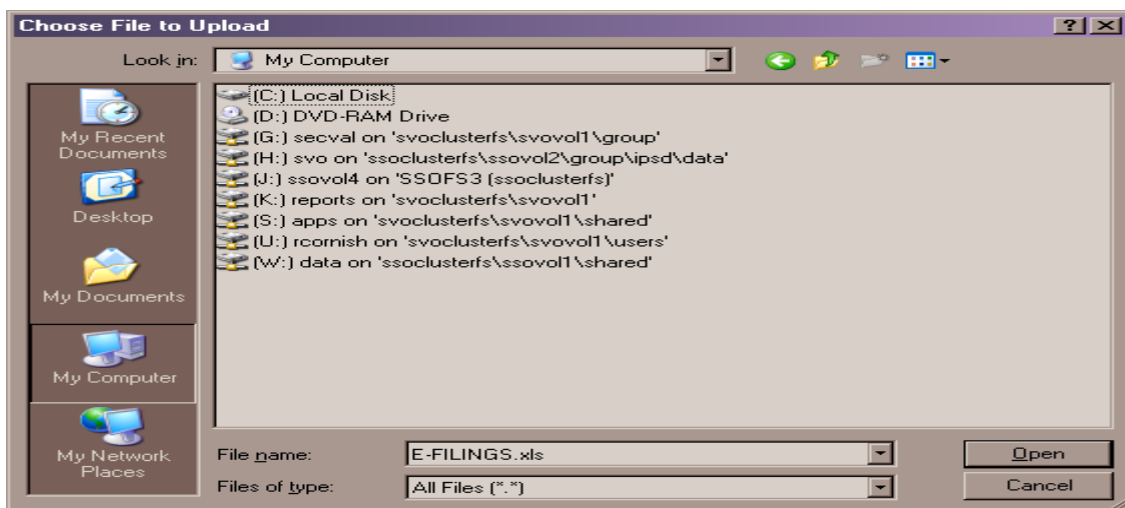
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Filers do not have to attach newly created ATF forms on this particular page for they are already saved in our database and will be included with any uploaded supporting documentation to the appropriate SVO credit analyst.

Filers can attach supporting documentation by clicking the **Browse..** button.

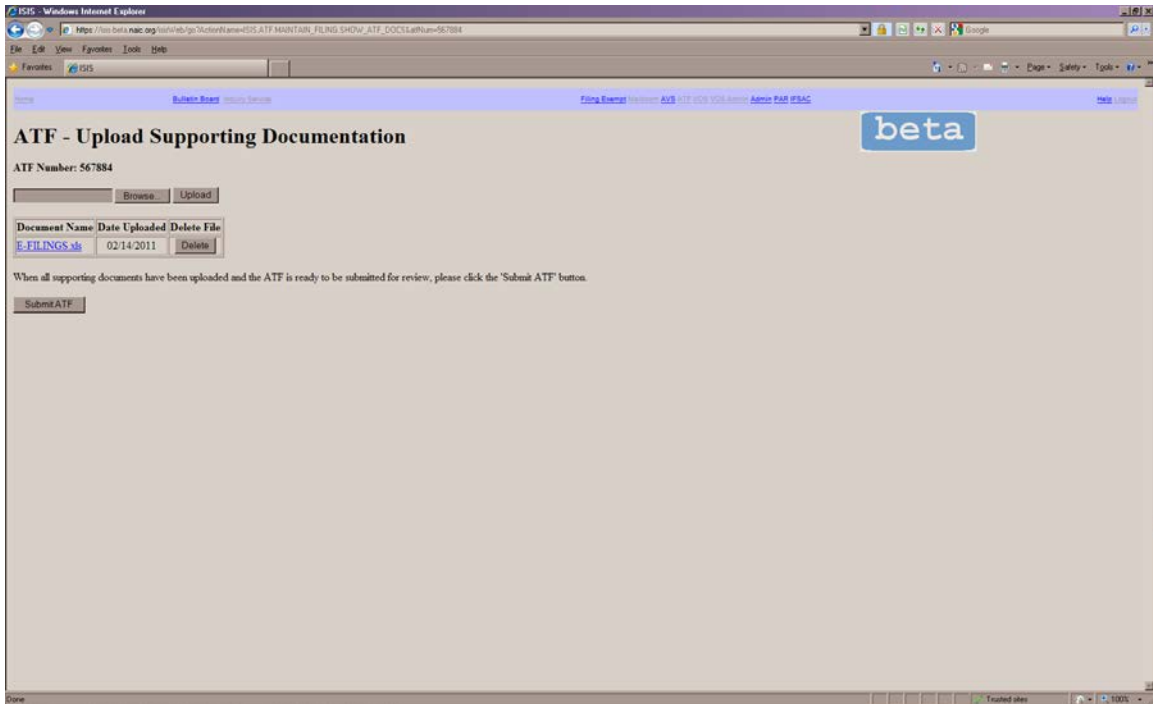


Once the desired file has been identified, click the Open button where the file will appear in the prompt to the left of Browse button.

The **Upload** button will save the file onto our server.

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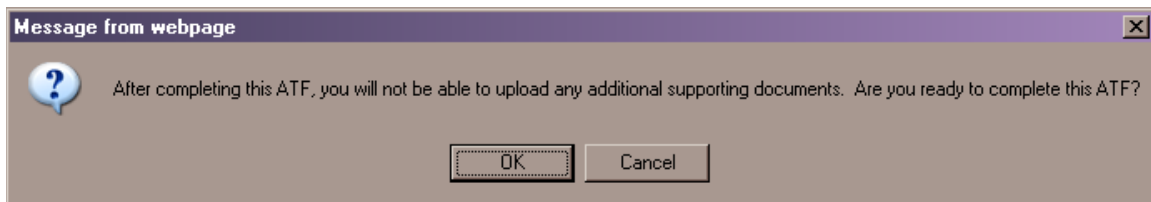
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ATF Uploading Guidelines

- Only one file can be uploaded on this page at a time and there is a maximum limit of 10 documents per ATF.
- All inputted files will be scanned for file type format and viruses thus the upload process will take longer than expected.
- A listing of uploaded documents will emerge during the filing session.
- The adjacent Delete button will remove any uploaded files.
- Utilize ideal naming conventions for uploaded filers where SVO analysts will easily recognize the documentation. Example – Use the name ABCInc2010AnnualStatement.pdf for ABC Inc 2010 Annual Statement file.
- The system will display various error messages if uploaded files do not meet aforementioned filing criteria.

The filer will click the '[Submit ATF](#)' button in order to electronically submit their ATF and uploaded supporting documentation to the SVO.



The Cancel button will lead back to the ATF – Uploading Supporting Documentation page.

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If OK is pressed, the system will complete the filing by ‘scanning’ it into the system as a received ATF. The appropriate SVO analyst (based on SIC Code or Security Type for non-Corporate filings) will then be immediately notified via e-mail of this new filing where he/she will can access and/or download the electronically submitted ATF form and supporting documentation within the VOS portion of the ISIS system.



The Submit ATF button is a point of no return since company filers cannot undo the submission in any fashion. In other words, the filers can neither delete the ATF nor add/delete supporting documents to the ATF.

If an insufficient amount of files were uploaded, filers are encouraged to work with the SVO analyst for a viable solution.

View List of Recently Filed ATFs

If for whatever reason company filers do not utilize the '[Submit ATF electronically to the SVO](#)' link immediately after creating a brand new ATF filing, the **ATF- Upload Supporting Documentation** page will also be accessible from the View List of Recently Filed ATFs link within the ATF system as long as the ATF has not yet been scanned as a received filing.

NOTE: New ATFs created through this new electronic process will still expire after 30 days if they not are scanned or received by the SVO by that time.

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The ‘**Maintain ATF Documents**’ button will lead to the ATF – Upload Supporting Documentation page where additional files can individually be appended to the respective ATF.

Once the ATF has been completed by the filer, (i.e. Submit ATF button is pressed), the filing will no longer be accessible through the View List of Recently Filed ATFs link.

Shelf Life of Uploaded Documentation

All supporting documentation affiliated with a given ATF filing will remain on a secured stand-alone server until the end of the month after it has been processed by the assigned SVO Credit Analyst.

Date E-Filing ATF Submitted	Date E-Filing ATF Processed by SVO Analyst	Date Supporting Documentation Removed From Server
3/6/2012	3/21/2012	3/30/2012
4/24/2012	5/22/2012	5/31/2012
5/24/2012	Outstanding	Outstanding

The first example shows the E-Filing ATF being submitted and received by the SVO on 3/6/2012. The SVO Analyst completed it on 3/21/2012 thus the supporting documents for the ATF will remain on the server until one of our maintenance procedures is run on the final business day of every month (3/30/2012) purges them.

This procedure ensures highly sensitive files do not linger any longer than necessary on our dedicated server and also prevents excessive volume that may otherwise hinder the overall performance of the E-Filing ATF system.

SVO Analysts may retain electronic supporting documentation within a document management application within the ISIS system specifically created for this very purpose.