

Instructions for Form I.S.S.

- 1. Persons required to file statements** — Pursuant to ORS 732.430, statements on this form are required to be filed by every person who, at any time during any calendar month, was directly or indirectly the beneficial owner of more than 10 percent of any class of equity security of an Oregon stock insurance company or who is a director or an officer of such a company, and who, during such month, had any change in his/her beneficial ownership of any class of equity security of such company, except for securities exempted by ORS 732.425.
- 2. When statements are to be filed** — Persons who hold any of the relationships specified in Instruction 1 are required to file a statement within 10 days after assuming such relationship. Statements are not deemed to have been filed with the director until they have actually been received by in the DCBS Director's Office.
- 3. Where statements are to be filed** — One signed copy of each statement shall be filed with the director of the Oregon Department of Consumer and Business Services, Insurance Division, at the address on the first page of this form.
- 4. Separate statement for each company** — A separate statement shall be filed for the securities of each company.
- 5. Relationship of reporting person to company** — Indicate clearly the relationship of the reporting person to the company; for example, "director," "director and vice president," "beneficial owner of more than 10 percent of the company's common stock," etc.
- 6. Date as of which beneficial ownership is to be given** — The information as to beneficial ownership of securities shall be given as of January 1, 1996, or, in the case of persons who subsequently assume relationships specified in Instruction 1, as of the date that relationship was assumed.
- 7. Title of security** — The statement of the title of a security shall clearly identify the security even though there may be only one class; for example, "Class A Common Stock."
- 8. Nature of ownership** — State whether ownership of the securities is direct or indirect. If the ownership is indirect (i.e., through a partnership, corporation, trust, or other entity), indicate in a footnote or other appropriate manner the name or identity of the medium through which the securities are indirectly owned. The fact that securities are held in the name of a broker or other nominee does not, of itself, constitute indirect ownership as opposed to direct ownership. Report securities owned indirectly on lines separate from those owned directly, and separate from those owned through a different type of indirect ownership.
- 9. Statement of amount owned** — In stating the amount of securities beneficially owned, give the number of shares. In the case of securities owned indirectly, state the entire amount of securities owned by the partnership, corporation, trust, or other entity. The person whose ownership is reported may, if he or she so desires, also indicate in a footnote or other appropriate manner, the extent of his or her interest in the transaction or holdings of the partnership, corporation, trust, or other entity.
- 10. Inclusion of additional information** — A statement may include any additional information or explanation deemed relevant by the person filing the statement.
- 11. Signature** — If the statement is filed for a corporation, partnership, trust, etc., the name of the organization shall appear over the signature of the officer or other person authorized to sign the statement. If the statement is filed for an individual, it shall be signed by him or her, or signed specifically on his or her behalf by an authorized person.