

**HEALTH ENTITIES**

**REQUIRED FILINGS IN THE STATE OF: ILLINOIS**

**Filings Made During the Year 2012**

**Note A - Required Filings Contact Persons**

Actuarial Opinions	Gerald Lucht	(217) 785-0260
Amended Filings	Alesia Pierce	(217) 782-1777
Audited Financial Statements	Alesia Pierce	(217) 782-1777
Financial Regulation Fee	Tax Unit	(217) 782-0055
Financial Statements	Alesia Pierce	(217) 782-1777
Holding Company Filings	Alesia Pierce	(217) 782-1777
Privilege & Retaliatory Tax	Tax Unit	(217) 782-0055
Risk-Based Capital	Gerald Lucht	(217) 785-0260

**Note B - Mailing Address**

Illinois Department of Insurance  
HMO Financial Analysis Unit  
320 West Washington Street, Fourth Floor  
Springfield, IL 62767-0001

**Note C - Mailing Address for Filing Fees**

Annual Statement Filing Fee	\$200
Certificate of Authority Renewal Fee	\$400
Mail to:	Illinois Department of Insurance Tax Unit P.O. Box 7087 Springfield, IL 62791
Form B Filing Fee	\$200
Mail to address listed in Note B	

**Note D - Mailing Address for Privilege & Retaliatory Tax Payments**

Illinois Department of Insurance  
Tax Unit  
P.O. Box 7087  
Springfield, IL 62791

**Note E - Delivery Instructions**

All filings must be postmarked no later than the indicated due date. The official filing date is the U.S. Postal date stamp. If the due date falls on a weekend or holiday, then the deadline is extended to the next business day.

**Note F - Late Filings**

Companies will be fined a penalty of up to \$1,000 per day for a late or incomplete filing. Annual Statement filings will be considered incomplete if only one statement is received or if Risk-Based Capital information is not included on page 28, lines 14 and 15.

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Companies are subject to Privilege and Retaliatory Tax penalties per 215 ILCS 5/412.

**Note G - Original Signatures**

Original signatures are required on all filings from domestic companies. Foreign companies should follow the instructions in the NAIC's Annual Statement Instructions.

**Note H - Signature/Notarization/Certification**

The Annual Statement shall be verified by oaths of the President and Secretary of the company or, in their absence, by two other principal officers.

**Note I - Amended Filings**

SSAP 3, paragraph 10 of the NAIC Accounting Practices and Procedures Manual states that corrections of errors in previously issued financial statements shall be reported as adjustments to unassigned funds in the period an error is detected. In addition, **this paragraph directs the company to obtain approval of the domiciliary regulator before filing an amendment to the financial statements.**

For domestic companies, if approval is given by the Illinois Department of Insurance to make an amendment, the amendment must be submitted simultaneously to the Illinois Department of Insurance, the NAIC and all other states in which the company is licensed. The submission of an amendment must include an appropriately signed jurat page.

For foreign companies, amended items must be filed within 10 days of their amendment, along with an explanation of the amendments. If there are signature requirements for the original filing, the same should be followed for any amendment.

**Note J - Exceptions From Normal Filings**

The request for an exemption or extension must be submitted in writing not less than ten days prior to the due date in sufficient detail to permit the Director to make an informed decision with respect to the request.

**Note K - Bar Codes (State or NAIC)**

Not applicable

**Note L – Signed Jurat**

See NAIC Annual Statement Instructions.

**Note M - NONE Filings**

See NAIC Annual Statement Instructions. Exceptions to these instructions are noted on the form.

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**Note N – Filing new, discontinued, or modified materially since last year**

New- None

**Discontinued** – None

**Note O - Form Source NAIC**

The company must obtain the forms from the appropriate vendor.

**Note P - Form Source STATE**

The state will provide the forms with the filing instructions.

**Note Q - Form Source 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*.

**Note R - Required Filings of the Department**

Quarterly financial statements and Risk-Based Capital Reports are required filings for all domestic companies. Risk-Based Capital Reports are required filings for all foreign companies.

**Note S - Annual Form C Filing**

The Form C must contain text that describes each transaction that took place since the prior year Form B was filed. It is not sufficient to reference amendments that were previously filed with the Department.

**Note T - Risk-Based Capital**

If the amounts reported in the Annual statement have been calculated using modifications to the NAIC instructions, the annual statement must be accompanied by a cover letter stating what the Total Adjusted Capital and Authorized Control Level would be without those modifications. **All Risk-Based Capital Reports must be bound or stapled (binder clips are unacceptable).**

**Note U - Management's Discussion and Analysis**

If the Management's Discussion and Analysis is consolidated, a separate copy must be provided for each company along with a cover letter, which details any specific individual company information.

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**Note V - Annual Statement Filings**

All Annual Statements must be BOUND on the side and DUPLEXED with appropriate covers or the filing will be deemed incomplete and the company will be fined accordingly for filing an incomplete and late annual statement.

**Note W - CPA Audit Filings**

All CPA audits are due on June 1. Any company whose domestic state due date is after June 1 must file an extension request no later than ten days prior to the June 1 due date. If the extension request is not received ten days prior to June 1st, the audit will be considered due on June 1st and, if late, the company will be fined accordingly.

**Note X - Illinois Business Page**

An Illinois Business Page (page 29 within the annual statement) must be filed with both the Division of Insurance and with the NAIC.

**Note Y - Filing Does Not Apply to LHSOs, Voluntary Health Plans and Dental Plans.**

LHSOs, Voluntary Health Plans and Dental Plans are not required to make these filings.

**Note Z - Filing Does Not Apply to Voluntary Health Plans and Dental Plans.**

Voluntary Health Plans and Dental Plans are not required to make these filings.

**Note AA – Not Required if the Company does not have Point of Service business in Illinois.**