

STATE OF OREGON

Director of Department of Consumer and Business Services

**FORM 4**  
INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Filed Pursuant to:

\_\_\_\_\_  
[Name of insurance company]

\_\_\_\_\_  
[Name of person whose ownership is reported]

\_\_\_\_\_  
[Business address of such person; street, city, zone, state]

Relationship of such person to company named above.

(See instruction 5) \_\_\_\_\_

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Statement for Calendar Month of \_\_\_\_\_, 20\_\_\_\_\_

CHANGES DURING MONTH AND MONTH-END OWNERSHIP (See instruction 6)

| TITLE OF SECURITY<br><small>(See Instr. 7)</small> | DATE OF TRANSACTION<br><small>(See Instr. 8)</small> | AMOUNT BOUGHT OR OTHERWISE ACQUIRED<br><small>(See Instr. 9)</small> | AMOUNT SOLD OR OTHERWISE DISPOSED OF<br><small>(See Instr. 9)</small> | NATURE OF OWNERSHIP<br><small>(See Instr. 10)</small> | AMOUNT OWNED BENEFICIALLY AT END OF MONTH<br><small>(See Instr. 9)</small> |
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6 REMARKS: (See instruction 11)

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I affirm under penalty of perjury that the foregoing is full, true and correct.

\_\_\_\_\_  
Signature

Date of statement: \_\_\_\_\_

**FORM 4 - INSTRUCTIONS**

**1. PERSONS REQUIRED TO FILE STATEMENTS**

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 a domestic stock insurance company, or a director or officer of the company that is the issuer of such securities, and who during such month had any change in beneficial ownership of any class of equity security of such company.

**2. WHEN STATEMENTS ARE TO BE FILED**

Statements are required to be filed on or before the 10th day after the end of each month in which any change in beneficial ownership has occurred. Statements are not deemed to have been filed with the Director until they have actually been received by the Director.

**3. WHERE STATEMENTS ARE TO BE FILED**

One signed copy of each statement shall be filed with the Director of the Department of Consumer and Business Services, [address].

**4. SEPARATE STATEMENT FOR EACH COMPANY**

A separate statement shall be filed with respect to 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. TRANSACTIONS AND HOLDINGS TO BE REPORTED**

Every transaction shall be reported even though purchases and sales during the month are equal or the change involves only the nature of ownership; for example, from direct to indirect ownership. Beneficial ownership at the end of the month of all classes of securities required to be reported shall be shown even though there has been no change during the month in the ownership of securities of one or more classes.

**7. TITLE OF SECURITY**

1 The statement of the title of the security shall be such as clearly to identify the security even  
2 though there may be only one class; for example, "Class A Common Stock," "\$6 Convertible  
3 Preferred Stock," "5% Debentures Due 1965," etc.

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5 8. DATE OF TRANSACTION

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7 The exact date (month, day and year) of each transaction shall be stated opposite the amount  
8 involved in the transaction.

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11 9. STATEMENT OF AMOUNTS OF SECURITIES

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13 In stating the amount of the securities acquired, disposed of, or beneficially owned, give the face  
14 amount of debt securities or the number of shares or other units of other securities. In the case of  
15 securities owned indirectly, i.e., through a partnership, corporation, trust or other entity, the  
16 entire amount of securities involved in the transaction or owned by the partnership, corporation,  
17 trust or other entity shall be stated. The person whose ownership is reported may, if the person  
18 so desires, also indicate in a footnote or other appropriate manner the extent of the person's  
19 interest in the transaction or holdings of the partnership, corporation, trust or other entity.

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21 10. NATURE OF OWNERSHIP

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23 Under "Nature of ownership," state whether ownership of the securities is "direct" or "indirect."  
24 If the ownership is indirect, i.e., through a partnership, corporation, trust or other entity, indicate  
25 in a footnote, or other appropriate manner, the name or identity of the medium through which the  
26 securities are indirectly owned. The fact that securities are held in the name of a broker or other  
27 nominee does not, of itself, constitute indirect ownership. Securities owned indirectly shall be  
28 reported on separate lines from those owned directly and from those owned through a different  
29 type of indirect ownership.

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31 11. CHARACTER OF TRANSACTION

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33 If the transaction was with the issuer of the securities, so state. If it involved the purchase of  
34 securities through the exercise of options, so state and give the exercise price per share. If any  
35 other purchase or sale was effected otherwise than in the open market, that fact shall be  
36 indicated. If the transaction was not a purchase or sale, indicate its character; for example, gift,  
37 5% stock dividend, etc., as the case may be. The foregoing information may be appropriately set  
38 forth in the table or under "Remarks" at the end of the table.

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40 12. INCLUSION OF ADDITIONAL INFORMATION

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42 A statement may include any additional information or explanation deemed relevant by the  
43 person filing the statement.

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45 13. SIGNATURE

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1 If the statement is filed for a corporation, partnership, trust, etc., the name of the organization  
2 shall appear over the signature of the officer or other person authorized to sign the statement. If  
3 the statement is filed for an individual, it shall be signed by the individual or specifically on  
4 behalf of the individual by a person authorized to sign for the individual.

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