

GENERAL INSTRUCTIONS

For States to Complete Checklist

Each checklist is divided into five sections. The first section contains the major NAIC filings. The second section lists all of the NAIC supplements, whether they are to be bound into the statement or not. The third section lists items to be filed electronically with the NAIC. The fourth section is a list of all of the filings related to the audited financial statements. The fifth section lists state-specific filing requirements. The items in the first three sections should remain in the same order as the examples. This will enable companies to locate common information about a particular filing from each state. Finally, there is a section of notes to the instructions. The purpose of the Notes is to provide companies with state-specific information in a standard format. You may require more notes than provided; however, **the first notes should remain in the same order and format for each state**. Each state-specific note should contain state-specific instructions where any state deviates from specific NAIC instructions. The state should mail the company instructions to companies along with the checklist or post these instructions to its web site.

Please Note: **Your state's requirements for companies to file with the NAIC should be incorporated into this Checklist.**

Column (1) (Checklist)

This column provides the company a method for marking completed forms or filings.

Column (2) (Line #)

Refers to a standard filing number used for easy reference and which may change from year to year. States may expand the State Required Filings Section to include up to 100 filings required by any individual state.

Column (3) (Required Filings)

Name of item or form to be filed. Please alphabetize each section. Please note that the items shown under "State Required Filings" may not apply to your state. The items included are those that a significant number of states require.

If your state requires a Holding Company Registration Statement, please add it to the "State Required Filings" section of the checklist.

If more than one state page is required from each company, please insert this requirement under "State Required Filings." Likewise, if your state requires the Risk-Based Capital from your domestic companies to be filed with you in addition to companies filing this with the NAIC, please insert this requirement under "State Required Filings."

The 1999 *Annual Statement Instructions* were modified to waive paper filings of certain NAIC supplements (those supplements previously included in the Electronic Filing Pilot Project) and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists have been modified to 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. If you are deviating from the *Annual Statement Instructions* and wish to have these items filed in hard copy with your department, you should remove XXX from this column and insert the number of copies required. You should also make a note to companies that an additional copy is not required if these schedules are bound in the Annual Statement.

Column (4) (Number of Copies)

This column indicates the number of copies that a foreign or domestic company is required to file for each type of form. The 1999 *Annual Statement Instructions* were modified to exclude the requirement for filing paper copies of investment schedules from foreign companies if the data is captured on the NAIC database. The 1999 *Annual Statement Instructions* were modified to include the supplements that were part of the Electronic Filing Pilot. An XXX appears in the foreign column, if the schedule or supplement is included in either of these instructions. If you require paper copies of these schedules or supplements, you should remove XXX from this column and insert the number of copies required. An N/A appears in this column if the filing is only required with the state of domicile according to the NAIC *Annual Statement Instructions*. This does not preclude any state from requesting these documents from any company. If you wish to request the documents, simply remove the XXX or N/A and insert the number of copies that you require.

Column (5) (Due Date)

Due Date indicates the date that a filing is required with the state insurance regulatory authority. If you do not require a specific filing, please replace the date with XXX. Use Note E to explain any other filing instructions regarding due dates.

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*. Insert a "#" sign after the form source where the state has changed the requirements since last year or the item is a new NAIC blank. Do not insert a "#" sign if the NAIC blank has changed, as this would lead to many "#" signs, making its use somewhat meaningless.

Column (7) (Applicable Notes)

This column contains references to the Notes and Instructions that apply to each item. However, Notes A-K apply to all filings.

Item 54

Insert specific instructions related to appointment or change in Independent CPA.