

## HEALTH ENTITIES

COMPANY NAME: \_\_\_\_\_ NAIC Company Code: \_\_\_\_\_

Contact: \_\_\_\_\_ Telephone: \_\_\_\_\_

REQUIRED FILINGS IN THE STATE OF: \_\_\_\_\_ Filings Made During the Year 2017

(1) Checklist	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) APPLICABLE NOTES
			Domestic		Foreign		
			State	NAIC	State		
<b>I. NAIC FINANCIAL STATEMENTS</b>							
	1	Annual Statement (8 1/2"X14")	2	EO	xxx	3/1	A-O, T,V,X, Z
	1.1	Printed Investment Schedule detail (Pages E01-E27)	2	EO	xxx	3/1	A-O, T, V, Z
	2	Quarterly Financial Statement (8 1/2" x 14")	1	EO	xxx	5/15, 8/15, 11/15	A, B, E-O, R, Z
<b>II. NAIC SUPPLEMENTS</b>							
	11	Accident & Health Policy Experience Exhibit	1	EO	xxx	4/1	A,B,E,F,I,J,M,O
	12	Actuarial Opinion	2	EO	xxx	3/1	A,B,E,F,I,J,M,Q
	13	Life Supplemental Data due March 1	1	EO	xxx	3/1	A,B,E,F,I,J,M,O
	14	Life Supplemental Data due April 1	1	EO	xxx	4/1	A,B,E,F,I,J,M,O
	15	Life Supp Statement non-guaranteed elements – Exh 5, Int. #3	1	EO	xxx	3/1	A,B,E,F,I,J,M,O
	16	Life Supp Statement on par/non-par policies – Exh 5 Int. 1&2	1	EO	xxx	3/1	A,B,E,F,I,J,M,O
	17	Long-Term Care Experience Reporting Forms	1	EO	xxx	4/1	A,B,E,F,I,J,M,O
	18	Management Discussion & Analysis	1	EO	xxx	4/1	A,B,E,F,I,Q,U
	19	Medicare Part D Coverage Supplement	1	EO	xxx	3/1, 5/15, 8/15, 11/15	A,B,E,F,I,J,M,O
	20	Medicare Supplement Insurance Experience Exhibit	1	EO	xxx	3/1	A,B,E,F,I,J,M,O
	21	Property/Casualty Supplement due March 1	1	EO	xxx	3/1	A,B,E,F,I,J,M,O
	22	Property/Casualty Supplement due April 1	1	EO	xxx	4/1	A,B,E,F,I,J,M,O
	23	Risk-Based Capital Report	1	EO	xxx	3/1	A,B,E,F,I,M,O,R, T
	24	Schedule SIS	1	N/A	N/A	3/1	A,B,E,F,I,J,M,O
	25	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	A,B,E,F,I,J,M,O,R
	26	Supplemental Health Care Exhibit (Parts 1, 2 and 3)	1	EO	xxx	4/1	A,B,E,F,I,J,M,O
	27	Supplemental Health Care Exhibit's Allocation Report	1	EO	xxx	4/1	A,B,E,F,I,J,M,O
	28	Supplemental Investment Risk Interrogatories	1	EO	xxx	4/1	A,B,E,F,I,M,O
<b>III. ELECTRONIC FILING REQUIREMENTS</b>							
	61	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	O
	62	March .PDF Filing	xxx	EO	xxx	3/1	O
	63	Risk-Based Capital Electronic Filing	xxx	EO	N/A	3/1	O
	64	Risk-Based Capital .PDF Filing	xxx	EO	N/A	3/1	O
	65	Supplemental Electronic Filing	xxx	EO	xxx	4/1	O
	66	Supplemental .PDF Filing	xxx	EO	xxx	4/1	O
	67	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	O
	68	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	O
	69	June .PDF Filing	xxx	EO	xxx	6/1	O
<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>							
	81	Accountants Letter of Qualifications	1	EO	xxx	6/1	A,B,E,F,J,Q,W
	82	Audited Financial Reports	1	EO	xxx	6/1	A,B,E,F,J,Q,W
	83	Audited Financial Reports Exemption Affidavit	N/A	N/A	N/A		A,B,E,J,Q,W
	84	Communication of Internal Control Related Matters Noted in Audit	1	EO	xxx	8/1	A,B,E,J,Q,W
	85	Independent CPA (change)	1	N/A	xxx		A,B,E,F,J,Q,W
	86	Management's Report of Internal Control Over Financial Reporting	1	N/A	xxx	8/1	A,B,E,F,J,Q,W
	87	Notification of Adverse Financial Condition	1	N/A	xxx	<5 <sup>th</sup> business day after notice received	A,B,E,F,J,Q,W

(1) Checklist	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) APPLICABLE NOTES
			Domestic		Foreign State		
			State	NAIC			
	88	Relief from the five-year rotation requirement for lead audit partner	1	EO	xxx	3/1	A,B,E,F,J,Q,W
	89	Relief from the one-year cooling off period for independent CPA	1	EO	xxx	3/1	A,B,E,F,J,Q,W
	90	Relief from the Requirements for Audit Committees	1	EO	xxx	3/1	A,B,E,F,J,Q,W
	91	Request for Exemption to File Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	5/21	A,B,E,F,J,Q,W
<b>V. STATE REQUIRED FILINGS</b>							
	101	Certificate of Compliance	N/A	0	1	3/1	A,B,E,I,M,P
	102	Certificate of Deposit	N/A	0	1	3/1	A,B,E,I,M,P
	103	Filings Checklist (with Column 1 completed)	N/A	0	N/A	3/1	A,B,E,I,M,P
	104	Form B-Holding Company Registration Statement	1	0	N/A	5/1	A-C,E,F,G,I,J,Q
	104.1	Annual Form C Filing	1	0	N/A	5/1	A-C,E,F,G,I,J,Q,S
	105	Form F-Enterprise Risk Report ***	1	0	N/A	5/1	A-C,E,F,G,I,J,Q,S
	106	ORSA ****	1	0	xxx		B
	107	Privilege & Retaliatory Tax Statement	1	0	1	3/15	A,B,D,E,F,P
	107.1	Privilege & Retaliatory Tax Quarterly Estimates	1	0	1	4/15, 6/15, 9/15, 12/15	A,B,D,E,F,P
	108	State Filing Fees – Annual Statement Filing Fee	1	0	N/A	Upon receipt of invoice 2/1	A-C,E,F,P
	108.1	State Filing Fees – Certificate of Authority Renewal	0	0	1	Upon receipt of invoice 2/1	A-C,E,F,P
	108.2	Financial Regulation Fee	1	xxx	1	Upon receipt of invoice 6/30	A-C,E,F,P
	109	Signed Jurat	2	0	N/A	3/1	L
	110	Illinois Business Page, if not already filed within annual statement	2	EO	xxx	3/1	A,B,E,I,M,O,X
	111	Point of Service Form	1	xxx	xxx	3/1,5/15,8/15, 11/15	A,B,E,F,I,J,P,Y
	112	Provider agreements					AA

\*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).

\*\*\*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](http://www.naic.org/public_lead_state_report.htm)

\*\*\*\*For those states that have adopted the NAIC updated 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. Consistent with the Form B filing requirements, 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. For more information on lead states, see the following NAIC URL: [http://www.naic.org/public\\_lead\\_state\\_report.htm](http://www.naic.org/public_lead_state_report.htm)

### 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 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 (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 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) 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.