

TITLE COMPANIES

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: _____ Filings Made During the Year 2021

(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-E29)	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	State Filing Fees	KY EO	0	KY EO	3/1	State	

(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			
	107	Signed Jurat	KY EO	0	KY EO	3/1	NAIC	
	108							
	109							

*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 & Ardena Rogers
	Kentucky Department of Insurance	<u>Rodney.Hugle@ky.gov & ArdenaK.Rogers@ky.gov</u>
	Financial Standards and Examination Division	Secondary: Victoria Lloyd
	Mayo-Underwood Building 500 Mero Street, 2SE11 P.O. Box 517 Frankfort, KY 40601	VictoriaLloyd@ky.gov
	<u>Phone Number:</u> 502-564-6082	<u>Phone Number:</u> 502-564-6082
	<u>Division e-mail:</u> <u>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
	Mayo-Underwood Building 500 Mero Street, 2SE11	P.O. Box 517
	Frankfort, KY 40601	Frankfort, KY 40602- 0517
	<u>Attn.</u> Financial Standards & Examination Division	<u>Attn.</u> Financial Standards & Examination Division
	<u>KY ELECTRONIC of Annual Statement documents</u>	
	<u>(http://insurance.ky.gov/). Your Annual Statement</u>	
	contact person should have the appropriate “USERNAME”	
	and “PASSWORD” to upload Annual Statements.	
	<u>FOR DOMESTIC COMPANY ONLY!!!</u>	
	<u>To upload their Annual Statement documents.</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	
	<u>(http://insurance.ky.gov/). Your Annual Statement</u>	
	contact person should have the appropriate “USERNAME”	
	and “PASSWORD” to process the payment.	
	<u>Post Office Box:</u>	
Mailing Address for Premium Tax Payments: (see below)		

D		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	
		<u>Physical Address:</u>	
	<p style="text-align: center;">NOTE: Please DO NOT Submit PREMIUM TAX payments to the KY Department of Insurance.</p>	Department of Revenue	501 High Street Frankfort, KY 40601
			<u>Phone Number: 502-564-4810</u>
E	Delivery Instructions: PAY ATTENTION TO YOUR DEADLINES	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 a 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):	Please follow the NAIC Annual Statement Instructions provided on the Kentucky Department of Insurance website.	
	<u>REFER TO http://insurance.ky.gov/</u>		

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. Domestic, 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>Russell Coy, EWA Kentucky Department of Insurance P.O. Box 517 Frankfort, KY 40602-0517</p> <p>Email: Russell.Coy@ky.gov</p>
P	Kentucky Annual Filing Instructions: <u>REFER TO http://insurance.ky.gov/</u>	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.
Q	<p>Company’s Responsibility to Review/Update their Information on</p> <p>Kentucky Department of Insurance website:</p> <p><u>Website address http://insurance.ky.gov/</u></p>	<p>All companies should refer to the Kentucky Department of Insurance website under “Company Info” 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> <p>Please be advised:</p> <p>*the Form 12 – deals with changes to the Service of Process</p> <p>*the Form 14 – deals with address changes</p> <p>*Biographical affidavits</p>

		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 submitting 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 the annual statement, detail for investment schedules and all supplements due March 1.

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 (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 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 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.

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