

## HEALTH ENTITIES

COMPANY NAME: \_\_\_\_\_ NAIC Company Code: \_\_\_\_\_  
 Contact: \_\_\_\_\_ Telephone: \_\_\_\_\_  
 REQUIRED FILINGS IN THE STATE OF: \_\_\_\_\_ Filings Made During the Year 2010

(1) Check- list	(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")	3 + CD	EO	CD, Signed Jurat Page	3/1	NAIC	L & M
	1.1	Printed Investment Schedule detail (Pages E01-E27)	1 + CD	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2 + CD	EO	xxx	5/15, 8/15, 11/15	NAIC	M
<b>II. NAIC SUPPLEMENTS</b>								
	10	Accident & Health Policy Experience Exhibit	1 + CD	EO	CD	4/1	NAIC	
	11	Actuarial Opinion	3 + CD	EO	CD	3/1	Company	
	12	Investment Risk Interrogatories	1 + CD	EO	xxx	4/1	NAIC	
	13	Life Supplemental Data due March 1	3+ CD	EO	xxx	3/1	NAIC	
	14	Life Supp Statement non-guaranteed elements –Exh 5, Int. #3	1 + CD	EO	xxx	3/1	Company	
	15	Life Supp Statement on par/non-par policies – Exh 5 Int. 1.1	1 + CD	EO	xxx	3/1	Company	
	16	Life Supplemental Data due April 1	3 + CD	EO	xxx	4/1	NAIC	
	17	Long-term Care Experience Reporting Forms	1 + CD	EO	xxx	4/1	NAIC	
	18	Management Discussion & Analysis	1 + CD	EO	CD	4/1	Company	
	19	Medicare Supplement Insurance Experience Exhibit	1 + CD	EO	xxx	3/1	NAIC	
	20	Medicare Part D Coverage Supplement	1 + CD	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	21	Property/Casualty Supplement due March 1	3 + CD	EO	xxx	3/1	NAIC	
	22	Property/Casualty Supplement due April 1	3 + CD	EO	xxx	4/1	NAIC	
	23	Risk-Based Capital Report	1 + CD	EO	xxx	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	
<b>III. ELECTRONIC FILING REQUIREMENTS</b>								
	50	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	51	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	52	Risk-Based Capital Electronic Filing	xxx	1	N/A	3/1	NAIC	
	53	Risk-Based Capital .PDF Filing	xxx	1	N/A	3/1	NAIC	
	54	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	55	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	56	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
	57	Quarterly Electronic Filing	xxx	1	xzx	5/15, 8/15, 11/15	NAIC	
	58	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
<b>IV. AUDITED FINANCIAL STATEMENTS</b>								
	71	Accountants Letter of Qualifications	1	EO	N/A	6/1	NAIC	
	72	Audited Financial Statements	1 + CD	EO	xxx	6/1	Company	
	73	Audited Financial Statements Exemption Affidavit	1	N/A	N/A		Company	
	74	Independent CPA	1	N/A	N/A		Company	P
	75	Notification of Adverse Financial Condition	1	N/A	N/A		Company	
	76	Report of Significant Deficiencies in Internal Controls	1	N/A	N/A		Company	
	77	Request for Exemption to File	1	N/A	N/A		Company	
<b>V. STATE REQUIRED FILINGS</b>								
	101	Certificate of Compliance	0	0	1		State	
	102	Certificate of Deposit	0	0	1		State	
	103	Filings Checklist (with Column 1 completed)	0	0	0		State	
	104	Premium tax	1	0	1	3/1	State	D & T
	105	State Filing Fees (included in Premium Tax Calculation). <b>DO NOT send with Annual Statement</b>	100.00	0	100.00	3/1	State	C & S
	106	Signed Jurat	3	Xxx	1	3/1	NAIC	M
	107							
	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.

1/12/10

	<b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>	
A	Required Filings Contact Person:	Annual Statement – Sonia Harris <a href="mailto:sonia.harris@state.de.us">sonia.harris@state.de.us</a> (302) 674-7339 Premium Taxes – Ann Fletcher <a href="mailto:ann.fletcher@state.de.us">ann.fletcher@state.de.us</a> (302) 674-7383
B	Mailing Address:	841 Silver Lake Blvd Dover, DE 19904
C	Mailing Address for Filing Fees:	<b>Fees are included in the calculation of Premium Taxes. DO NOT send the fee payment with the Annual Statement.</b>
D	Mailing Address for Premium Tax Payments:	All companies are encouraged to use OPTins to file Premium Taxes and fees electronically. Click <a href="#">here</a> for OPTins.
E	Delivery Instructions:	<b>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.</b>
F	Late Filings:	May be subject to a \$100/day administrative penalty for late or incomplete filing per 18 Del.C.§329; \$1,000.00/day Supp A to Ached T late filing penalty per Del.C.§526a. <b>Company's licensed may be suspended if the annual statement is received more than 30 days late.</b>
G	Original Signatures:	Required on all domestic and foreign Jurat Page.
H	Signature/Notarization/Certification:	Officers to sign: President, Treasurer & Secretary.
I	Amended Filings:	File within 10 days of Amendment with explanation. Signature requirements for the original filing and same should be followed for any amendment.
J	Exceptions from normal filings:	<b>Domestic:</b> apply at least 30 days prior to due date with written explanation. <b>Foreign:</b> apply 10 days prior to due date with written explanation.
K	Bar Codes (State or NAIC):	NAIC Annual Statement Instructions (ASI). <b>Inability to read barcode - the document is considered not received. May be subject to a \$100.00 administrative penalty for late filing.</b>
L	CD Rom in PDF format must contain the following information: <ul style="list-style-type: none"> <li>• Complete Company name</li> <li>• NAIC number</li> <li>• Filing period</li> <li>• Listing of documents included</li> </ul>	<b>PENALTY:</b> a fine of \$100.00 per day may be levied for late or improperly submitted statement filings.

	M	Signed Jurat:	Foreign companies-annual filing only. <b>Foreign companies are not required to file Quarterly Statements.</b>
	N	None Filings:	NAIC ASI for Supplemental Interrogatories. Exceptions to these instructions are noted on the form.
	O	Filings new, discontinued or modified materially since last year:	N/A
	P	Designation of CPA:	Send if information changes.
	Q	Combined Statements:	Send if requested.
	R	Audited Financial Report:	Foreign companies send if requested.
	S	Statement Filing Fees:	Attach to Premium Tax Report.
	T	Premium Tax Report and Payment	Includes Statement Filing Fees.

**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 include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes 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 *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 (E) 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 (EX4) 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.