



LISA

Life Insurance
Settlement Association

BROKER & PROVIDER ANNUAL REPORTING FYE 2017 (Updated 02/15/18)

STATE	DUE DATE	BROKER	PROVIDER
AL		NOT CURRENTLY REGULATED	
AK	March 1	NONE	Viatical Settlement Provider Annual Filing Form
AZ	March 1	NONE	Life Settlement Provider Annual Statement
AR	March 1	NONE	Life Settlement Provider Annual Report
CA	March 1	NONE	Life Settlement Provider Annual Statement Blank
			Life Settlement Checklist: Annual/Quarterly Statement and Other Requirements
CO	March 1	NONE	Viatical Settlement Provider Annual Report
CT	March 1	NONE	Requirements can be found in the statute (Sec. 38a-465d) ...and the regulation (Sec. 38a-465-2)
DE	N/A	NONE	NONE
DC		NOT CURRENTLY REGULATED	
FL	March 1	NONE	Viatical Settlement Provider Annual Report Directive 17-EX-2: Mandatory Electronic Payment for Annual Renewal and Financial Statement Filing Fees
GA	May 1	NONE	
HI (Updated- 02/05/18)	March 1	NONE	Requirements can be found in the statute (Sec. 431C-6)
ID	March 1	NONE	Life Settlement Provider Report
IL	March 1	Viatical Settlement Broker Report and Instructions – All States and Territories	Viatical Settlement Provider Report and Instructions - All States
			Viatical Settlement Provider Report and Instructions - Illinois Transactions Only
			Individual Mortality Report and Instructions
			Viatical Settlement Provider Certification Form

			- Illinois Transactions Only	
IN	March 1	NONE	Viatical Provider Annual Report Checklist Additional information can be found HERE	
IA	March 1	NONE	Requirements can be found in the statute and regulation	
KS	March 1	NONE	Requirements can be found in the statute (Sec. 40-5006)	
KY	March 1	NONE	LS1 - Life Settlement Provider Report - For Kentucky Insureds Only	LS2 - Individual Mortality Report - For Kentucky Insureds Only
			LS3 - Life Settlement Provider Report - All States and Territories	LS6 - Life Settlement Provider Certification Form
LA	March 1	Viatical Broker Annual Report and Instructions	Viatical Settlement Provider Annual Report Instructions and Forms	
ME	March 1	NONE	Viatical/Life Settlement Annual Report	
MD	N/A	NONE	NONE	
MA	N/A	NONE	Requirements can be found in the statute (Section 216) To be sent along with Annual Statement: Annual Filing Fee and Insurance Company License Renewal Lock Box Form	
MI	N/A	NONE	NONE	
MN	March 1	NONE	Viatical Settlement Annual Statement	
MS	March 1	NONE	Requirements can be found in the regulation (Section 6)	
MO	NOT CURRENTLY REGULATED			
MT	March 1	Viatical Broker Annual Reporting Forms	Viatical Settlement Provider Annual Statement Filing Information	
NE	March 1	NONE	Requirements can be found in the regulation (Chapter 76 – Appendices B, C, D (pages 13-17))	
NV	March 1	Requirements can be found in the regulation (Sec. 688C.230)	Requirements can be found in the regulation (Sec. 688C.230)	
NH	N/A	NONE	NONE	
NJ	March 1	NONE	Viatical Settlement Provider Yearly Report	N.J.A.C. 11-4.35 Appendix - Mortality Experience Table
NM	March 1	NONE	Requirements can be found in the regulation (Sec. 13.9.15.11)	

NY	March 1 (Annual Statement)	NONE	Life Settlement Provider Annual Statement Filing Instructions	Life Settlement Provider Annual Statement
	March 15 (SIU Reports)		Annual SIU Report Form for Life Settlement Providers	Life Settlement Providers' Annual Public Awareness Program 2016 Questionnaire
NC	June 1	Viatical Settlement Annual Report Instructions		
		Viatical Settlement Broker Report	Viatical Settlement Provider Report	
ND	March 1	NONE	Life Settlement Provider Annual Statement Requirements	
OH	March 1	NONE	Viatical/Life Settlement Annual Statement for Providers	
OK	March 1	NONE	Bulletin No. LH 2009-01 - RE: Mandatory Viatical Settlement Reporting for Providers	VSP002 - Viatical Settlement Provider Report Oklahoma Insureds Only
			VSP003 - Individual Mortality Report—Oklahoma Insureds Only Instructions	VSPB001 - Viatical Settlement Provider Certification Form
OR	March 1	NONE	Life Settlement Provider Annual Statement	
PA	March 1	NONE	NONE – <i>Financial statements due on anniversary month of initial licensure (Sec. 626.6)</i>	
RI	March 1	NONE	Life Settlement Provider Report	
SC	NOT CURRENTLY REGULATED			
SD	NOT CURRENTLY REGULATED			
TN	March 1	NONE	Life Settlement Provider Reporting Requirements	Requirements can be found in the regulation (Sec. 0780-1-71-.06)
TX (Updated—02/15/18)	March 1	NONE	Life Settlement Provider Report	
UT	March 1	NONE	Life Settlement Provider Annual Report	Please use the following Renewal Application: Appendix E – Life Settlement Provider Renewal Application (ver. 07/11/13)

VT	March 1	NONE	Annual Statement Filing Instructions for Life Settlement Providers	Life Settlement Provider Annual Statement
VA	March 1	NONE; however, each licensee must annually certify that they adhere to the anti-fraud initiatives (Sec. 38.2-6011) Viatical Settlement Broker Annual Certification of Anti-fraud Initiatives	Viatical Settlement Provider Annual Renewal and Annual Report Letter Each licensee must annually certify that they adhere to the anti-fraud initiatives (Sec. 38.2-6011)	
WA	March 1	NONE	Life Settlement Provider Annual Statement General Instructions More information available on Washington OIC website	
WV	March 1	Viatical Settlement Broker Reporting Form	Viatical Settlement Provider Reporting Requirements	
WI	March 1	NONE	Life Settlement Provider Annual Statement	
WY	NOT CURRENTLY REGULATED			

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