

**Title 210 - NEBRASKA DEPARTMENT OF INSURANCE**

**Chapter 8 - REPORTS OF DIRECTORS, OFFICERS, AND PRINCIPAL STOCKHOLDERS**

001. Statutory authority. Under the authority of Neb.Rev.Stat. §44-3,114, the Department of Insurance hereby adopts the following rule:

002. Prescribed form of the Initial Statement of Beneficial Ownership of Equity Securities. The following is the prescribed form of the Initial Statement of Beneficial Ownership of Equity Securities. The statement shall be typewritten and submitted on white paper measuring not less than 8 1/2 by 11 inches.

STATE OF NEBRASKA DEPARTMENT OF INSURANCE  
Lincoln, Nebraska

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF EQUITY SECURITIES

Filed pursuant to Neb.Rev.Stat. §44-3,107.

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Name of Insurer

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Name of person whose ownership is reported

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Business address of such person, street, city, state

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Relationship of such person to company names above (See # 4)

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Date of event which requires the filing of this statement (See # 5)

EQUITY SECURITIES BENEFICIALLY OWNED  
(See instruction 1)

Title of Equity Securities (See # 6)	Nature of Ownership (See # 7)	Amount Owned Beneficially (See # 8)
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Remarks: (See # 9)

\_\_\_\_\_  
(Signature)

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

INSTRUCTIONS

1. Persons Required to File Statements.

Every domestic stock insurer is required to report for every person who is directly or indirectly the beneficial owner of more than ten percent of any class of equity securities of a domestic insurer or who is a director or officer of such insurer. The term "person" means an individual, a corporation, a partnership, a limited liability company, an association, a joint stock company, a business trust, an unincorporated organization or a holding company whose primary purpose is owning or controlling insurance companies. The term "officer" means a president, vice-president, treasurer, actuary, secretary, controller and any other person that performs the company functions corresponding to those performed by any of the foregoing officers. A separate statement shall be filed with respect to the equity securities of each company.

2. When Statements Are to Be Filed.

(a) Every domestic stock insurer is required to file on behalf of persons who hold any of the relationships specified in #1. Every domestic stock insurer is required to file on behalf of persons who subsequently assume any of the specified relationships within ten days after assuming such relationship.

(b) Statements are not deemed filed with the Department of Insurance until actually received by the Department.

### 3. Where Statements Are to Be Filed.

One signed copy of each statement shall be filed with Department of Insurance, 941 O Street, Suite 400, Lincoln, Nebraska 68508.

### 4. Relationship of Reported Person to Company.

Indicate clearly the relationship of the reported person to the company; for example, "Director," "Director and Vice President," "Beneficial owner of more than ten percent of the company's common stock," etc.

### 5. Date Beneficial Ownership Occurred.

The information as to beneficial ownership of equity securities shall be given as of the date on which the event occurred which required the filing of a statement of this form; for example, when the person whose ownership is reported became a director or officer of the company.

### 6. Title of Equity Securities.

The statement of the title of an equity security shall be such as clearly to identify the equity security even though there may be only one class; for example, "Class A Common Stock".

### 7. Nature of Ownership.

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

### 8. Statement of Amount Owned.

In stating the amount of equity securities beneficially owned, give the number of shares. In the case of equity securities owned indirectly, the entire amount of equity securities owned by the partnership, corporation, trust or other entity, shall be stated. The person whose ownership is reported may, if he or she so desires, also indicate in a

footnote, or other appropriate manner, the extent of his or her interest in the partnership, corporation, trust or other entity.

9. Inclusion of Additional Information.

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

10. Signature.

If the statement is filed on behalf of a domestic stock insurer, it shall be signed by the secretary or assistant secretary of the insurer. If the statement is filed for a corporation, partnership, trust, etc., the name of the organization shall appear over the signature of the officer or other person authorized to sign the statement. If the statement is filed for an individual, it shall be signed by him or her or specifically on his or her behalf by a person authorized to sign for him or her.

003. Prescribed form of the Statement of Changes in Beneficial Ownership of Equity Securities. The following is the prescribed form of the Statement of Changes in Beneficial Ownership of Equity Securities. The statement shall be typewritten and submitted on white paper measuring not less than 8 1/2 by 11 inches.

STATE OF NEBRASKA-DEPARTMENT OF INSURANCE  
Lincoln, Nebraska

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF EQUITY  
SECURITIES

Filed pursuant to Neb.Rev.Stat. §44-3,107.

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Name of Insurer

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Name of person whose ownership is reported

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Business address of such person, street, city, state

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Relationship of such person to company named above (See # 4)

Statement for Calendar Month \_\_\_\_\_, \_\_\_\_\_.

**CHANGES DURING MONTH AND MONTH-END OWNERSHIP**  
(See #5)

TITLE OF EQUITY SECURITIES (SEE #6)	DATE OF TRANS- ACTION (See #7)	AMOUNT BOUGHT OR OTHER- WISE ACQUIRED (See #8)	AMOUNT SOLD OR OTHER-WISE DISPOSED OF (See #8)	NATURE OF OWNER- SHIP (See #9)	AMOUNT OWNED BENIFI- CIALLY AT END OF MONTH (See #8)

Remarks: (See # 10 and 11)

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\_\_\_\_\_  
(Signature)

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

**INSTRUCTIONS**

1. Persons Required to File Statements.

Every domestic stock insurer is required to report for every person who is directly or indirectly the beneficial owner of more than ten percent of any class of equity securities of a domestic insurer or who is a director or officer of such insurer, who has filed an "Initial Statement of Beneficial Ownership of Equity Securities" with the Department and who has during any month had any change in his beneficial ownership of any class of equity securities of such company. The term "person" means an individual, a corporation, a partnership, a limited liability company, an association, a joint stock company, a business trust, an unincorporated organization, or a holding company whose primary purpose is owning or controlling insurance companies. The term "officer" means a president, vice-president, treasurer, actuary, secretary, controller and any other person that performs the company functions corresponding to those performed by any of the

foregoing officers. A separate statement shall be filed with respect to the equity securities of each company.

2. When Statements Are to Be Filed.

(a) Statements are required to be filed on or before the tenth day after the end of each month in which any change in beneficial ownership has occurred.

(b) Statements are not deemed with the Department of Insurance until actually received by the Department.

3. Where Statements Are to Be Filed.

One signed copy of each statement shall be filed with the Department of Insurance, 941 O Street, Suite 400, Lincoln, Nebraska 68508.

4. Relationship of Reported Person to Company.

Indicate clearly the relationship of the reported person to the company; for example, "Director", "Director and Vice-President", "Beneficial Owner of more than ten percent of the company's common stock", etc.

5. 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 equity securities to be reported shall be shown even though there has been no change during the month in the ownership of equity securities of one or more classes.

6. Title of Equity Securities.

The statement of the title of the equity security shall be such as to clearly identify the equity security even though there may be only one class; for example, "Class A Common Stock".

7. Date of Transaction.

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

8. Amounts of Equity Securities.

In stating the amount of equity securities acquired, disposed of, or beneficially owned, give the number of shares. In the case of equity securities owned indirectly, i.e., through a partnership, corporation, trust or other entity, the entire amount of equity securities involved in the transaction or owned by the partnership, corporation, trust or other entity shall be stated. The person whose ownership is reported may, if he or she so desires, also indicate in a footnote or other appropriate manner, the extent of his or her interest in the transaction or holdings of the partnership, corporation, trust or other entity.

9. Nature of Ownership.

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

10. Character of Transaction.

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

11. Inclusion of Additional Information.

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

12. Signature.

If the statement is filed on behalf of a domestic stock insurer, it shall be signed by the secretary or assistant secretary of the insurer. If the statement is filed for a corporation, partnership, trust, etc., the name of the organization shall appear over the signature of the officer or other person authorized to sign the statement. If the statement is filed for an individual, it shall be signed by him or her or specifically on his or her behalf by a person authorized to sign for him or her.