

How to attach documents for your OIC Life Settlement Provider Annual Statement

Here is a sample of the Documents screen (Page 2):

The screenshot shows a web interface for filing documents. At the top right, it says "Annual Report Due Date 03/01/2014". There are three numbered tabs: "1 Annual Filing", "2 Documents" (which is active), and "3 Final Submission". Below the tabs are "Previous" and "Next" buttons. The "Washington Filings" section contains a message: "There are no WA filing documents required". Below this is the "Supporting Documents from Answers on Annual Report Due at Time of Filing" section, which contains a table with three columns: "Documents to be filed", "Attachments", and "Last Uploaded Date".

Documents to be filed	Attachments	Last Uploaded Date
General Interrogatories(8) - Attach the updated antifraud plan. *	0 Uploaded Files	
General Interrogatories(11) - Complete and attach a copy of the [Washington Life Insurance Policies Purchased] form. *	0 Uploaded Files	
General Interrogatories(12) - Complete and attach a copy of the [Washington Life Insurance Proceeds Received] form. *	0 Uploaded Files	

When there are documents that every Registrant must file, we show those in the upper area titled "Washington Filings". The *Due* column shows when the document must be filed. In this example, there aren't any such filings.

This is a close-up of the "Washington Filings" section. The title "Washington Filings" is circled in red. Below it is a message: "There are no WA filing documents required".

If there are other documents that you must file, those appear in the lower area under "Supporting Documents". You must file these documents at the same time as the Annual Statement.

This is a close-up of the "Supporting Documents from Answers on Annual Report Due at Time of Filing" section. The title is circled in red. Below it is a table with three columns: "Documents to be filed", "Attachments", and "Last Uploaded Date".

Documents to be filed	Attachments	Last Uploaded Date
General Interrogatories(8) - Attach the updated antifraud plan. *	0 Uploaded Files	
General Interrogatories(11) - Complete and attach a copy of the [Washington Life Insurance Policies Purchased] form. *	0 Uploaded Files	
General Interrogatories(12) - Complete and attach a copy of the [Washington Life Insurance Proceeds Received] form. *	0 Uploaded Files	

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To upload a document, click the link for that Document in the *Attachments* column.

Supporting Documents from Answers on Annual Report Due at Time of Filing

Documents to be filed	Attachments
General Interrogatories(8) - Attach the updated antifraud plan. *	0 Uploaded Files
General Interrogatories(11) - Complete and attach a copy of the [Washington Life Insurance Policies Purchased] form. *	0 Uploaded Files
General Interrogatories(12) - Complete and attach a copy of the [Washington Life Insurance Proceeds Received] form. *	0 Uploaded Files

The screen changes to the Upload screen. Notice that the name of the document that you selected appears on the Upload screen. That's your reminder of which document you are going to upload.

Antifraud Plan
Attach the updated antifraud plan.

No documents have been filed yet.

Upload PDF File

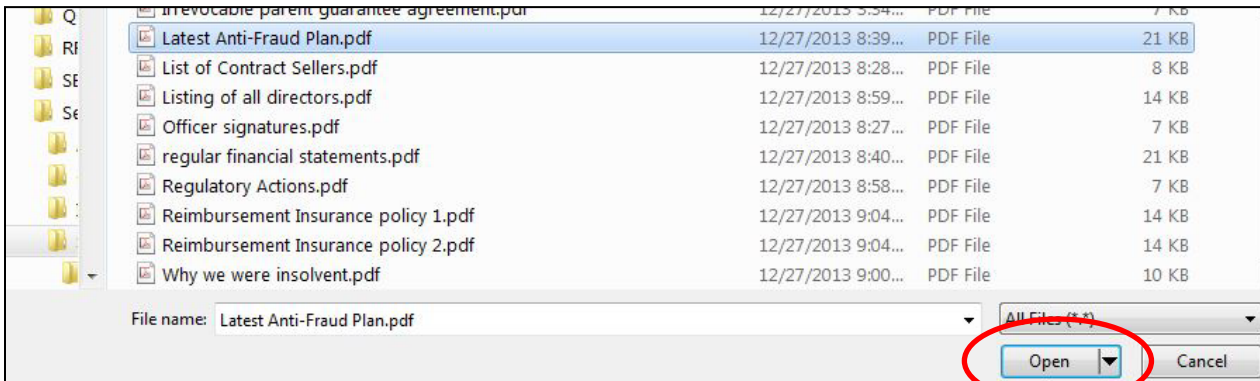
If you're on the correct document, click the *Browse* button.
If you need to cancel, click the *Return to Filing* button.

Upload PDF File

After you click *Browse*, a window will pop up and allow you to choose which file you want to upload. The file must exist somewhere that you have access to on your system. If you need help finding the document, please contact your company's computer support personnel.

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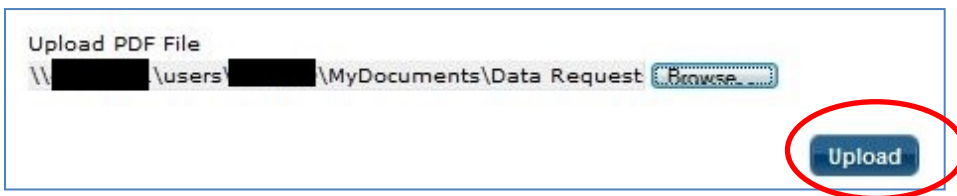
After you find the correct file, click on the *Open* button. That tells our system where to find the file.



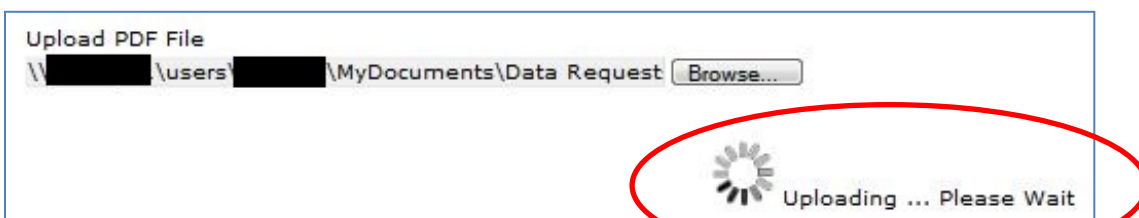
It's important to ensure that you select the correct document. Once you upload it, it becomes part of the OIC records.

If you're not sure that you have the correct file, click the *Cancel* button and then either *Browse* again or click the *Return to Filing* button to cancel without uploading.

When you're sure you have the correct file. Click the *Upload* button.



The system will indicate that it's uploading your file. If you get an error message, please consult with your company's computer security or support personnel to help you ensure that you have the rights to access and upload your file.



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After uploading the document, the area that previously said, “No documents have been filed yet”, now shows the upload date.

Uploaded Date	Description of Amendment
12/31/2014	

If there is more than one document of this same type to upload (in this example another Anti-Fraud Plan), click *Browse* again and upload more documents of the same type.

If you have no more of that type of document to upload, click the *Return to Filing* button. Then you can upload a different document (for instance, upload the *Conflict of Interest* form)

Antifraud Plan
Attach the updated antifraud plan.

Uploaded Date	Description of Amendment
12/31/2014	

Upload PDF File

Click *Browse* to start the process to upload more of this same type of document

Or, click *Return to Filing* button if done

The Documents page now shows an uploaded file and the date of the upload. Each time you upload another file, the link will update to show the total count.

Documents to be filed	Attachments	Last Uploaded Date
General Interrogatories(8) - Attach the updated antifraud plan. *	1 Uploaded Files	12/31/2014
General Interrogatories(11) - Complete and attach a copy of the [Washington Life Insurance Policies Purchased] form. *	0 Uploaded Files	

Continue with this process until you have uploaded all required documents, in the proper categories.

! It's important that you upload only the document that the system indicates.
■ This means: **DON'T** upload different documents into the same category.

Next up: **Final Submission (Page 3)**. We provide those instructions in a separate document.