

November 27, 2017

For Securities with 2016 Review Date

On December 4, 2017, the SVO will execute year-end processes for securities not reviewed in the current year in the VOS Database. Consequently, the following changes will be made to these securities.

- All Bonds that were not reviewed for the current year (i.e., had a 2016 Review Date) will be assigned an administrative symbol NR.
- All Common and Preferred Stocks that were not reviewed for the current year (i.e., had a 2016 Review Date) will be assigned UP in the Price Field and prior year designations will be removed where appropriate.

Please note that these include Bonds assigned a designation of NAIC1 through NAIC5/5*, Preferred Stocks (P1-P5/5*, RP1-RP5/5*) and Common Stocks.

These securities will have a December 4, 2017 Review Date with either an NR or UP administrative symbol.

Lists of the securities that were converted can be accessed at the following address on December 6, 2017:

http://www.naic.org/svo_important_updates.htm

You can check the Securities Dashboard in VISION to see if a 2017 Annual Update ATF has already been submitted to the SVO for any of these securities. If an Annual Update ATF has been submitted, you do not need to submit another one. If an Annual Update ATF has not been submitted, you (or another holder of the security) must submit a complete Annual Update ATF by March 30, 2018 or the security will be deleted in the NR/UP Delete process currently scheduled for March 30, 2018.

These annual updates will be reviewed by the analyst in the normal course of year-end business at which time the security will be assigned a valid designation and/or price for 2017.