

## HEALTH ENTITIES

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

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

REQUIRED FILINGS IN THE STATE OF: \_\_\_\_\_ Filings Made During the Year 2021

(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>								
	1	Annual Statement (8 1/2"X14")	2+CD	EO	xxx	3/1	NAIC	L, 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	L, V
<b>II. NAIC SUPPLEMENTS</b>								
	11	Accident & Health Policy Experience Exhibit	1+CD	EO	xxx	4/1	NAIC	
	12	Actuarial Opinion	2+CD	EO	xxx	3/1	Company	
	13	Life Supplemental Data due March 1	2+CD	EO	xxx	3/1	NAIC	
	14	Life Supplemental Data due April 1	2+CD	EO	xxx	4/1	NAIC	
	15	Life Supp Statement non-guaranteed elements – Exh 5, Int. #3	1+CD	EO	xxx	3/1	Company	
	16	Life Supp Statement on par/non-par policies – Exh 5 Int. 1&2	1+CD	EO	xxx	3/1	Company	
	17	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit	1+CD	EO	xxx	4/1	NAIC	
	18	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form	1+CD	EO	xxx	4/1	NAIC	
	19	Long-Term Care Experience Reporting Forms	1+CD	EO	xxx	4/1	NAIC	
	20	Management Discussion & Analysis	1+CD	EO		4/1	Company	
	21	Medicare Part D Coverage Supplement	1+CD	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	22	Medicare Supplement Insurance Experience Exhibit	1+CD	EO	xxx	3/1	NAIC	
	23	Risk-Based Capital Report	1+CD	EO		3/1	NAIC	
	24	Schedule SIS	1+CD	N/A	N/A	3/1	NAIC	
	25	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	
	26	Supplemental Health Care Exhibit (Parts 1, 2 and 3)	1+CD	EO	xxx	4/1	NAIC	
	27	Supplemental Health Care Exhibit's Allocation Report	1+CD	EO	xxx	4/1	NAIC	
	28	Supplemental Investment Risk Interrogatories	1+CD	EO	xxx	4/1	NAIC	
<b>III. ELECTRONIC FILING REQUIREMENTS</b>								
	61	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	62	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	63	Risk-Based Capital Electronic Filing	xxx	EO	N/A	3/1	NAIC	
	64	Risk-Based Capital .PDF Filing	xxx	EO	N/A	3/1	NAIC	
	65	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
	66	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
	67	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	68	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	69	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	
<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>								
	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		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	



		<b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>	
	A	Required Filings Contact Person:	<p><b>ANNUAL STATEMENT:</b> BERG@delaware.gov (302) 674-7330</p> <p><b>PREMIUM TAXES:</b> <a href="mailto:DOI_Tax@delaware.gov">DOI_Tax@delaware.gov</a> or (302) 674-7383</p>
	B	Mailing Address:	Delaware Department of Insurance 1351 West North Street, Suite 101, Dover, DE 19904
	C	Mailing Address for Filing Fees:	Delaware Department of Insurance 1351 West North Street, Suite 101, Dover, DE 19904 Annual Statement Filing Fees are included in the calculation of premium taxes. <b>DO NOT send payment with the Annual Statement</b>
	D	Mailing Address for Premium Tax Payments:	<p><b>DO NOT include Premium Tax forms or payment in the annual statement package.</b></p> <p>Use <b>OPTins</b> to file Premium Taxes and fees electronically. Website: <a href="https://login.optins.org/optins-static/index.html">https://login.optins.org/optins-static/index.html</a> or call (816) 783-8990.</p>
	E	Delivery Instructions:	Physically in office on or before due date at address in <b>NOTE B</b> . If the due date falls on a weekend or holiday, then the deadline is extended to the next business day  <b>Additional Delivery Instructions listed in Note “V”</b>
	F	Late Filings:	<b>18 Del. C. §526(c)</b> The Commissioner may refuse to continue or may suspend or revoke the certificate of authority of any insurer failing to file its annual statement when due
	G	Original Signatures:	Electronic signatures will be accepted. Please refer to <b>Bulletin 117</b> Section III regarding electronic signatures and notarization

H	Signature/Notarization/Certification:	<p><b>OFFICERS TO SIGN:</b> 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</p> <p>The Department is <b>temporarily suspending notarization requirements</b> for documents. This temporary suspension does not negate the need for notarization. Proper notarization will be required within 60 days of the end of the declared State of Emergency.</p> <p>Please refer to <a href="#">Bulletin 117 Section III</a> regarding electronic signatures and notarization</p>
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:	<p><b>DOMESTIC:</b> Apply at least 30 days prior to due date with written explanation.</p> <p><b>FOREIGN:</b> Apply 10 days prior to due date</p>
K	Bar Codes (State or NAIC):	<p>NAIC Annual Statement Instructions (ASI). Required for all Hard Copies</p> <p><b>INABILITY TO READ BARCODE:</b> Document is considered not received</p> <p>Bar Codes are not required on Electronic Submissions</p>
L	Signed Jurat:	<p><b>FOREIGN</b> Signed Jurats should be emailed to: <a href="mailto:DOI_AnnualStatement@delaware.gov">DOI_AnnualStatement@delaware.gov</a></p> <p>The Department is <b>temporarily suspending the notarization requirements</b> for documents. This temporary suspension does not negate the need for notarization. Proper notarization will be required within 60 days of the end of the declared State of Emergency.</p>

			Please refer to <a href="#">Bulletin 117 Section III</a> regarding electronic signatures and notarization
	M	NONE Filings:	If no entries are to be made, write “None”, “Not Applicable” or “No Changes” to complete the item in accordance with the <i>NAIC Annual and Quarter Statement Instructions</i> . Blank items, i.e., schedules, interrogatory responses, supplemental compensation exhibit or Notes to the Financial Statements will not be considered properly filed.
	N	Filings new, discontinued or modified materially since last year:	Data Security Act affidavit requirement added
	O	Data Security Act requirements	<a href="#">18 Del. C. §8604 (i)(1)</a> - A written statement, certifying that the insurer is in compliance with the requirements of the Act / Affidavit must be emailed to <a href="mailto:doidatasecurity@delaware.gov">doidatasecurity@delaware.gov</a> <a href="#">Universally Applicable Bulletin No. 5 Data Security Act Affidavit</a>
	P	Statement Filing Fees:	Attach to Premium Tax report
	Q	Premium Tax report and payment:	Includes statement filing fees
	R	CD Rom in .pdf format must contain the following information: <ul style="list-style-type: none"> <li>• Complete Company Name</li> <li>• NAIC umber</li> <li>• Filing Period</li> <li>• Listing of Documents Included</li> </ul>	<a href="#">18 Del. C. §526(c)</a> The Commissioner may refuse to continue or may suspend or revoke the certificate of authority of any insurer failing to file its annual statement when due
	S	Form B & C - Insurance Holding Company System Annual Registration Statement	<b>FEE:</b> \$100.00 per Holding Company Group
	T	Form F - is required annually by holding company groups to lead state	<b>FEE:</b> None.
	U		
	V	Delivery Instructions <b>continued:</b>	<b>The Department requires filings in hardcopy.</b> However, <b>IF</b> the current health crisis prevents hard copies from being issued, the following process must be adhered to in order for DE to accept secure electronic submissions:

			<p>Company <b>must</b> register for a free secure Egress account via the following link:  <a href="https://switch.egress.com/ui/registration/AccountCreate.aspx">https://switch.egress.com/ui/registration/AccountCreate.aspx</a></p> <p><b>3/1</b> Electronic filings must be emailed to <b>BOTH</b>  <a href="mailto:laura.hufschmidt@delaware.gov">laura.hufschmidt@delaware.gov</a>  <b>and</b> <a href="mailto:sherry.wilson@delaware.gov">sherry.wilson@delaware.gov</a></p> <p><b>Filings due after 3/1</b> should be emailed to <a href="mailto:berg@delaware.gov">berg@delaware.gov</a></p> <p><b>Subject line</b> MUST read as follows to be considered received:  Due date of Filing(s), Full Company Name, NAIC#  (i.e. 3/1 Filings, Company Name, NAIC#)</p> <p><b>PDF's must be Bookmarked</b> ex:  - Key Annual Stmt pages  - Investment Annual Stmt pgs.  - Other Annual Stmt pgs.  - Stmt pgs. – RBC  - Actuarial Opinion</p>
	W	Biographical Affidavits – <u>UCAA Form 11</u>	<p><b>DOMESTIC:</b> Bios are required for all changes in Officers, Directors or Key Managerial Personnel and individuals with a 10%, or more, beneficial ownership in the Company</p> <p><b>FOREIGN: DO NOT FILE</b></p>

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

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

The *Quarterly Electronic Filing* includes the complete quarterly filing and the PDF files for all quarterly data.

The *Quarterly.PDF Filing* is the .pdf file 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 have chosen 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 the state 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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