How to upload documents for your OIC Discount Plan Organization Annual Report

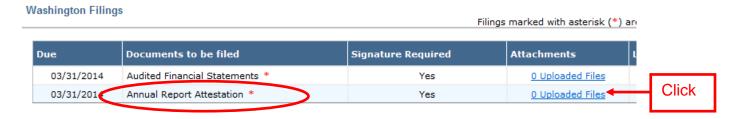Here is a sample of the Documents screen (Page 2):

There are certain documents that every Registrant must file. We show those in the upper area titled "Washington Filings". The *Due* column shows when the document must be filed.

If there are other documents that you must file, those appear in the lower area under "Supporting Documents". You must file these documents at the same time as the Annual Report.

How to upload documents for your OIC Discount Plan Organization Annual Report

To upload a document, click the link for that Document in the *Attachments* column.

Washington Filings

Filings marked with asterisk (*) are

Due	Documents to be filed	Signature Required	Attachments	L
03/31/2014	Audited Financial Statements *	Yes	0 Uploaded Files	
03/31/2016	Annual Report Attestation *	Yes	0 Uploaded Files	← Click

The screen changes to the Upload screen. Notice that the name of the document that you selected appears on the Upload screen. That's your reminder of which document you are going to upload.
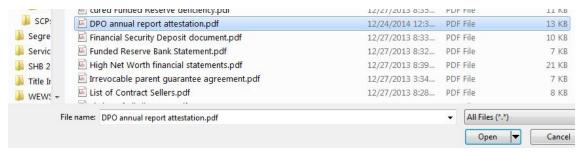
Annual Report Attestation

No documents have been filed yet.

Upload PDF File

[Browse...]

If you're on the correct document, click the *Browse* button.
If you need to cancel, click the *Return to Filing* button.

Upload PDF File

[Browse...] ← Click to browse to your file

[Upload]

[Return to Filing] ← Or click to cancel

After you click *Browse*, a window will pop up and allow you to choose which file you want to upload. The file must exist somewhere that you have access to on your system. If you need help finding the document, please contact your company's computer support personnel.

After you select the correct file, click on the *Open* button. That tells our system where to find the file.

	cured Funded Reserve deficiency.pdf	12/27/2013 8:35...	PDF File	11 KB
SCP:	DPO annual report attestation.pdf	12/24/2014 12:3...	PDF File	13 KB
Segre	Financial Security Deposit document.pdf	12/27/2013 8:33...	PDF File	10 KB
Servic	Funded Reserve Bank Statement.pdf	12/27/2013 8:32...	PDF File	7 KB
SHB 2	High Net Worth financial statements.pdf	12/27/2013 8:39...	PDF File	21 KB
Title Ir	Irrevocable parent guarantee agreement.pdf	12/27/2013 3:34...	PDF File	7 KB
WEWS	List of Contract Sellers.pdf	12/27/2013 8:28...	PDF File	8 KB

File name: DPO annual report attestation.pdf   ▼   All Files (*.*)

[Open ▼]   [Cancel]

How to upload documents for your OIC Discount Plan Organization Annual Report
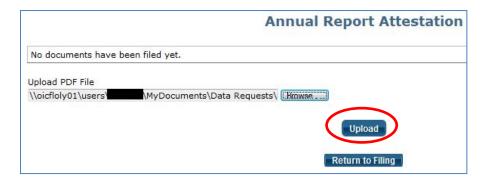
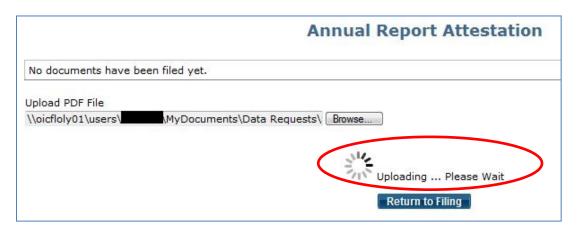**!** **It's important to ensure that you select the correct document. Once you upload it, it becomes part of the OIC records.**

If you're not sure that you have the correct file, click the *Cancel* button and then either *Browse* again or click the *Return to Filing* button to cancel without uploading.

When you're sure you have the correct file. Click the *Upload* button.

The system will indicate that it's uploading your file. If you get an error message, please consult with your company's computer security or support personnel to help you ensure that you have the rights to access and upload your file.

After uploading the document, the area that previously said, "No documents have been filed yet", now shows the upload date.

Uploaded Date	Description of Amendment
12/24/2014	

How to upload documents for your OIC Discount Plan Organization Annual Report

If there is more than one document of this same type to upload (in this example another Annual Report Attestation), click *Browse* again and upload more documents of the same type.

If you have no more of that type of document to upload, click the *Return to Filing* button. Then you can upload a different document (for instance, upload the *Conflict of Interest* form)

The Documents page now shows an uploaded file and the date of the upload. Each time you upload another file, the link will update to show the count.

Continue with this process until you have uploaded all required documents, in the proper category.

❗ **It's important that you upload only the document that the system indicates.**

This means: DON'T upload different documents into the same category.

Next up: Final Submission (Page 3). We provide those instructions in a separate document.