

## 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 send mailing labels and other information to all companies but will not be sending their own checklist this year.

Electronic filing is intended to include filing via the Internet or 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.

### ATTENTION FOREIGN COMPANIES:

**The Following Documents Are Required To Be Filed Electronically In REFS By All Foreign Companies Pursuant To The Respective Instructions Provided Herein:**

1. A Original Signed and Notarized Jurat Page
2. Notification of Adverse Financial Condition (if applicable)
3. Certificate of Compliance
4. Certificate of Deposit
5. Certificate of Valuation
6. Audited Financial Statements Exemption Affidavit (if applicable)
7. Florida Service of Process Consent and Agreement (update as needed)
8. Insurance Department Financial Exams
9. Regulatory Asset Adequacy Issues Summary
10. Report on Deficiencies in internal control **(ONLY IF THERE ARE SIGNIFICANT DEFICIENCIES).**

### Column (1) (Checklist)

Companies may use the checklist to submit to a state, if the state requests it.

### 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.

## GENERAL INSTRUCTIONS - CONTINUED

The *March .PDF Filing* is the .pdf file for annual statement data, detail for investment schedules, Officers and Directors Information and supplements due March 1.

The *Risk-Based Capital Electronic Filing* includes all risk-based capital data.

The *Separate Accounts Electronic Filing* includes the separate accounts annual statement and

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

The *Supplemental Electronic Filing* includes all supplements due April 1, per the Annual Statement Instructions.

The *Supplement .PDF Filing* is the .pdf file for all supplemental schedules and exhibits due April

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.

### *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 certain 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.

### *Column (5) (Due Date)*

Indicates the date on which the company must file the referenced form either via REFS or the NAIC.

### *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 instruction 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.