**TITLE COMPANIES**

**COMPANY NAME: NAIC Company Code:**

**Contact: Telephone:**

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

**FOREIGN/ALIEN COMPANIES SHOULD ONLY FILE THOSE SPECIFIC ITEMS NOTED AS REQUIRED IN THE FOREIGN COLUMN. PLEASE DO NOT FILE ITEMS NOT SPECIFICALLY REQUIRED.**

| (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 ½” x 14”) | 2 | EO | XXX | 3/1 | NAIC | A – M, Q |
|  | 1.1 | Printed Investment Schedule detail (Pages E01-E29) | 2 | EO | XXX | 3/1 | NAIC |  |
|  | 2 | Quarterly Financial Statement (8 ½” x 14”) | 2 | EO | XXX | 5/15, 8/15, 11/15 | NAIC | A – M, Q |
|  |  |  |  |  |  |  |  |  |
|  |  | **II. NAIC SUPPLEMENTS** |  | | | | | |
|  | 11 | Actuarial Opinion | 2 | EO | XXX | 3/1 | Company |  |
|  | 12 | Investment Risk Interrogatories | 2 | EO | XXX | 4/1 | NAIC |  |
|  | 13 | Management Discussion & Analysis | 2 | EO | XXX | 4/1 | Company |  |
|  | 14 | Schedule SIS | 2 | N/A | N/A | 3/1 | NAIC |  |
|  | 15 | Supplemental Compensation Exhibit | 2 | N/A | N/A | 3/1 | NAIC | O |
|  | 16 | Supplemental Schedule of Business Written by Agency | XXX | 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 | 2 | EO | N/A | 6/1 | Company | R |
|  | 82 | Audited Financial Reports | 2 | EO | XXX | 6/1 | Company | R |
|  | 83 | Audited Financial Reports Exemption Affidavit | 0 | N/A | N/A |  | Company | R |
|  | 84 | Communication of Internal Control Related Matters Noted in Audit | 2 | EO | XXX | 8/1 | Company | R |
|  | 85 | Independent CPA (change) | 1 | N/A | N/A |  | Company | R |
|  | 86 | Management’s Report of Internal Control Over Financial Reporting | 1 | N/A | N/A | 8/1 | Company | R |
|  | 87 | Notification of Adverse Financial Condition | 2 | N/A | N/A |  | Company | R |
|  | 88 | Request for Exemption to File | 1 | N/A | N/A |  | Company | R |
|  | 89 | Relief from the five-year rotation requirement for lead audit partner | 1 | EO | N/A | 3/1 | Company | R |
|  | 90 | Relief from the one-year cooling off period for independent CPA | 1 | EO | N/A | 3/1 | Company | R |
|  | 91 | Relief from the Requirements for Audit Committees | 1 | EO | N/A | 3/1 | Company | R |
|  |  |  |  |  |  |  |  |  |
|  |  | **V. STATE REQUIRED FILINGS\*\*\*** |  | | | | | |
|  | 101 | Corporate Governance Annual Disclosure\*\*\* | 0 | N/A | XXX | 6/1 | Company | Z |
|  | 102 | Filings Checklist (with Column 1 completed) | 0 | N/A | N/A |  | State |  |
|  | 103 | Form B-Holding Company Registration Statement | 1 | 0 | N/A | 3/31 | Company | U |
|  | 104 | Form F-Enterprise Risk Report \*\*\* | 1 | 0 | N/A | 3/31 | Company | U |
|  | 105 | ORSA \*\*\*\* | 1 | 0 | N/A |  | Company | N |
|  | 106 | State Filing Fees | 1 | N/A | 1 | Invoiced | State | C |
|  | 107 | Signed Jurat | XXX | 0 | 1 | 3/1 | NAIC | G, H, I, M |
|  | 108 | ORSA Summary Report Notice of Filing | 1 | 0 | N/A | 6/1 | Company | N |
|  | 109 | Accountant’s “Awareness” Letter | 1 | 0 | N/A |  | Company | R |
|  | 110 | Exemption from Prohibited Non-Auditing Services | 1 | 0 | N/A | 6/1 | Company | R |
|  | 111 | Request to Extension to Filing | 1 | 0 | N/A | 5/21 | Company | R |
|  | 112 | Biographical Affidavits | 1 | 0 | N/A |  | NAIC | V |
|  | 113 | Certificate of Advertising Compliance | 1 | 0 | 1 | 3/1 | Company | W |
|  | 114 | Changes in Governance | 1 | 0 | 1 |  | Company | X |
|  | 115 | Notification of Address Changes | 1 | 0 | 1 |  | NAIC | Y |
|  | 116 | Legal Entity Grid | 1 | 0 | N/A | 7/1 | State | U |
|  | 117 | Premium Tax **Do Not file with the Insurance Department** | See Note D | 0 | See Note D |  | State | D |
|  | 118 | Certification of Broker Controlled Insurers | 1 | 0 | N/A | 4/1 | State | BB |

**\*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>

FOREIGN/ALIEN COMPANIES SHOULD ONLY FILE THOSE SPECIFIC ITEMS NOTED AS REQUIRED IN THE FOREIGN COLUMN. PLEASE DO NOT FILE ITEMS NOT SPECIFICALLY REQUIRED.

**Check the *2019 NAIC Annual Statement Instructions* as well as the *2020 NAIC Quarterly Statement Instructions* for new additions and changes. A summary of Adopted Modifications to Financial Statements & Instructions can be accessed at** <http://www.naic.org/cmte_e_app_blanks_related_adopted_mods.htm>

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **NOTES AND INSTRUCTIONS (A-M, Q APPLY TO ALL FILINGS)** | |
|  | A | Required Filings Contact Person: | Title Companies  Financial Analysis Division  Phone: 717.787.3952  E-Mail : [ra-in-analysis@pa.gov](mailto:ra-in-analysis@pa.gov) |
|  | B | Mailing Address: | **State:** Title Companies **NAIC:** NAIC Data Base  Financial Analysis Division 1100 Walnut Street, Suite 1500  Pennsylvania Insurance Department Kansas City, MO 64106-2197  1345 Strawberry Square Phone: 816.783.8600  Harrisburg, PA 17120 |
|  | C | Mailing Address for Filing Fees: | **IMPORTANT: YOU WILL RECEIVE AN INVOICE IN EARLY APRIL FOR APPLICABLE ANNUAL STATEMENT/LICENSE RENEWAL FEES. DO NOT REMIT PAYMENT PRIOR TO RECEIVING YOUR INVOICE. The invoice payments are processed through a lockbox, please send your payments to the address on the invoice, not directly to the Insurance Department, or any of the addresses on this checklist.**  There is a $750 Annual Statement filing fee. The invoice for **Foreign/Alien** companies will include a $100 fee for the renewal of your Certificate of Authority.  **The Pennsylvania Insurance Department no longer mails renewal Certificates of Authority. Annual renewal invoices will contain instructions for on-line printing of the insurer’s renewed Certificate of Authority.**  **To minimize returned checks, additional fees, and other problems, please take note of the following instructions:**   1. **Return a copy of the invoice(s) with payment.** 2. **Send payment to the Revenue address listed on the invoice**, **not** any of the addresses on this checklist. 3. Make checks payable to the **“Commonwealth of Pennsylvania.”**   Questions regarding the filing fees:  Cressinda Bybee, Chief  Company Licensing Division  E-Mail: [ra-in-companylicense@pa.gov](mailto:ra-in-companylicense@pa.gov)  Phone at 717.783.2144 |
|  | D | Mailing Address for Premium Tax Payments: | **Do not send premium tax filing to the Pennsylvania Insurance Department**.  Please see: <http://www.revenue.pa.gov> or email: [ra-rv-specialtytax@pa.gov](mailto:ra-rv-specialtytax@pa.gov)  **Foreign/Alien Insurers**: Please note that the Department must receive a copy of the Annual Statement Jurat Page on or before March 1. Receipt of the Jurat Page by the Pennsylvania Department of Revenue does not satisfy filing requirements with the Department. Filings received by the Department after March 1 will be penalized as authorized by law. 40 P.S. § 443(e)(1) and 40 P.S. § 991.1410 – not to exceed $200 per day. |
|  | E | Delivery Instructions: | All filings must be postmarked no later than the indicated due date. If the due date falls on a weekend or holiday, the deadline is extended to the next business day. The Department accepts delivery from all commercial and private carriers in addition to the U. S. Post Office.  **Foreign/Alien Insurers**: Receipt of the Jurat Page by the Pennsylvania Department of Revenue does not satisfy the filing requirements with the Department. Late filings will be penalized as authorized by law. 40 P.S. §443(e)(1) and 40 P.S. § 991.1410 – not to exceed $200 per day. |
|  | F | Late Filings: | Late filings will be penalized as authorized by law. 40 P.S. §443(e)(1) and 40 P.S. § 991.1410 – not to exceed $200 per day. |
|  | G | Original Signatures: | **Domestic Insurers**: At least one hard copy financial statement filing must contain original signatures of the officers (identified in note H below) and the notary. For the second hard copy, a photocopy of the original signed Jurat Page is permitted.  **Foreign/Alien Insurers**: A photocopy of the original signed Jurat Page is permitted.  **All Insurers**: Financial statement filings may not carry stamped facsimile signatures. |
|  | H | Signature/Notarization/Certification: | The following three Officers, or a person(s) performing similar functions, of Pennsylvania domiciled insurers are required to certify, on the Jurat Page, Quarterly and Annual Financial Statements filed with Pennsylvania Insurance Department, NAIC and other states:  1)  Chief Executive Officer  2)  Chief Financial Officer  3)  Corporate Secretary   * If your organization does not utilize the above titles, please notify the Financial Analysis Division and explain how the positions of the individuals who sign your financial statement perform similar functions to a CEO (President), CFO (Treasurer) or Secretary. * Individuals performing the duties of both CFO and Secretary must sign separately under each title. * Appropriate notarization is required. * The name and address of any consulting person or organization who participated in the preparation of the annual statement must be noted on the Jurat Page of the statement. * PA has no requirements that individuals must be listed in the “Other” category.   **Foreign/Alien Insurers**: A photocopy of the original signed Jurat Page is permitted. If your domestic state accepts less than three signatures on the Jurat Page, please provide proof of this with your submission to PA. |
|  | I | Amended Filings: | * Domestic company amended items must be filed with Pennsylvania and the NAIC. Amendments are to be filed along with a letter of explanation for each amended item and a statement as to what impact the amendments had on the year end Risk Based Capital Report. Only the amended pages should be filed. * If any amendments are determined by the company to impact the results of the RBC calculation as reported on the Five Year Historical page of the annual statement, then a revised RBC report must be filed along with an amended Five Year Historical page with Pennsylvania and the NAIC. * A new Jurat page completed in all respects, must accompany all amendments. Signature requirements for the original filing noted above in Notes G and H should be followed for any amendment. * **FOREIGN/ALIEN INSURERS SHOULD NOT FILE AMENDED JURAT PAGES WITH THE DEPARTMENT**. |
|  | J | Exceptions from normal filings: | Please note that there is no provision in the insurance laws of Pennsylvania that permit granting an extension for the filing of the annual or quarterly statements. |
|  | K | Bar Codes (State or NAIC): | Required for PA and NAIC filings. Please follow the instructions in the *NAIC Annual Statement Instructions*. |
|  | L | NONE Filings | Blank items, i.e., schedules, interrogatory responses, supplemental compensation exhibit or Notes to the Financial Statements will not be considered properly filed. If no entries are to be made, write “None”, “Not Applicable” or “No Changes” to complete the item in accordance with the NAIC Annual and Quarterly Statement Instructions. |
|  | M | Vendors for Blanks | The NAIC provides a list of vendors of annual, quarterly and risk-based capital software  vendors at: <http://www.naic.org/industry_filing_participation_vendors.htm>  The Department does not endorse or promote any individual private software vendor. |
|  | N | ORSA | If you are required to file the ORSA, you must notify the Department of the expected filing date by 6/1 (pursuant to 40 P.S. § 991.2605). The Department policy is that the ORSA is to be filed no later than 10/1. For guidance in preparing the ORSA see the “ORSA Guidance Manual” at <https://www.naic.org/documents/prod_serv_fin_recievership_ORSA-2014.pdf> . |
|  | O | Supplemental Compensation Exhibit | Part 1, Part 2 and Part 3, follow the NAIC Annual Statement Instructions.  Part 2 modification ONLY for Pennsylvania domestic insurers that are licensed in Pennsylvania only and had total direct written premiums of less than $2,000,000 in 2018:  Insurers shall disclose the compensation of:   1. The chief executive officer, 2. Up to four additional persons, regardless of amount, in the following sequence:    1. Remaining officers whose compensation is not limited to a de minimis fee for attendance at meetings of the board of directors,    2. Non-officer employees whose compensation exceeds $35,000 annually.   Not filing this exhibit, or filing this exhibit marked NONE is not acceptable |
|  | P | Actuarial Opinion Summary | In addition to Statements of Actuarial Opinion filed with annual financial statements on or before March 1 each year, the *NAIC Annual Statement Instructions* require the filing of an Actuarial Opinion Summary (AOS) by March 15. Pennsylvania requires two copies to be filed. The AOS will be maintained as confidential by the Department under 40 P.S. § 443. The AOS should be sent separately from the Statement of Actuarial Opinion and clearly marked “Confidential”. The documents, materials or other information prepared or provided by an insurance company, association or exchange solely in support of the statement of actuarial opinion filed under this chapter, including actuarial reports, work papers or actuarial opinion summaries and other material solely prepared by the insurance company, association or exchange for the purpose of providing it to the Department in connection with actuarial reports, work papers or actuarial opinion summaries are treated as confidential and privileged as provided under 40 P.S. § 443.  The AOS must be prepared as prescribed by the instructions including but not limited to:   * + the actuary’s range of reasonable estimates and/or point estimates for loss and loss adjustment expense reserves,   + the difference between the insurer’s carried reserves and the point estimate and/or range of reasonable estimates and   + an explanation of any exceptional adverse development. |
|  | Q | Resources Available from NAIC | Detailed guidance on accessing various resources available from the NAIC to assist in filing accurate statements can be found at [Accounting and Reporting Resources.](https://www.insurance.pa.gov/Companies/FilingRequire/Documents/A%20and%20R%20Related%20Resources%20kar.pdf) |
|  | R | Audit/Internal Control Related Reports | Notes related to Section IV have been consolidated into a separate memo found under Companies (a drop down near top right), Filing Requirements, Title, and then select [Audit/Internal Control Related Reports](https://www.insurance.pa.gov/Companies/FilingRequire/Documents/CPA%20Notes%20Letter%20020618.pdf). |
|  | T | Reinsurance Summary Supplemental | The Reinsurance Summary Supplemental should only be filed if General Interrogatory, Part 2, Number 9.1, 9.2 and/or 9.4 is answered “Yes”. |
|  | U | Annual & Other Holding Company Requirements | Companies subject to the Holding Company Registration Act can find forms on the Department’s website at [Holding Company Related Forms.](https://www.insurance.pa.gov/Companies/FilingRequire/Pages/Holding-Company-Related.aspx) |
|  | V | Biographical Affidavits:  Bio Form | Bios should not be filed by Foreign/Alien companies who have filed with their state of domicile.  We require all pages of the NAIC biographical affidavit to be completed. Incomplete affidavits will be considered unfiled. All bios should be updated for current officers and directors at the time any of the information changes.  Bios for domestic companies must be filed in the original and kept current for Officers and Directors.  For domestic companies, the Department requires original bios to be filed for all Officers and Directors listed on Jurat page:   * When a new Officer or Director is named. * When the information of any current officer and/or director changes. * When the last bio filed with the Department is five years old.   <http://www.naic.org/documents/industry_ucaa_form11.pdf> |
|  | W | Certificate of Advertising Compliance | In reference to advertising, 31 Pa. Code § 51.5 provides that each company that is required to file an annual statement shall file with the Department a Certificate of Compliance stating that the advertisements disseminated by the Company complied with or were made to comply in all respects with provisions of PA insurance laws and regulations.  The Certificate must be executed by an authorized officer of the company.  **Keep in mind there is no standard form for the Certificate provided by the Pennsylvania Insurance Department. Companies should submit their Certificates of Compliance on Company authorized letterhead.** Certificates should be sent directly to:  Jeffrey Arnold, Chief  Division of Market Analysis  Pennsylvania Insurance Department  1321 Strawberry Square  Harrisburg, PA 17120  Phone: 717.783.0660  E-Mail: [jearnold@pa.gov](mailto:jearnold@pa.gov) |
|  | X | Changes in Governance | If there has been any changes made during the year in the bylaws or Articles of Incorporations of the reporting entity submit these changes to the Department addressed to:  Cressinda Bybee, Chief  Company Licensing Division  1345 Strawberry Square  Harrisburg, PA 17120  Phone: 717.783.2144  E-Mail: [cbybee@pa.gov](mailto:cbybee@pa.gov)  There is a filing fee of $300 for restating or amending the Articles of Incorporation, no filing fee for changes to the bylaws. Note that amendments to the Articles of Incorporation require the prior approval of the Insurance Department (e.g. Name Change, recapitalization, etc.). Amended bylaws of some domestic Insurers require prior approval of the Insurance Department pursuant to 40 P.S. §991.2422(b) and 40 Pa. C.S.A. § 6328.  **Foreign/Alien Insurers are only required to file restated or amended Articles of Incorporation. Foreign/Alien Insurers should not filed amended bylaws.** |
|  | Y | Notification of Address Changes | Whenever a company has a change in Statutory Home Office or Mailing Address a form must be completed and submitted to enable us to update our records. Please complete the applicable NAIC UCAA Form (2c or 14) <https://www.naic.org/industry_ucaa.htm> and file electronically through the UCAA system or email to:  Cressinda Bybee, Chief  Company Licensing Division  E-Mail: [cbybee@pa.gov](mailto:cbybee@pa.gov) |
|  | Z | Corporate Governance Annual Disclosure (CGAD) | The first PA CGAD filing due date is June 1, 2020. There is no separate regulation in PA. See 40 Pa. CS §3901 et al.  <https://www.insurance.pa.gov/Companies/FilingRequire/Documents/CGAD%20posted%20to%20website.pdf> |
|  | AA | Certificates of Compliance and Deposit | Domestic insurers may request Certificates of Compliance.  Domestic insurers with securities on deposit with the Commonwealth of Pennsylvania may request Certificates of Deposit.  The cost is **$20 per certificate**.  The Department requires **payment in advance** in the form of a check payable to the “**Commonwealth of Pennsylvania**.”  The Department will not invoice you for the certificates.  A cover letter should accompany your payment and should include the following details:   * Company name * NAIC number * Certificate type(s) requested * Number of certificates requested * Date that you would like the certificates prepared “as of” (note:  the date of receipt of the request will be used by the Department unless another date acceptable to the Department is requested by the company) * Mailing address for the certificates (note:  special return delivery is available if a UPS account number is included with your request)   **Requests should be addressed to:**  Cressinda Bybee, Chief  Company Licensing Division  1345 Strawberry Square  Harrisburg, PA  17120  Phone:  717.783.2144  E-Mail: [ra-in-companylicense@pa.gov](mailto:ra-in-companylicense@pa.gov) |
|  | BB | Certification of Broker Controlled Insurers | Every **domestic** property and casualty insurer licensed to transact business in Pennsylvania is required to review Article XIII of the Insurance Company Law (40 P.S. §§ 991.1301-1305) to determine if it is subject to the provisions of that article which sets forth the requirements that must be met by broker controlled property and casualty insurers. The Department requests that you use a printable form available under **Companies** (a drop down near top right), **Filing Requirements**, **Property & Casualty**, then clicking [Broker Controlled P&C Insurers](https://www.insurance.pa.gov/Companies/FilingRequire/Documents/brokerfm.pdf).  Please be advised that each **domestic** company subject to the law’s requirements must complete and file a certification form and actuarial opinion on or before April 1st of each year. |

**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.