

INSIDER TRADING REPORTING FORMS AND INSTRUCTIONS

Note: These forms are patterned substantially after Forms 3 and 4 of the Securities and Exchange Commission.

STATE OF OREGON

Director of the Department of Consumer and Business Services

FORM 3
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)

Date of event that requires the filing of this state.

(See
instruction 6)

SECURITIES BENEFICIALLY OWNED

TITLE OF SECURITY (See instruction 7)	NATURE OF OWNERSHIP (See instruction 8)	AMOUNT OWNED BENEFICIALLY (See instruction 9)

REMARKS: (See instruction 10)

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

Signature

Date of statement: _____

FORM 3 - INSTRUCTIONS

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6 1. PERSONS REQUIRED TO FILE STATEMENTS
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8 A statement on this form is required to be filed by every person who is directly or indirectly the
9 beneficial owner of more than 10 percent of any class of any equity security of a domestic stock
10 insurance company, or who is a director or an officer of such a company.
11

12 2. WHEN STATEMENTS ARE TO BE FILED
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14 A. Persons who hold any of the relationships specified in Instruction 1 are required to file a
15 statement within 10 days after assuming such relationship, whichever date is later.
16

17 B. Statements are not deemed to have been filed with the Director until they have actually
18 been received by the Director.
19

20 3. WHERE STATEMENTS ARE TO BE FILED
21

22 One signed copy of each statement shall be filed with the Director of the Department of
23 Consumer and Business Services, [address].
24

25 4. SEPARATE STATEMENT FOR EACH COMPANY
26

27 A separate statement shall be filed with respect to the securities of each company.
28

29 5. RELATIONSHIP OF REPORTING PERSON TO COMPANY
30

31 Indicate clearly the relationship of the reporting person to the company; for example, "Director,"
32 "Director and Vice President," "Beneficial owner of more than 10 percent of the company's
33 common stock," etc.
34

35 6. DATE AS OF WHICH BENEFICIAL OWNERSHIP IS TO BE GIVEN
36

37 The information as to beneficial ownership of securities shall be given as of [insert month, day],
38 1965, or, in the case of persons who subsequently assume any of the relationships specified in
39 Instruction 1, as of the date that relationship was assumed.
40

41 7. TITLE OF SECURITY
42

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

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3 Under “nature of ownership,” state whether ownership of the securities is “direct” or “indirect.”
4 If the ownership is indirect, i.e., through a partnership, corporation, trust or other entity, indicate
5 in a footnote or other appropriate manner the name or identity of the medium through which the
6 securities are indirectly owned. The fact that securities are held in the name of a broker or other
7 nominee does not, of itself, constitute indirect ownership. Securities owned indirectly shall be
8 reported on separate lines from those owned directly and also from those owned through a
9 different type of indirect ownership.

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11 9. STATEMENT OF AMOUNT OWNED

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

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20 10. INCLUSION OF ADDITIONAL INFORMATION

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

24
25 11. SIGNATURE

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

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