

PROPERTY & CASUALTY INSURERS

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				
I. NAIC FINANCIAL STATEMENTS								
	1	Annual Statement (8 1/2" x 14")	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	
	3	Protected Cell Annual Statement	1+CD	0	xxx	3/1	NAIC	L, V
	4	Combined Annual Statement (8 1/2" x 14")	xxx	EO	xxx	5/1	NAIC	
II. NAIC SUPPLEMENTS								
	11	Accident & Health Policy Experience Exhibit	1+CD	EO	xxx	4/1	NAIC	
	12	Actuarial Opinion	2+CD	EO	xxx	3/1	Company	
	13	Actuarial Opinion Summary	2+CD	N/A	xxx	3/15	Company	
	14	Bail Bond Supplement	1+CD	EO	xxx	3/1	NAIC	
	15	Combined Insurance Expense Exhibit	1+CD	EO	xxx	5/1	NAIC	
	16	Credit Insurance Experience Exhibit	1+CD	EO	xxx	4/1	NAIC	
	17	Cybersecurity and Identity Theft Insurance Coverage Supplement	1+CD	EO	xxx	4/1	NAIC	
	18	Director and Officer Insurance Coverage Supplement	1	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	19	Financial Guaranty Insurance Exhibit	1+CD	EO	xxx	3/1	NAIC	
	20	Insurance Expense Exhibit	1+CD	EO	xxx	4/1	NAIC	
	21	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit	1+CD	EO	xxx	4/1	NAIC	
	22	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form	1+CD	EO	xxx	4/1	NAIC	
	23	Long-Term Care Experience Reporting Forms	1+CD	EO	xxx	4/1	NAIC	
	24	Management Discussion & Analysis	1+CD	EO	xxx	4/1	Company	
	25	Medicare Part D Coverage Supplement	1+CD	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	26	Medicare Supplement Insurance Experience Exhibit	1+CD	EO	xxx	3/1	NAIC	
	27	Premiums Attributed to Protected Cells Exhibit	1+CD	EO	xxx	3/1	NAIC	
	28	Private Flood Insurance Supplement	1+CD	EO	xxx	4/1	NAIC	
	29	Reinsurance Attestation Supplement	2+CD	EO	xxx	3/1	Company	
	30	Exceptions to Reinsurance Attestation Supplement	1	N/A	xxx	3/1	Company	
	31	Reinsurance Summary Supplemental	2+CD	EO	xxx	3/1	NAIC	
	32	Risk-Based Capital Report	1+CD	EO	xxx	3/1	NAIC	
	33	Schedule SIS	1+CD	N/A	N/A	3/1	NAIC	
	34	Supplement A to Schedule T	1+CD	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	35	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	
	36	Supplemental Health Care Exhibit (Parts 1, 2 and 3)	1+CD	EO	xxx	4/1	NAIC	
	37	Supplemental Health Care Exhibit's Allocation Report Supplement	1+CD	EO	xxx	4/1	NAIC	
	38	Supplemental Investment Risk Interrogatories	1+CD	EO	xxx	4/1	NAIC	
	39	Supplemental Schedule for Reinsurance Counterparty Reporting Exception – Asbestos and Pollution Contracts	1+CD	EO	xxx	3/1	NAIC	
	40	Trusted Surplus Statement	1+CD	EO	xxx	3/1, 5/15, 8/15, 11/15	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	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	Combined Annual Statement Electronic Filing	xxx	EO	xxx	5/1	NAIC	
	66	Combined Annual Statement .PDF Filing	xxx	EO	xxx	5/1	NAIC	
	67	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	

(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			
	68	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
	69	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	70	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	71	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	xxx	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	
	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	Relief from the five-year rotation requirement for lead audit partner	1	EO	xxx	3/1	Company	
	89	Relief from the one-year cooling off period for independent CPA	1	EO	xxx	3/1	Company	
	90	Relief from the Requirements for Audit Committees	1	EO	xxx	3/1	Company	
	91	Request to File Consolidated Audited Annual Statements	1	N/A	N/A		Company	U
	92	Request for Exemption to File Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A		Company	J
		V. STATE REQUIRED FILINGS***						
	101	Corporate Governance Annual Disclosure***	1+CD	0	xxx	6/1	Company	
	102	Form B-Holding Company Registration Statement	1+CD	0	xxx	6/1	Company	S
	103	Form F-Enterprise Risk Report ****	1+CD	0	xxx	6/1	Company	T
	104	ORSA *****	1+CD	0	xxx	12/1	Company	
	105	Premium Tax – DO NOT send with Annual Statement Filing		0			State	P, Q
	106	State Filing Fees -(Included with Premium Tax Report) DO NOT send with Annual Statement Filing		0			State	P, Q
	107	Signed Jurat	xxx	0	1	3/1	NAIC	L
	108	Data Security	1	0	0	2/15	State	N, O
	109							
	110							

*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 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. DO NOT send 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 Additional Delivery Instructions listed in Note “V”
	F	Late Filings:	18 Del. C. §526(c) 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 Bulletin 117 Section III regarding electronic signatures and notarization

H	Signature/Notarization/Certification:	<p>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</p> <p>The Department is temporarily suspending notarization requirements 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 Bulletin 117 Section III 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>DOMESTIC: Apply at least 30 days prior to due date with written explanation.</p> <p>FOREIGN: 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>INABILITY TO READ BARCODE: Document is considered not received</p> <p>Bar Codes are not required on Electronic Submissions</p>
L	Signed Jurat:	<p>FOREIGN Signed Jurats should be emailed to: DOI_AnnualStatement@delaware.gov</p> <p>The Department is temporarily suspending the notarization requirements for documents. This temporary suspension does not negate the need for notarization. Proper notarization will be required within 60 days</p>

			of the end of the declared State of Emergency. Please refer to Bulletin 117 Section III 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	18 Del. C. §8604 (i)(1) - A written statement, certifying that the insurer is in compliance with the requirements of the Act / Affidavit must be emailed to doidatasecurity@delaware.gov Universally Applicable Bulletin No. 5 Data Security Act Affidavit
	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"> • Complete Company Name • NAIC umber • Filing Period • Listing of Documents Included 	18 Del. C. §526(c) 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	FEE: \$100.00 per Holding Company Group
	T	Form F - is required annually by holding company groups to lead state	FEE: None.

	U	Request to File Consolidated Audited Annual Statements	Email to berg@delaware.gov ATTN: Director of Company Regulation
	V	Delivery Instructions continued :	<p>The Department requires filings in hardcopy. However, <u>IF</u> 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> <p>Company <u>must</u> register for a free secure Egress account via the following link: https://switch.egress.com/ui/registration/AccountCreate.aspx</p> <p>3/1 Electronic filings must be emailed to BOTH laura.hufschmidt@delaware.gov and sherry.wilson@delaware.gov</p> <p>Filings due after 3/1 should be emailed to berg@delaware.gov</p> <p>Subject line 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>PDF's must be Bookmarked 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>DOMESTIC: 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>FOREIGN: DO NOT FILE</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 Statement Electronic Filing** includes the complete quarterly statement data.

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

The **Combined Annual Statement Electronic Filing** includes the required pages of the combined annual statement and the combined Insurance Expense Exhibit.

The **Combined Annual Statement.PDF Filing** is the .pdf file for the Combined annual statement data and the combined Insurance Expense Exhibit.

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.

w:\qa\blanks\checklists\2020 filings made in 2021\3 propcklist_2020_filingsmade2021.docx