

Viatical Provider Annual Report

Year Ending _____

IDOI Use
Date Received: _____
Due March 1

Provider Name: _____

Address: _____

City/State/Zip: _____

Contact Name: _____

Contact Email: _____ Telephone: _____

***See directions below regarding Confidentiality Requirements**

Pricing Memo Confidential	Yes	No
All items Confidential	Yes	No
Trade Secret Invoked	Yes	No

Required Items

(Please number or tab each item accordingly)

Page #

	1. Spreadsheet for each viatical settlement contract executed or acquired during the reporting period in Indiana (See page 2 for required items)
	2. Spreadsheet for each viatical settlement contract where death has occurred during the reporting period. In Indiana (See page 2 for required items)
	3. Spreadsheet for each viatical settlement contract executed or acquired during the reporting period for all States in the aggregate. (See page 2 for required items)
	4. Spreadsheet for each viatical settlement contract where death has occurred during the reporting period for all States in the aggregate. (See page 2 for required items)
	5. Name and address of each viatical settlement agent and broker through whom the reporting company purchased a policy from a viator who resided in Indiana at the time of the contract.
	6. A copy of the pricing memorandum (*See notation below regarding confidentiality requirements)
	7. Number of policies reviewed and rejected for all States.
	8. Number of policies purchased in the secondary market as a percentage of total policies purchased for all States

***Confidentiality Requirements** – 760 IAC 1-61-8 (1)(L) At the time of submission of the pricing memorandum or any subsequent supporting documentation, the viatical settlement provider may request the commissioner to withhold that material from public inspection in order to preserve trade secrets in accordance with IC 5-24-3-4. Each page covered by such request shall be clearly marked “confidentiality requested”, and all pages so marked shall be placed in a separate envelope. Items not marked confidential and placed in a confidential envelope, will be considered public record.

Required items for Spreadsheets Items 1 -4 listed above

1. The following for each viatical settlement contract executed or acquired during the reporting period (if amount is 0 so indicate):
(A) Date of viatical settlement contract.
(B) Life expectancy of the insured at the time of the contract, in months.
(C) Face amount of the policy viaticated.
(D) Net death benefit viaticated.
(E) Estimated total premiums to keep the policy in force for life expectancy.
(F) Net amount paid to viator.
(G) Source of policy: A – Agent: B – Broker: D – Direct Purchase: SM – Secondary Market
(H) Type of coverage: I – Individual: G- Group
(I) Within the contestable or suicide period, or both, at the time of the viatical settlement (YES or NO)
(J) Primary International Classification of Diseases (ICD) diagnosis code, in numeric format, as defined by the international classification of diseases, as most recently published by the USDHHS.
(K) Type of funding: I – Institutional: P - Private
(L) A copy of the pricing memorandum. *
2. The following for each viatical settlement contract where death has occurred during the reporting period (if amount is 0, so indicate):
(A) Date of viatical settlement contract.
(B) Life expectancy of the insured at the time of the contract, in months.
(C) Net death benefit collected.
(D) Total premiums paid to maintain the policy: WP – Waiver of Premium: N/A – Not Applicable
(E) Net amount paid to viator.
(F) Primary International Classification of Diseases (ICD) diagnosis code, in numeric format, as defined by the international classification of diseases, as most recently published by the USDHHS.
(G) Date of death.
(H) Amount of time between the date of contract and the date of death, in months.
(I) Difference between the numbers of months that passed between the date of the contract and the date of death and the life expectancy, in months, as determined by the reporting company
(J) Date policy was issued to viator.