

ALASKA DIVISION OF INSURANCE  
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**VIATICAL SETTLEMENT PROVIDER ANNUAL FILING FORM**

Alaska Administrative Code (AAC) 3 AAC 31.360 requires that a person who acts as, or represents to be, a Viatical Settlement Provider (VSP) in this state or relative to a subject resident, located, or to be performed in this state files on or before March 1 of each calendar year, a report of all viatical settlement transactions for the previous calendar year. A listing may be attached.

<b>1</b>	<b>VIATICAL SETTLEMENT PROVIDER</b>					
<b>2</b>	Business Physical Address _____			City _____	State _____	Zip or Foreign Country _____
	Mailing Address _____		P.O. Box _____	City _____	State _____	Zip or Foreign Country _____
<b>3</b>	Business Phone # _____ Fax # _____			E-mail Address _____		

**FOR EACH VIATICAL SETTLEMENT TRANSACTION DURING THE YEAR**

(1) Insured's Name	(2) State	(3) Eff Date	(4) Life Expectancy	(5) Face Amount	(6) Net Death Benefit	(7)(a) Est Total Premiums	(8) Proceeds Paid to the Viator	(9) Source	(10) Description of Policy)	(11) Contestable or Suicide period (Y/N)	(12) Diagnosis	(13) Funding Source

**FOR EACH VIATICAL SETTLEMENT CONTRACT IN WHICH DEATH OCCURRED DURING THE YEAR**

(1) Insured's Name	(2) State	(3) Eff Date	(4) Life Expectancy	(5) Face Amount	(6) Net Death Benefit	(7)(b) Actual Total premiums	(8) Proceeds Paid to the Viator	(9) Source*	(12) Diagnosis	(13) Funding Source	(14) Date of death	(15) Actual - Expected

\*Provide name and address of each viatical settlement broker through whom a life policy was purchased from a viator who resided in Alaska on the effective date of the contract.

Name	Address	Name of Insured

Number of life insurance policies considered for a viatical settlement contract and rejected: \_\_\_\_\_

Number of life insurance policies purchased in the secondary market as a percentage of total life insurance policies purchased: \_\_\_\_\_

\_\_\_\_\_  
Signature of Compliance Officer

\_\_\_\_\_  
Printed/Typed Name of Compliance Officer

- (1) Name of insured covered under the viaticated life insurance policy
- (2) State of residence of the insured on the effective date of the viatical settlement contract
- (3) Effective date of the viatical settlement contract
- (4) Insured's mean life expectancy in months on effective date of contract (used to determine the proceeds paid to the viator)
- (5) Total face amount of the life insurance policy viaticated
- (6) Amount of net death benefit viaticated
- (7) (a) Estimated total premiums to keep life insurance policy in force for the life expectancy period; or  
(b) Actual premiums paid on the life insurance policy
- (8) Proceeds paid to the viator
- (9) Source of the viaticated life insurance policy (viatical settlement broker, direct from viator, other)
- (10) Description of policy indicating whether the life insurance policy is an individual or group policy and the type of life insurance (term, whole, universal or variable)
- (11) Indicate whether the life insurance policy was in the contestable or suicide period on the effective date of the contract
- (12) Classification of the diagnosis of the insured as follows:  
infectious and parasitic diseases except (i) AIDS/HIV; (ii) AIDS/HIV; (iii) neoplasms; (iv) endocrine disorders, nutritional and metabolic diseases, and immunity disorders other than AIDS/HIV; (v) diseases of the blood and blood-forming organs; (vi) mental disorders; (vii) diseases of the nervous system and sense organs; (viii) diseases of the circulatory system; (ix) diseases of the respiratory system; (x) diseases of the digestive system; (xi) diseases of the genitourinary system; (xii) complications of pregnancy, childbirth, and the puerperium; (xiii) diseases of the skin and subcutaneous tissue; (xiv) diseases of the musculoskeletal system and connective tissue; (xv) congenital anomalies; (xvi) certain conditions originating in the perinatal period; (xvii) symptoms, signs, and ill-defined conditions; or (xviii) injury and poisoning;
- (13) Funding source for the contract such as an institutional investor or a private investor
- (14) Date of death of the insured covered under the viaticated life insurance policy
- (15) The difference between 1) the number of months between the effective date of the viatical settlement contract and the date of the insured's death; and 2) the mean life expectancy of the insured in months on the effective date of the contract