VISION Frequently Asked Questions

How can I obtain access to the system or change users on our account?
Thoroughly complete and submit the Vision Account Form listed on the SVO website, so that a Vision Administrator can complete your setup.

Inquiry Service and Filing Exempt are no longer online, how do I obtain this information?
Complete a Cusip search using the procedures listed above.

How do I perform a security-related search?
Searches on single issuers or issues may be performed in VISION from your security dashboard by Cusip or issuer number or by issuer name. To view information on numerous securities, you can upload a .txt file of securities to your dashboard. This will return some high level information on each security, and the issue detail for each Cusip may be viewed by clicking on the Cusip number.

What does "To Be Filed With SVO" as a Designation Status and dashboard grouping mean?
This security is not in VOS, not in FE or any other category, and should be filed with the SVO.

Why do some of my securities show a different source code when they were previously listed as a 'V' for VOS?
Additional source codes for Treasury, SSG Modeled, Surplus Notes and STAC-R were added to the application. Securities that were previously listed as a VOS security will now show a more accurate representation of the designation source.

What do the security dashboard groupings mean for "Not in VOS"?
"Not in VOS" - indicates one of several situations as this grouping summarizes all securities on your dashboard .

1. Has never been filed with the SVO and is not in the VOS database.
2. Has a designation source other than "In VOS". This includes designation sources of "Filing Exempt", "To be Filed with the SVO", "Government Exempt", "Modeled" and "In Progress Filing".
3. Has dropped off the database because the issue has matured, been renumbered, or deleted during the "NR/UP" deletion process.

Can multiple CUSIPs for the same issuer be listed on one initial filing form?
No, not at this time. However, after the SVO analyst has accepted your first filing, you will not be required to submit the issuer documentation again for subsequent issues for that issuer.
How do I communicate with the analyst who is working on my filing?

Why are some of my current filings showing a REJECTED status?
It could be REJECTED for one of two reasons.

1. They were 'add on' securities to a filing in the previous system, which is not currently supported in VISION. The designation and applicable information will be added to the REJECTED securities based on the first filing that is completed for that Issuer.

Or

2. The rejection is valid and you should check the notes on the filing or contact the Analyst for further clarification.

Why do I have to select an Organization when completing a filing?
The organization selection determines which company will receive the invoice for the filing.

How do I know who in my company will receive the invoice for our filings?
There are several invoice options, which were determined by your company when the account was setup.

1. Send the invoice to the individual who completed the filing.
2. Send all invoices to one primary billing contact within my company.

How will I receive and pay my invoices now that they are no longer mailed?
Additional details for using the Account Manager system can be found on our website under the NAIC Account Manager section at http://www.naic.org/account_manager.htm.

How do I change the invoicing option or primary billing contact for my company?
Contact a Vision Administrator at securitiessupport@naic.org or by calling 816.783.8500 for assistance.

How long will my filing stay on the system?
Your filings will stay on VISION for three years. You may view and print the filing anytime during that time period.

I already submitted the issuer documents. Why is a subsequent filing making me upload them again?
Issuer level documents are not required for filings after they have been accepted on a filing by a NAIC analyst. Either the previously submitted issuer documents have not been accepted yet, or they have been Info Requested by the analyst.

How do I print the details for my filing?
You can print your filing detail using your browsers print option under the File menu.

How do I delete an ATF?
If the filing has not been submitted to the Analyst, then you can use the Cancel button to discard your work. If you have already submitted your filing, then you will need to ask the Analyst to reject the filing.

How do I respond to an Info Request on a filing that I did not submit?
You can identify the Cusips on your dashboard that have an open Info Request by using the Groupings filter on your security dashboard. Then click on Cusip that has the Info Requested icon beside it and then click on the filing number. The missing supporting document will have a red flag beside it and the support document status will be rejected. Click on the Edit button and upload the support document and then click the Save button. The red flag next to the document will turn black once you have provided the information for that request.

When opening my exporting information into Microsoft® Excel, the information in the CUSIP Issuer column looks strange. How do I fix that?

1. Save the modeled data file to an easily accessible location (e.g., your desktop).
2. Open a new, blank Microsoft Excel workbook. Across the main menu, locate the Data > Import External Data > Import Data.
3. A Select Data Source dialogue box will display. Using the Look in field, identify the file you saved to your desktop. Highlight the file you want to import and select Open.
4. A Text Import Wizard box will display. Choose the Delimited radio button and select Next.
5. The next Text Import Wizard box will display. Select the Comma radio button and Next.
6. The final Text Import Wizard box will display. Select Text as the Column Data Format and click Finish.
7. The Import Data box will display. Click Ok
8. Your data should now properly display within the spreadsheet and the leading zeroes for the CUSIP Issuer column should be populated.

How do I get help with using the system?
A detailed user's guide is listed under the Help menu within Vision. You can also contact a Vision Administrator at securitiessupport@naic.org or by calling 816.783.8500.