FRATERNAL SOCIETIES

COMPANY NAME: ______________________________ **NAIC Company Code:** __________

Contact: ______________________________ **Telephone:** ______________________________

REQUIRED FILINGS IN THE STATE OF: District of Columbia _________ Filings Made During the Year 2009

(1) Check-list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES* Domestic State	Domestic NAIC	Foreign State	(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
		I. NAIC FINANCIAL STATEMENTS						Note F, R
	1	Annual Statement (8 ½"x14")	2	EO	xxx	3/1	NAIC	Postmark date accepted. Note E
	1.1	Printed Investment Schedule detail (Pages E01-E27)	2	EO	xxx	3/1	NAIC	Note O
	2	Quarterly Financial Statement (8 ½" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	Postmark date accepted. Note E
	3	Separate Accounts Annual Statement (8 ½"x 14")	2	EO	xxx	3/1	NAIC	
		II. NAIC SUPPLEMENTS						Note F,M,N,R
	10	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	
	11	Actuarial Certification Related Annuity Nonforfeiture Compliance	2	EO	xxx	3/1	Company	Note N
	12	Actuarial Opinion on X-Factors	2	EO	xxx	3/1	Company	Note N
	13	Actuarial Opinion on Separate Accounts Funding	2	EO	xxx	3/1	Company	Note N
	14	Actuarial Opinion on Synthetic Guaranteed Investment Contracts	2	EO	xxx	3/1	Company	Note N
	15	Interest Sensitive Life Insurance Products Report	2	EO	xxx	4/1	NAIC	
	16	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	17	Long Term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	
	18	Management Discussion & Analysis	2	EO	xxx	4/1	Company	
	19	Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	
	20	Medicare Part D Coverage Supplement	2	EO	xxx	3/1 ,5/15, 8/15, 11/15	NAIC	
	21	Reasonableness of Assumptions Certification	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	22	Reasonableness & Consistency of Assumptions Cert.	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	23	Reasonableness of Assumptions Cert. for Implied Guaranteed Rate Method	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	24	Reasonableness & Consistency of Assumptions Cert. (Updated Average Market Value)	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	25	Reasonableness & Consistency of Assumptions Cert. (Updated Market Value)	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	26	Risk-Based Capital Report	2	N/A	xxx	3/1	NAIC	
	27	RBC Certification required under C-3 Phase I	2	N/A	xxx	3/1	Company	Note N
	28	RBC Certification required under C-3 Phase II	2	N/A	xxx	3/1	Company	Note N
	29	Statement of Actuarial Opinion	2	EO	xxx	3/1	Company	
	30	Statement on non-guaranteed elements – Exhibit 5 Inter. #3	2	EO	xxx	3/1	Company	
	31	Statement on participating/non-participating policies – Exhibit 5, Inter. #1	2	EO	xxx	3/1	Company	
	32	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	
	33	Trusteed Surplus Statement	1	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
		III. ELECTRONIC FILING REQUIREMENTS						Note F, M, P
	40	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	41	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	42	Separate Accounts Electronic Filing	xxx	1	xxx	3/1	NAIC	
	43	Separate Accounts .PDF Filing	xxx	1	xxx	3/1	NAIC	
	44	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	45	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	46	Quarterly Statement Electronic Filing	xxx	1	xxx	5/15, 8/15 & 11/15	NAIC	
	47	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15 & 11/15		
	48	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
		IV. AUDITED FINANCIAL STATEMENTS						Note F, R
	61	Accountants Letter of Qualifications	2	N/A	N/A	As required	Company	
	62	Audited Financial Statements	2	EO		6/1	Company	Note S
	63	Audited Financial Statements Exemption Affidavit	2	N/A	N/A	As required	Company	
	64	Independent CPA appointment or change notice	2	N/A	N/A	As required	Company	
	65	Notification of Adverse Financial Condition	2	N/A	N/A	As required	Company	
	66	Report of Significant Deficiencies in Internal Controls	2	N/A	N/A	As required	Company	
	67	Request for Exemption to File	2	N/A	N/A	As required	Company	
		V. STATE REQUIRED FILINGS						
	104	Filings Checklist (with Column 1 completed)	1	0	NR	Various dates	State	
	105	Premium tax	NR	0	NR	NR	State	Note D
	106	State Filing Fees	1	0	1	4/30	State	Note C
	107	Signed Jurat	2	xxx	NR	NR	NAIC	
	108	Electronic Claims Payment Report (prompt pay form)	1	NR	1	3/15	State	Note Q

***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.**

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Filings Contact Person:	Carolyn Billinghurst, Senior Financial Analyst carolyn.billinghurst@dc.gov (email) (202) 442-7834 (telephone) Also, see Notes C and D below for license and premium tax contacts
	B	Mailing Address:	Mr. Nathaniel Kevin Brown, Chief Financial Examiner DC Department of Insurance, Securities and Banking Financial Examinations Division 810 First Street, NE Suite 602 Washington DC 20002
	C	Mailing Address for Filing Fees:	License Renewal for Fraternal Societies - $50.00 DC Department of Insurance, Securities and Banking Consumer and Professional Services Division 810 First Street, NE Suite 602 Washington DC 20002 Checks should be made payable to DC Treasurer Contact Person: Denise Parker Denise.parker@dc.gov (email) (202) 442-7815 (telephone)
	D	Mailing Address for Premium Tax Payments:	Not Applicable
	E	Delivery Instructions:	All annual financial statement filings must be postmarked not later than March 1st. Other financial filings must be postmarked no later than the indicated due date. License applications and filing fees must be physically received at the address in Note C no later than April 30.
	F	Late Filings:	Society will be fined $100 per day for a late filing. Other actions including license suspension may be taken.
	G	Original Signatures:	Original signatures required on all filings from domestic societies.
	H	Signature/Notarization/Certification:	The President and Secretary are required to sign the annual statement, or in their absence, 2 other principal officers may sign.
	I	Amended Filings:	Amended items must be filed within 10 days of an amendment, along with an explanation of the amendments. If there are signature requirements for the original filings, same should be followed for any amendment. Amendments to the Annual or Quarterly Statements require an amended jurat page, including amendment number, amendment filing date and the number of pages refiled.

	J	Exceptions from normal filings:	Foreign societies must supply a written copy of any exemption or extension received by its state of domicile at least 10 days prior to the filing date. Domestic societies should apply at least 30 days prior to the due date and, for extensions, must submit a written request explaining the reason for the delay and a detailed timeline of any expected component completion dates and contingencies.
	K	Bar Codes (State or NAIC):	Please follow the instructions in the NAIC Annual Statement Instructions.
	L		
	M	NONE Filings:	District of Columbia does not require the filing of a "None" page if the applicable supplemental interrogatory indicates that the filing is non-applicable.
	N	Filings new, discontinued or modified materially since last year:	New Filings for 2009: 1. Actuarial Certification Related Annuity Nonforfeiture Compliance 2. Actuarial Opinion on X-Factors 3. Actuarial Opinion on Separate Accounts Funding 4. Actuarial Opinion on Synthetic Guaranteed Investment Contracts 5. RBC Certification required under C-3 Phase I 6. RBC Certification required under C-3 Phase II
	O	Items 1.1: Investment Schedule Detail	Domestic Societies are not required to submit an additional copy of the detailed investment schedules if they are already bound in the Annual Statement.
	P	Electronic Filing Requirements	See General Instructions for Societies to Use Checklist, which follows for specific guidance on electronic filing requirements including the requirements to file certain items in portable document format (PDF files). Any questions regarding electronic filing should be directed to the NAIC. The NAIC web site is at http://www.naic.org. The main phone line is (816) 842 3600. The NAIC help desk line is (816)-783-8500.

	Q	Electronic Claims Payment Report (prompt pay form):	The "Prompt Pay Act of 2002" (DC Code §31-3135) which went into effect on July 23, 2002 requires that health insurers file a claims payment report with the Commissioner no later than March 15th of each year. This is an electronic filing. Please refer to the DISB website for the Claims Payment Report form. The Report should only be filed by companies that write health insurance as defined in DC Official Code Title 31, Chapter 33, § 3301.01. A zero report is required from those writing health insurance but have no claims. A copy of the statute is attached to the Claims Payment Report form on the DISB website. **Contact person:** Alvin James, Financial Economist at (202) 442-7772.
	R	Foreign Societies Filing:	Foreign Societies to file hard copy of statements only upon written request.
	S	Audited Statements:	Audited statements must be prepared on a statutory basis. Auditor must be independent CPA.
	T	Standard Reporting Requirements	To Order NAIC publications, including the Annual Statement Blanks and Instructions and the Accounting Practices and Procedures Manual, call publications at 816-783-8300. Publications catalogue also available on line at http://www.naic.org.

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.**

<u>Electronic filing is intended to include filing via the Internet or filing 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.</u>

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 investments schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The ***March .PDF Filing*** is .pdf files for annual statement data, detail for investment schedules and supplements due March 1.

The ***Separate Accounts Electronic Filing*** includes the separate accounts annual statement and investment schedule detail.

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

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.

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 such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (E) 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 website). 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.