

TITLE COMPANIES

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: _____ Filings Made During the Year 2023

(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")	KY EO					*Jurat page for Foreign only **See Letter E and F
	1.1	Printed Investment Schedule detail (Pages E01-E29)	KY EO	EO	KY EO*	3/1**	NAIC	*See Letter E
	2	Quarterly Financial Statement (8 1/2" x 14")	KY EO	EO	0	5/15, 8/15, 11/15*	NAIC	*See Letter E
II. NAIC SUPPLEMENTS								
	11	Actuarial Opinion	KY EO	EO	0	3/1*	Company	*See Letter E
	12	Investment Risk Interrogatories	KY EO	EO	0	4/1*	NAIC	*See Letter E
	13	Management Discussion & Analysis	KY EO	EO	0	4/1*	Company	*See Letter E
	14	Schedule SIS	KY EO	N/A	0	3/1*	NAIC	*See Letter E
	15	Supplemental Compensation Exhibit	KY EO	N/A	0	3/1*	NAIC	*See Letter E
	16	Supplemental Schedule of Business Written By Agency	KY EO	N/A	0	4/1*	NAIC	*See Letter E
III. ELECTRONIC FILING REQUIREMENTS								
	61	Annual Statement Electronic Filing	KY EO					*Jurat page for Foreign only **See Letter E and F
	62	March .PDF Filing	KY EO	EO	0	3/1*	NAIC	*See Letter E
	63	Supplemental Electronic Filing	KY EO	EO	0	4/1*	NAIC	*See Letter E
	64	Supplemental .PDF Filing	KY EO	EO	0	4/1*	NAIC	*See Letter E
	65	Quarterly Statement Electronic Filing	KY EO	EO	0	5/15, 8/15, 11/15*	NAIC	*See Letter E
	66	Quarterly .PDF Filing	KY EO	EO	0	5/15, 8/15, 11/15*	NAIC	*See Letter E
	67	June .PDF Filing	KY EO	EO	0	6/1*	NAIC	*See Letter E
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
	81	Accountants Letter of Qualifications	KY EO	EO	0	6/1*	Company	*See Letter E
	82	Audited Financial Reports	KY EO	EO	0	6/1*	Company	*See Letter E
	83	Audited Financial Reports Exemption Affidavit	KY EO	N/A	0		Company	*See Letter E
	84	Communication of Internal Control Related Matters Noted in Audit	KY EO	EO	0	8/1*	Company	*See Letter E
	85	Independent CPA (change)	KY EO	N/A	0		Company	*See Letter E
	86	Management's Report of Internal Control Over Financial Reporting	KY EO	N/A	0	8/1*	Company	*See Letter E
	87	Notification of Adverse Financial Condition	KY EO	N/A	0		Company	*See Letter E
	88	Request for Exemption to File	KY EO	N/A	0		Company	*See Letter E
	89	Relief from the five-year rotation requirement for lead audit partner	KY EO	EO	0	3/1*	Company	*See Letter E
	90	Relief from the one-year cooling off period for independent CPA	KY EO	EO	0	3/1*	Company	*See Letter E
	91	Relief from the Requirements for Audit Committees	KY EO	EO	0	3/1*	Company	*See Letter E
V. STATE REQUIRED FILINGS***								

(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			
	101	Corporate Governance Annual Disclosure***	KY EO	0	0	6/1*	Company	*See Letter E
	102	Filings Checklist (with Column 1 completed)	0	0	0		State	
	103	Form B-Holding Company Registration Statement	KY EO	0	0	4/1*	Company	*See Letter E
	104	Form F-Enterprise Risk Report ***	KY EO	0	0	4/1*	Company	*See Letter E
	105	ORSA ****	KY EO	0	0		Company	*See Letter E
	106	State Filing Fees	KY EO	0	KY EO	3/1*	State	*See Letter E
	107	Signed Jurat	KY EO	0	KY EO	3/1, 5/15, 8/15, 11/15*	NAIC	*Annually only for foreign companies **See Letter E and F
	108	Group Capital Calculation (File with lead state only)	KY EO	0	0	4/1*		*See Letter E
	109							

For Companies to Use Checklist	NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
A	Required Filings Contact Person:	<u>Contacts:</u>
	<p>Kentucky Department of Insurance Financial Standards and Examination Division Mayo-Underwood Building 500 Mero Street, 2SE11 P.O. Box 517 Frankfort, KY 40601</p> <p><u>Phone Number: 502-564-6082</u></p> <p><u>Division e-mail: DOI.FinancialStandardsMail@ky.gov</u></p>	<p>Primary: Rodney Hugle & Ardena Rogers</p> <p>Secondary: Victoria Lloyd</p> <p><u>Phone Number: 502-564-6082</u></p> <p><u>Division e-mail: DOI.FinancialStandardsMail@ ky.gov</u></p>
B	<p>Mailing Address: Mailing Address for KY ELECTRONIC, Hand or Overnight delivery:</p> <p>(Please note our address has changed)</p> <p>Department of Insurance 500 Mero Street 2SE11 Frankfort, KY 40601</p> <p><u>Attn: Financial Standards & Examination Division</u></p> <p><u>KY ELECTRONIC of Annual Statement documents (http://insurance.ky.gov/). Your Annual Statement</u> contact person can create an account for Kentucky Online Gateway (KOG).</p> <p><u>FOR DOMESTIC COMPANY ONLY!!!</u> To upload their Annual Statement documents. Division e-mail <u>DOI.FinancialStandardsMail@ky.gov</u></p>	<p>Mailing Address for Regular Mail:</p> <p>Department of Insurance P.O. Box 517 Frankfort, KY 40602- 0517</p> <p><u>Attn: Financial Standards & Examination Division</u></p> <p>Division e-mail <u>DOI.FinancialStandardsMail@ ky.gov</u></p>

C	<p>Mailing Address for Filing Fees: RENEWAL FEES PAID ONLINE</p> <p>To pay online, click on services on the DOI website (http://insurance.ky.gov/). You can pay your renewal fees through your Kentucky Online Gateway (KOG) account.</p>	<p>Renewal fees paid online.</p> <p>Other fees mailed to the address above.</p>
D	<p>Mailing Address for Premium Tax Payments: (see below)</p> <p>Premium tax forms can be accessed on the Dept. of Revenue's website (http://revenue.ky.gov/forms) Click on "Current Year Forms."</p> <div data-bbox="435 848 899 1020" style="border: 1px solid black; background-color: #e0e0e0; padding: 5px; text-align: center;"> <p>NOTE: Please DO NOT Submit PREMIUM TAX payments to the KY Department of Insurance.</p> </div>	<p><u>Post Office Box:</u></p> <p>Department of Revenue P.O. Box 1303 Frankfort, KY 40602-1303 OR <u>Physical Address:</u> Department of Revenue 501 High Street Frankfort, KY 40601</p> <p><u>Phone Number: 502-564-4810</u></p>
E	<p>Delivery Instructions: PAY ATTENTION TO YOUR DEADLINES</p>	<p>ALL filings must be postmarked or electronic stamped no later than the indicated due date, regardless of the due date falling on a weekend or holiday.</p>
F	<p>Late Filings: FINES FOR LATE FILINGS</p>	<p>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.</p>
G	<p>Original Signatures: REQUIRED FOR DOMESTIC COMPANIES</p>	<p>Original signatures are required on ALL filings from domestic companies.</p>

		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:	<i>Foreign and domestic companies must supply a written copy via divisional email (doi.financialstandardsmail@ky.gov) to the attention of the Director. Any extension requested should apply at least 10 days prior to the due date.</i>
K	Signed Jurat:	Please follow the NAIC Annual Statement Instructions provided on the Kentucky Department of Insurance website. Kentucky REQUIRES Foreign companies to file a copy of a Signed Jurat Page by March 1 as part of their Annual Statement Filings.
L	Filings new, discontinued or modified materially since last year:	<u>For ALL companies</u> , please see "Note O" and "Note P" below. Domestic, please refer to "Note R."

M	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: <u>DOL.Financialstandardsmail@ky.gov</u></p>
N	<p>Kentucky Annual Filing Instructions: <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>
O	<p>Company’s Responsibility to Review/Update their Information on Kentucky Department of Insurance website: <u>http://insurance.ky.gov/</u></p>	<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> <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>*the Form 2C – is the only form that deals with the home office address change</p> <p>*Biographical affidavits should ONLY be submitted for NEW Presidents for foreign companies only</p> <p>For Domestic Companies, biographical affidavits need to be submitted for any changes in officers, directors, or major shareholders.</p>
P	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.”
Q	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.