

TITLE COMPANIES

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: _____ Filings Made During the Year 2020

(1) Checklist	(2) Line #	(3) REQUIRED FILING FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE* *	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
I. NAIC FINANCIAL STATEMENTS								
	1	Annual Statement (8 1/2" x 14")			Signed Jurat Pg. - EO			
			2+CD	EO		3/1	NAIC	E, L, H, V
	1.1	Printed Investment Schedule detail (Pages E01-E29)	1+CD	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	1+CD	EO	xxx	5/15, 8/15, 11/15	NAIC	E, H, L, V
II. NAIC SUPPLEMENTS								
	11	Actuarial Opinion	2+CD	EO	xxx	3/1	Company	
	12	Investment Risk Interrogatories	1+CD	EO	xxx	4/1	NAIC	
	13	Management Discussion & Analysis	1+CD	EO	xxx	4/1	Company	
	14	Schedule SIS	1+CD	N/A	N/A	3/1	NAIC	
	15	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	
	16	Supplemental Schedule of Business Written By Agency	1+CD	N/A	xxx	4/1	NAIC	
III. ELECTRONIC FILING REQUIREMENTS								
	61	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	62	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	63	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
	64	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
	65	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	66	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	67	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
	81	Accountants Letter of Qualifications	1	EO	N/A	6/1	Company	
	82	Audited Financial Reports	1+CD	EO		6/1	Company	
	83	Audited Financial Reports Exemption Affidavit	1	N/A	N/A	6/1	Company	J
	84	Communication of Internal Control Related Matters Noted in Audit	1	EO	N/A	8/1	Company	
	85	Independent CPA (change)	1	N/A	N/A		Company	
	86	Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1	Company	
	87	Notification of Adverse Financial Condition	1	N/A	N/A		Company	
	88	Request for Exemption to File	1	N/A	N/A		Company	
	89	Relief from the five-year rotation requirement for lead audit partner	1	EO	xxx	3/1	Company	
	90	Relief from the one-year cooling off period for independent CPA	1	EO	xxx	3/1	Company	
	91	Relief from the Requirements for Audit Committees	1	EO	xxx	3/1	Company	
V. STATE REQUIRED FILINGS***								
	101	Corporate Governance Annual Disclosure***	1+CD	0	xxx	6/1	Company	
	102	Filings Checklist (with Column 1 completed)	1	0	xxx	3/1	State	E
	103	Form B-Holding Company Registration Statement	1+CD	0	xxx	6/1	Company	X
	104	Form F-Enterprise Risk Report ***	1+CD	0	xxx	6/1	Company	Y
	105	ORSA ****	1+CD	0	xxx	11/1	Company	
	106	State Filing Fees	-	0	xxx	3/1	State	C, S

(1) Checklist	(2) Line #	(3) REQUIRED FILING FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE* *	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
	107	Signed Jurat	2	0	EO	3/1	NAIC	G, H, L, M, V
	108							
	109							

*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 Corporate Governance Annual Disclosure Model Act, an annual disclosure is required of all insurers or insurance groups by June 1. The Corporate Governance Annual Disclosure 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 if filed at the insurance group level. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm.

****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

*****For those states that have adopted the NAIC Risk Management and Own Risk and Solvency Assessment Model Act, a summary report is required annually by insurers and insurance groups above a specified premium threshold. The ORSA Summary Report 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 if filed at the insurance group level. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Filings Contact Person:	ANNUAL STATEMENT: BERG@delaware.gov (302) 674-7330 PREMIUM TAXES: DOI_Tax@delaware.gov or (302) 674-7383
	B	Mailing Address:	Delaware Department of Insurance Attn: BERG 1351 West North Street, Suite 101, Dover, DE 19904
	C	Mailing Address for Filing Fees:	Fees are included in the calculation of premium taxes. DO NOT send the fee payment with the Annual Statement
	D	Mailing Address for Premium Tax Payments:	DO NOT include Premium Tax forms or payment in the annual statement package. Use OPTins to file Premium Taxes and fees electronically. Website: https://login.optins.org/optins-static/index.html or call (816) 783-8990.
	E	Delivery Instructions:	Physically in office on or before due date at address in Note B. If the due date falls on a weekend or holiday, then the deadline is extended to the next business day. MUST SUBMIT COMPLETED CHECKLIST.
	F	Late Filings:	May be subject to a \$100/day (per company) administrative penalty for late or incomplete filing Company's license may be suspended if the annual statement is received more than 30 days late.
	G	Original Signatures:	Required on all domestic and foreign
	H	Signature/Notarization/Certification:	OFFICERS TO SIGN: President or vice-president, and secretary or actuary, as applicable, or, in the absence of the foregoing, by 2 other principal officers, or, if a reciprocal insurer, by the oath of the attorney-in-fact or its like officers if a corporation.
	I	Amended Filings:	File within 10 days of amendment with explanation for the original filing and same should be followed for any amendment.
	J	Exceptions from normal filings:	DOMESTIC: Apply at least 30 days prior to due date with written explanation. FOREIGN: Apply 10 days prior to due date (received)

K	Bar Codes (State or NAIC):	NAIC Annual Statement Instructions (ASI). INABILITY TO READ BARCODE: Document is considered not received
L	Signed Jurat:	Signatures are required on all Jurat pages submitted. Foreign Jurat page to be sent electronically ONLY to: DOI_AnnualStatement@delaware.gov Foreign companies are not required to file Quarterly Statements.
M	NONE Filings:	NAIC ASI for Supplemental Interrogatories. Exceptions to these instructions are noted on the form.
N	Filings new, discontinued or modified materially since last year:	Regulation 303 repealed 5/1/2018
Q	Combined Statements:	Send if information changes
R	Audited Financial Report & Risk Based Capital Report:	FOREIGN: Send only if requested.
S	Statement Filing Fees:	Attach to Premium Tax report
T	Premium Tax report and payment:	Includes statement filing fees
V	CD Rom in .pdf format must contain the following information: <ul style="list-style-type: none"> • Complete Company Name • NAIC umber • Filing Period • Listing of Documents Included 	PENALTY: A fine of \$100.00 per day for late or improperly submitted statement filings.
X	Form B & C - Insurance Holding Company System Annual Registration Statement	FEE: \$100.00 per Holding Company Group
Y	Form F - a Form F filing is required annually by holding company groups.	FEE: None. 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

**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 submitting 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 the annual statement, detail for investment schedules and all supplements due March 1.

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

The *Supplemental.PDF Filing* is the .pdf file for all supplements 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 (generally, on its web site). 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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