

TITLE COMPANIES

COMPANY NAME: _____ NAIC Company Code: _____
 Contact: _____ Telephone: _____
 REQUIRED FILINGS IN THE STATE OF: _____ Filings Made During the Year 2012

(1) Check- List	(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 1/2" x 14")	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
II. NAIC SUPPLEMENTS								
	11	Actuarial Opinion	3 + CD	EO	xxx	3/1	Company	
	12	Investment Risk Interrogatories	1 + CD	EO	xxx	4/1	NAIC	
	13	Management Discussion & Analysis	1 + CD	EO	xxx	4/1	Company	L
	14	Schedule SIS	1 + CD	N/A	N/A	3/1	NAIC	
	15	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	
	16	Supplemental Schedule of Business Written By Agency	1 + CD	EO	xxx	4/1	NAIC	
III. ELECTRONIC FILING REQUIREMENTS								
	50	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	51	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	52	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	53	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	54	Quarterly Statement Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	55	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	56	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
	71	Accountants Letter of Qualifications	1	EO	N/A	6/1	Company	
	72	Audited Financial Reports	1 + CD	EO		6/1	Company	R
	73	Audited Financial Reports Exemption Affidavit	1	N/A	N/A		Company	
	74	Communication of Internal Control Related Matters Noted in Audit	1	N/A	N/A	8/1	Company	
	75	Independent CPA (change)	1	N/A	N/A		Company	P
	76	Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1	Company	
	77	Notification of Adverse Financial Condition	1	N/A	N/A		Company	
	78	Report of Significant Deficiencies in Internal Controls	1	N/A	N/A		Company	
	79	Request for Exemption to File	1	N/A	N/A		Company	
V. STATE REQUIRED FILINGS								
	101	Certificate of Compliance	0	0	1	3/1	State	
	102	Certificate of Deposit	0	0	1	3/1	State	
	103	Filings Checklist (with Column 1 completed)	0	0	0		NAIC	
	104	Premium Tax (DO NOT SEND WITH ANNUAL STATEMENT FILING)				3/1		D & T
	105	State Filing Fee (included with tax report) DO NOT INCLUDE WITH ANNUAL STATEMENT FILING				3/1		C & S
	106	Regulation 303	1	0	1	5/1		U
	107	Schedule T	xxxx	N/A	1	3/1	NAIC	

*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.

Revised 2/17/11

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
A	Required Filings Contact Person:	Annual Statement-Sonia Harris sonia.harris@state.de.us (302) 674-7339 Premium Taxes-Ann Fletcher ann.fletcher@state.de.us (302)674-7383	
B	Mailing Address:	841 Silver Lake Blvd Dover DE 19904	
C	Mailing Address for Filing Fees Only :	Fees are included in the calculation of premium taxes. Do not send the fee payment with the Annual Statement.	
D	Mailing Address for Premium Tax Payments:	All Companies are encouraged to use OPTins to file Premium Taxes and fees electronically. Click here for OPTins. If not using OPTins, use mailing address in Note B above. DO NOT include premium tax forms and payment in the annual statement package.	
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.	
F	Late Filings:	May be subject to a \$100/day administrative penalty for late or incomplete filing per 18 Del. C. §526a. Company's license may be suspended if the annual statement is received more than 30 days late.	
G	Original Signatures:	Required on all domestic and foreign.	
H	Signature/Notarization/Certification:	Officers to sign: President, Treasurer & Secretary.	
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:		Domestic: apply at least 30 days prior to due date with written explanation. Foreign: apply 10 days prior to due date (received).
K	BarCodes (State or NAIC):		NAIC Annual Statement Instructions (ASI). Inability to read barcode-the document is considered not received. May be subject to a \$100.00 administrative penalty for late filing. Barcodes are not required on Premium Tax Forms.
L	CD Rom in PDF format must contain the following information: <ul style="list-style-type: none"> • Complete Company name • NAIC number • Filing period • Listing of Documents included 		PENALTY: a fine of \$100.00 per day may be levied for late or improperly submitted statement filings.
M	Signed Jurat		For foreign companies-annual filing only. Foreign companies are not required to file Quarterly Statement.
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:		No longer required: Listings of new Reinsurers
P	Designation of CPA:		Send if information changes.
Q	Combined Statements:		Send if requested.
R	Audited Financial Report: Risk Based Capital 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.
	U	Regulation 303	Pursuant to 18 <u>Del. C.</u> §526A and Regulation 303, licensed Property & Casualty and Title companies are obligated to file with the Department of Insurance on or before May 1, 2011 data based on premium levels. The premium levels may be found on the Department's website after April 1, 2011. An Affidavit of Exemption is required to be filed by May 1, 2011 if direct premiums earned are less than the levels listed.

**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 investments schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The *March .PDF Filing* is .pdf files for annual statement data, detail for investment schedules and supplements due March 1.

The *Separate Accounts Electronic Filing* includes the separate accounts annual statement and investment schedule detail.

The *Separate Accounts .PDF Filing* is the .pdf file for the separate accounts annual statement and investment schedule detail.

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 (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 (E) 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 website). 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.

