

**LIFE, ACCIDENT AND HEALTH INSURERS**

COMPANY NAME: \_\_\_\_\_ NAIC Company Code: \_\_\_\_\_

Contact: \_\_\_\_\_ Telephone: \_\_\_\_\_

REQUIRED FILINGS IN THE STATE OF: \_\_\_\_\_ Filings Made During the Year 2015

(1) Checklist	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
		<b>I. NAIC FINANCIAL STATEMENTS</b>						Please refer to all Notes
	1	Annual Statement (8 1/2"x14")	2	EO	xxx	3/1	NAIC	Postmark date accepted. Note H
	1.1	Printed Investment Schedule detail (Pages E01-E27)	2	EO	xxx	3/1	NAIC	Note O
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	Postmark date accepted. Note H
	3	Separate Accounts Annual Statement (8 1/2"x14")	2	EO	xxx	3/1	NAIC	
		<b>II. NAIC SUPPLEMENTS</b>						Notes E, F, I, M, N, S
	10	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	
	11	Analysis of Annuity Operations by Lines of Business	2	EO	xxx	4/1	NAIC	
	12	Analysis of Increase in Annuity Reserves During Year	2	EO	xxx	4/1	NAIC	
	13	Credit Insurance Experience Exhibit	2	EO	xxx	4/1	NAIC	
	14	Health Care Exhibit (Parts 1, 2 and 3) Supplement	2	EO	xxx	4/1	NAIC	
	15	Health Care Exhibit's Allocation Report Supplement	2	EO	xxx	4/1	NAIC	
	16	Interest Sensitive Life Insurance Products Report	2	EO	xxx	4/1	NAIC	
	17	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	18	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit	2	EO	xxx	4/1	NAIC	
	19	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form	2	EO	xxx	4/1	NAIC	
	20	Long-term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	
	21	Management Discussion & Analysis	2	EO	xxx	4/1	Company	
	22	Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	
	23	Medicare Part D Coverage Supplement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	24	Risk-Based Capital Report	2	EO	xxx	3/1	NAIC	
	25	Schedule SIS	2	N/A	N/A	3/1	NAIC	
	26	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	
	27	Supplemental Schedule O	2	EO	xxx	3/1	NAIC	
	28	Trusted Surplus Statement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	29	Workers' Compensation Carve-Out Supplement	2	EO	xxx	3/1	NAIC	
	30	Supplemental XXX/XXX Reinsurance Exhibit	2	EO	xxx	4/1	NAIC	
		<b>Actuarial Related Items</b>						
	31	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	2	EO	xxx	3/1	Company	
	32	Actuarial Certification Related to Hedging required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	33	Actuarial Certification Related to Reserves required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	34	Actuarial Certification regarding use 2001 Preferred Class Table	2	EO	xxx	3/1	Company	
	35	Actuarial Memorandum Related to Universal Life with Secondary Guaratee Policies required by Actuarial Guideline XXXVIII 8D	2	N/A	xxx	4/30	Company	Note N
	36	Actuarial Opinion	2	EO	xxx	3/1	Company	
	37	Actuarial Opinion on X-Factors	2	EO	xxx	3/1	Company	
	38	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	2	EO	xxx	3/1	Company	
	39	Actuarial Opinion on Synthetic Guaranteed Investment Contracts	2	EO	xxx	3/1	Company	
	40	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation	2	EO	xxx	3/1	Company	
	41	Financial Officer Certification Related to Clearly Defined Hedging Strategy required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	

42	Management Certification that the Valuation Reflects Management's Intent required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
43	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
44	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
45	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
46	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
47	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
48	RBC Certification required under C-3 Phase I	2	EO	xxx	3/1	Company	
49	RBC Certification required under C-3 Phase II	2	EO	xxx	3/1	Company	
50	Statement on non-guaranteed elements - Exhibit 5 Int. #3	2	EO	xxx	3/1	Company	
51	Statement on par/non-par policies – Exhibit 5 Int. 1&2	2	EO	xxx	3/1	Company	
52	RAAIS required by Actuarial Opinion and Memorandum Regulation (Model 872), Section 7A(5)	2	N/A	xxx	3/1	Company	
	<b>III. ELECTRONIC FILING REQUIREMENTS</b>						Notes F, M, P
60	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
61	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
62	Risk-Based Capital Electronic Filing	xxx	EO	N/A	3/1	NAIC	
63	Risk-Based Capital .PDF Filing	xxx	EO	N/A	3/1	NAIC	
64	Separate Accounts Electronic Filing	xxx	EO	xxx	3/1	NAIC	
65	Separate Accounts .PDF Filing	xxx	EO	xxx	3/1	NAIC	
66	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
67	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
68	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
69	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
70	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	
	<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>						Notes E, F, N, S, T
81	Accountants Letter of Qualifications	2	EO	N/A	6/1	Company	
82	Audited Financial Reports	2	EO	xxx	6/1	Company	
83	Audited Financial Reports Exemption Affidavit	2	N/A	N/A		Company	
84	Communication of Internal Control Related Matters Noted in Audit	2	N/A	N/A	8/1	Company	
85	Independent CPA (change)	2	N/A	N/A		Company	
86	Management's Report of Internal Control Over Financial Reporting	2	N/A	N/A	8/1	Company	
87	Notification of Adverse Financial Condition	2	N/A	N/A	As Required	Company	
88	Request for Exemption to File	2	N/A	N/A	As Required	Company	
89	Relief from the five-year rotation requirement for lead audit partner	2	EO	N/A	3/1	Company	
90	Relief from the one-year cooling off period for independent CPA	2	EO	N/A	3/1	Company	
91	Relief from the Requirements for Audit Committees	2	EO	N/A	3/1	Company	
	<b>V. STATE REQUIRED FILINGS****</b>						
104	Filings Checklist (with Column 1 completed)	1	0	0	Various	DISB	
105	Premium Tax	1	0	1	3/1, 6/1	DISB	Note D, E Postmark Date Accepted
106	State Filing Fees	1	0	0	4/30	DISB	Note C,E
107	Signed Jurat Page	2	0	xxx	Various Dates		
108	Electronic Claims Payment Form (prompt pay form)	1	0	1	3/15	State	Note Q
110	Holding Company System Registration Statement (Form B)	1	0	N/A	4/30	DISB	Note F, U
111	Holding Company System Summary of Changes (Form C)	1	0	N/A	4/30	DISB	Note F, U

	112	Holding Company System Summary of Changes (Form D)	1	0	N/A	As Required	DISB	Note U
	113	Regulatory Asset Adequacy Issues Summary	1	N/A	N/A	3/15	DISB	Note V

**\*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state. EO (electronic only filing).**

**\*\*If Form Source is NAIC, the form should be obtained from the appropriate vendor.**

**\*\*\*For those states that have adopted the NAIC updated Holding Company Model Act, a Form F filing is required annually by holding company groups. Consistent with the Form B filing requirements, the Form F is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state. For more information on lead states, see the following NAIC URL: [http://www.naic.org/public\\_lead\\_state\\_report.htm](http://www.naic.org/public_lead_state_report.htm)**

NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)		
A	Required Filings Contact Person:	Samuel Merlo, Financial Analyst <a href="mailto:Sam.merlo@dc.gov">Sam.merlo@dc.gov</a> (email) (202) 442-7833 (telephone) Also, See Notes C and D below for License and Premium Tax contacts.
B	Mailing Address:	Nathaniel K. Brown Chief Financial Manager DC Department of Insurance, Securities and Banking Financial Examiner Division 810 First Street, NE, Suite 602 Washington, DC 20002
C	Mailing Address for Filing Fees:	License Renewal for Life - \$200.00 Check should be payable to DC Treasurer PO Box 92180, Washington, DC 20090 Contact Person: Denise Parker <a href="mailto:denise.parker@dc.gov">denise.parker@dc.gov</a> (email) (202) 442 – 7842 (telephone)
D	Mailing Address for Premium Tax Payments:	DC Department of Insurance, Securities and Banking Insurance Bureau PO Box 92180 Washington, DC 20090 – 2180 Check should be made payable to DC Treasurer Contact Person: Jessie Li Examiner <a href="mailto:Jessie.li@dc.gov">Jessie.li@dc.gov</a> (email) (202) 442 – 8568 (telephone)
E	Delivery Instructions:	All <b>annual financial statement</b> filings Must be postmarked no later than March 1 <sup>st</sup> . Other financial filings must be postmarked no later than the indicated due date. License applications and filing fees must be physically received at the address in Note C no later than April 30 <sup>th</sup> . Premium tax returns and payments must be postmarked no later than March 1 <sup>st</sup> .
F	Late Filings:	Company will be fined \$100 per day for a late filing. Other actions including license suspension may be taken.
G	Original Signatures:	Original signatures are required on all filings from domestic companies.
H	Signature/Notarization/Certification:	The President and Secretary are required to sign the annual statement, or in their absence, 2 other principal officers may sign.
I	Amended Filings:	Amended items must be filed within 10 days of an amendment, along with an explanation of the amendments. If there are signature requirements for original filings, same should be followed for any amendment. Amendments to the Annual

			or Quarterly Statements require an amended jurat page, including amendment number, amendment date and the number of pages refilled.
	J	Exceptions from normal filings:	Foreign companies must supply a written copy of any extension received by its state of domicile at least 10 days prior to the filing date. Domestic companies should apply at least 30days prior to the due date and, for extensions, must submit a written request explaining the reason for the delay and a detailed timeline of any expected component completion dates and contingencies.
	K	Bar Codes (State or NAIC):	Please follow the instructions in the NAIC Annual Statement Instructions.
	L	Signed Jurat:	See Notes G, H, I
	M	NONE Filings:	District of Columbia does not require the filing of a "NONE" page if applicable supplemental interrogatory indicates that the filing is non-applicable.
	N	Filings new, discontinued or modified materially since last year:	New Filing: RAAIS required by Actuarial Opinion and memorandum regulation (Model 872), Section 7A(5). Filing required by state of domicile by 3/1. Supplemental XXX/AXXX Reinsurance Exhibit. Filing required by state of domicile by 4/1.
	O	Item 1.1 Investment Schedule Detail	Domestic Companies are not required to submit an additional copy of the detailed investment schedules if they are already bound in the Annual Statement.
	P	Electronic Filing Requirements	See general Instructions for Companies to use checklist to follow for specific guidance on electronic filing requirements including the requirements to file certain items in the portable document (PDF Files). Any questions regarding electronic filing should be directed to the NAIC. The NAIC web site is at <a href="http://www.naic.org">http://www.naic.org</a> The main phone line is (816) 842-3600. The NAIC help desk line is (816) 783-8500.
	Q	Electronic Claims Payment Report (Prompt Pay Form):	The "Prompt Pay Act 2002" (DC Code 31-3135) which went into effect on July 23, 2002 requires that health insurers file a claim payment report to the Commissioner no later than March 15 <sup>th</sup> of each year. <b>This is an electronic filing.</b> Please refer to the DISB website for the Claims Payment Reform Form The report should only be filled by companies that write health insurance as Defined in DC Official Code Title 31, Chapter 33, 3301.1. A zero report is required from those writing health

			insurance but having no claims. <b>Contact Person:</b> Damon Siler Damon.siler@dc.gov or at (202) 442-7834.
	R	Standard Report Requirements:	To order NAIC publications, including the Annual Statement Blanks and Instructions and the Accounting Practices and Procedures Manual, call Publications at (816) 783-8300. Publications catalogue also available on line at <a href="http://www.naic.org">http://www.naic.org</a>
	S	Foreign Company Filings:	Foreign Companies to file hard copy of statements only upon written request.
	T	Audited Statements	Please refer to DC Code 31, Chapter 3 for guidance. Audited Statement must be prepared on a statutory basis. Auditor must be independent CPA. CPA appointment or Change Notice – refer to DC Code 31-304.
	U	Holding Company Registration Statement (Form B). Summary of Changes (Form C) and Report of Material Transactions (Form D).	Foreign Companies domiciled in States that have holding company system filing requirements, similar to the District of Columbia, are not routinely required to file with the DISB. Please refer to DC Code 31, Chapter 31, and Chapter 7 for guidance.
	V	Regulatory Asset Adequacy Issues Summary	This document is only required for domestic Companies or if requested by regulator.

**General Instructions  
For Companies to Use Checklist**

**Please Note:** This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will not be sending their own checklist this year.

**Electronic filing is intended to be filing(s) submitted to the NAIC via the NAIC Internet Filing Site which eliminates the need for a company to submit diskettes or CD-ROM to the NAIC. Companies are not required to file hard copy filings with the NAIC.**

**Column (1) (Checklist)**

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

**Column (2) (Line #)**

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

**Column (3) (Required Filings)**

Name of item or form to be filed.

The *Annual Statement Electronic Filing* includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions exempt* printed detail.

The *March .PDF Filing* is the .pdf file for annual statement data, detail for investment schedules and supplements due March 1.

The *Risk-Based Capital Electronic Filing* includes all risk-based capital data.

The *Risk-Based Capital .PDF Filing* is the .pdf file for risk-based capital data.

The *Separate Accounts Electronic Filing* includes the separate accounts annual statement and investment schedule detail.

The *Separate Accounts .PDF Filing* is the .pdf file for the separate accounts annual statement and all investment schedule detail.

The *Supplemental Electronic Filing* includes all supplements due April 1, per the *Annual Statement Instructions*.

The *Supplement .PDF Filing* is the .pdf file for all supplemental schedules and exhibits due April 1.

The *Quarterly Electronic Filing* includes the quarterly statement data.

The *Quarterly .PDF Filing* is the .pdf for quarterly statement data.

The *June .PDF Filing* is the .pdf file for the Audited Financial Statements and Accountants Letter of Qualifications.

**Column (4) (Number of Copies)**

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (EX) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. . **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

**Column (5) (Due Date)**

Indicates the date on which the company must file the form.

**Column (6) (Form Source)**

This column contains one of three words: “NAIC,” “State,” or “Company,” If this column contains “NAIC,” the company must obtain the forms from the appropriate vendor. If this column contains “State,” the state will provide the forms with the filing instructions. If this column contains “Company,” the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

**Column (7) (Applicable Notes)**

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.

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