

TITLE COMPANIES

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: _____ Filings Made During the Year 2019

(1) Checklist	(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")	xxx	EO		3/1	NAIC	
1.1		Printed Investment Schedule detail (Pages E01-E27)	xxx	EO	xxx	3/1	NAIC	
2		Quarterly Financial Statement (8 1/2" x 14")	xxx	EO		5/15, 8/15, 11/15	NAIC	
II. NAIC SUPPLEMENTS								
11		Actuarial Opinion	xxx	EO		3/1	Company	
12		Investment Risk Interrogatories	xxx	EO		4/1	NAIC	
13		Management Discussion & Analysis	xxx	EO		4/1	Company	
14		Schedule SIS	xxx	N/A	N/A	3/1	NAIC	
15		Supplemental Compensation Exhibit	xxx	N/A	N/A	3/1	NAIC	
16		Supplemental Schedule of Business Written By Agency	xxx	N/A		4/1	NAIC	
III. ELECTRONIC FILING REQUIREMENTS								
61		Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
62		March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
63		Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
64		Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
65		Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
66		Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
67		June .PDF Filing	xxx	EO	xxx	6/1	NAIC	
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
81		Accountants Letter of Qualifications	xxx	EO	N/A	6/1	Company	
82		Audited Financial Reports	xxx	EO		6/1	Company	
83		Audited Financial Reports Exemption Affidavit	xxx	N/A	N/A		Company	
84		Communication of Internal Control Related Matters Noted in Audit	xxx	EO	N/A	8/1	Company	
85		Independent CPA (change)	xxx	N/A	N/A		Company	
86		Management's Report of Internal Control Over Financial Reporting	xxx	N/A	N/A	8/1	Company	
87		Notification of Adverse Financial Condition	xxx	N/A	N/A		Company	
88		Request for Exemption to File	xxx	N/A	N/A		Company	
89		Relief from the five-year rotation requirement for lead audit partner	xxx	EO		3/1	Company	
90		Relief from the one-year cooling off period for independent CPA	xxx	EO		3/1	Company	
91		Relief from the Requirements for Audit Committees	xxx	EO		3/1	Company	
V. STATE REQUIRED FILINGS***								
101		Corporate Governance Annual Disclosure***	xxx	0			Company	
102		Filings Checklist (with Column 1 completed)	xxx	0			State	
103		Form B-Holding Company Registration Statement	xxx	0			Company	
104		Form F-Enterprise Risk Report ***	xxx	0			Company	
105		ORSA ****	xxx	0			Company	
106		Premium Tax	See "D" page 3	0	See "D" page 3		State	See "D" page 3
107		State Filing Fees	1	0	1	3/1	State	
108		Signed Jurat	1	0	1*	3/1, 5/15, 8/15, 11/15	NAIC	*annually only for foreign companies

(1) Checklist	(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			
	109	Certificate of Compliance	0	0	0	3/1, 5/15, 8/15, 11/15	State	*required for foreign companies if deposit held in KY
	110	Certificate of Deposit	1	0	1	3/1	State	
	111	Detail Listing of Securities Held Under Safekeeping (Form 143)	0	0	0	3/1, 5/15, 8/15, 11/15	State	
	112	Affidavit Covering Finance Committee	0	0	0	3/1	State	
	113	Schedule of Miscellaneous Investments (Form 460 and 470)	0	0	0	3/1, 5/15, 8/15, 11/15	State	
	114	Reconciliation and Summary of Assets and Reserve Requirements (Form 480)	0	0	0	3/1	State	
	115	Direct Business Page (State Page)	KY EO	1	0	3/1	NAIC	
	116	Direct Economic Impact of KY Captive During Current Reporting Year (Form CI-150) Captive RRGs Only	KY EO	0	0	3/1	State	
	117	Certificate of Advertising (Form 440)	1	0	1	3/1	State	

*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.

***For those states that have adopted the NAIC Corporate Governance Annual Disclosure Model Act, an annual disclosure is required of all insurers or insurance groups by June 1. The Corporate Governance Annual Disclosure 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 if filed at the insurance group level. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm.

****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

*****For those states that have adopted the NAIC 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. 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 if filed at the insurance group level. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm

	NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
A	Required Filings Contact Person:	<u>Contacts:</u>
		Primary: Rodney Hugle
	Kentucky Department of Insurance	Rodney.Hugle@ky.gov
	Financial Standards and Examination Division	Secondary: Sandra Batts
	215 West Main Street, P.O. Box 517 Frankfort, KY 40601	<u>Sandra.Batts@ky.gov</u>
	<u>Phone Number: 502-564-6082</u>	<u>Phone Number: 502-564-6082</u>
	<u>Division e-mail: DOI.FinancialStandardsMail@ky.gov</u>	
		Division e-mail
		<u>DOI.FinancialStandardsMail@ky.gov</u>
B	Mailing Address for KY ELECTRONIC, Hand or Overnight delivery:	Mailing Address for Regular Mail:
	Kentucky Department of Insurance	Kentucky Department of Insurance
	215 West Main St.	P.O. Box 517
	Frankfort, KY 40601	Frankfort, KY 40602- 0517
	<u>Attn. Financial Standards & Examination Division</u>	<u>Attn. Financial Standards & Examination Division</u>
	Division e-mail	Division e-mail
	<u>DOI.FinancialStandardsMail@ky.gov</u>	<u>DOI.FinancialStandardsMail@ky.gov</u>
C	Mailing Address for Filing Fees: RENEWAL FEES PAID ONLINE	Renewal fees paid online.
		Other fees mailed to the address above.
	To pay online, click on Eservices on the DOI website (http://insurance.ky.gov/). Your Annual Statement	
	contact person should have the appropriate “USERNAME”	
	and “PASSWORD” to process the payment.	
D	Mailing Address for Premium Tax Payments: (see below)	<u>Post Office Box:</u>
		Department of Revenue
	Premium tax forms can be accessed on the Dept. of Revenue’s website (http://revenue.ky.gov/forms)	P.O. Box 1303
		Frankfort, KY 40602-1303
	Click on “Current Year Forms.”	OR
	<i>NOTE:</i> Please <u>DO NOT</u> Submit PREMIUM TAX payments to the KY Department of Insurance.	
	<u>Physical Address:</u>	
	Department of Revenue	
	501 High Street Frankfort, KY 40601	
E	<u>Delivery Instructions: PAY ATTENTION TO YOUR DEADLINES</u>	
	ALL filings must be postmarked no later than the indicated due date, regardless of the due date falling on a weekend or holiday.	

F	Late Filings: FINES FOR LATE FILINGS	Companies will be fined \$100 per day for ALL late filings, even in situations where a request for extension has been received in writing and approved. For all late filings received WITHOUT extension approval, and additional civil penalty of \$1,000 may be assessed.
G	Original Signatures: REQUIRED FOR DOMESTIC COMPANIES	Original signatures are required on ALL filings from domestic companies.
		Foreign companies should follow the NAIC Annual Statement Instructions regarding signatures.
H	Signature/Notarization/Certification: REQUIRED BY KENTUCKY STATUTE	Per KRS 304.3-240(1)-shall be verified by oaths of at least two (2) of the insurers' principal officers.
I	Amended Filings: APPLIES TO DOMESTIC COMPANIES ONLY	For domestic companies, amended items must be filed within ten (10) days of the amendment, along with an explanation of the amendment. Same applies for original filings where signatures are required.
J	Exceptions from normal filings:	Domestic companies should apply for an exemption or extension at least thirty (30) days prior to the filing due date.
		Foreign companies MUST supply a written copy of any exemption or extension, received by their state of domicile, at least ten (10) days prior to their filing due date to receive approval of an exemption or extension from the Kentucky Department of Insurance.
K	Bar Codes (State or NAIC): <u>REFER TO http://insurance.ky.gov/</u>	Please follow the NAIC Annual Statement Instructions provided on the Kentucky Department of Insurance website.
L	Signed Jurat:	Kentucky REQUIRES Foreign companies to file a copy of a Signed Jurat Page by March 1 as part of their Annual Statement Filings.
M	NONE Filings: <u>REFER TO http://insurance.ky.gov/</u>	Please follow the NAIC Annual Statement Instructions provided on the Kentucky Department of Insurance website.
N	Filings new, discontinued or modified materially since last year:	<u>For ALL companies</u> , please see "Note P" and "Note Q" below. Domestics, please refer to "Note R."

O	Notification of Adverse Financial Condition	<p>Notice of Adverse Financial Condition is due five (5) business days after receipt of the accountant's report and must be sent to the Kentucky Department of Insurance Early Warning Analyst (EWA):</p> <p>Sandra Batts, EWA Kentucky Department of Insurance P.O. Box 517 Frankfort, KY 40602-0517</p>
P	<p>Kentucky Annual Filing Instructions:</p> <p><u>REFER TO http://insurance.ky.gov/</u></p>	<p>For additional instructions, please see the attached Kentucky Annual Filing Instructions listed on the Kentucky Department of Insurance website. The instructions should appear directly above the NAIC checklists provided for each type of entity.</p>
Q	Company's Responsibility to Review/Update their Information on	<p>All companies should refer to the Kentucky Department of Insurance website under "<i>Company Info</i>" to review and verify their company information. If corrections or updates need to be made, companies should notify the Kentucky Department of Insurance by submitting the appropriate form(s) on the NAIC UCAA Corporation Amendments Application.</p>
	Kentucky Department of Insurance website:	
		Please be advised:
	<u>Website address http://insurance.ky.gov/</u>	*the Form 12 – deals with changes to the Service of Process
		*the Form 14 – deals with address changes
		*Biographical affidavits
		should ONLY be submitted for NEW Presidents
R	Actuarial Opinion Summary: REQUIRED FROM DOMESTICS	All domestic companies are required to file the Actuarial Opinion Summary. Only one (1) copy of the summary is needed and stamp the envelope "confidential."
S	Direct Economic Impact of Kentucky Captive During Current Reporting Year (Form CI-150): FOR "DOMESTIC" RISK RETENTION GROUPS ONLY	Note S pertains to domestic risk retention groups.

**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) 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 the state web site). 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.