



**NEW YORK STATE
DEPARTMENT of FINANCIAL SERVICES
Criminal Investigations Unit
One State St.
New York, New York 10004**

**Life Settlement Providers' Public Awareness Program Questionnaire
for the year 2020**

DUE DATE: MARCH 15, 2021

1. Does the life settlement provider (LSP) meet the requirements of Section 411(b)(5) by participating in the Life Insurance Settlement Association (LISA) New York public awareness program or by maintaining an in-house public awareness program? YES NO

If the LSP is a member of LISA, no additional information is required.

For LSPs that maintain an in-house public awareness program, please respond to the following:

2. What were the total expenses of the New York public awareness program incurred in 2020? \$
3. What is the public awareness program budget for year 2021? \$
4. Please indicate the media used by the LSP in its public awareness program:
- LSPs Website Hard Copy brochures/other hard copy Other
 Speaking engagements Radio/television advertisement
5. For each item selected in item 4 please describe the method of distribution:
- Website - provide link
 - Hard copies - provide sample brochure and list of locations (provide name of organization and address) distributed (or explanation of method of delivery), provide number of brochures distributed, provide date delivered, provide number of brochures printed in the calendar year.
 - Provide a list of the speaking engagements attended, provide the dates, name of speaker and topic.
 - Provide a list of any radio or television advertisements in which the LSP participated to provide public awareness of life settlement fraud.
 - Describe any other media used to promote the LSP's public awareness program.
6. Provide any other information, not addressed above, to describe the LSP's 2020 public awareness program that indicates the scope and effectiveness of the program.
7. Describe any planned changes to public awareness program for 2021.