

PROPERTY & CASUALTY INSURERS

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*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC				
I. NAIC FINANCIAL STATEMENTS								
	1	Annual Statement (8 1/2" x 14")	2	EO	xxx	3/1	NAIC	Postmark date Accepted. Note E, F, S
	1.1	Printed Investment Schedule detail (Pages E01-E27)	2	EO	xxx	3/1	NAIC	Note O
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	Postmark date Accepted. Note E, F, S
	3	Protected Cell Annual Statement	2	0	xxx	3/1	NAIC	
	4	Combined Annual Statement (8 1/2" x 14")	2	EO	0	5/1	NAIC	
II. NAIC SUPPLEMENTS								
	10	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	Note M
	11	Actuarial Opinion Summary	2	N/A	0	3/15	Company	
	12	Combined Insurance Expense Exhibit	2	EO	xxx	5/1	NAIC	
	13	Credit Insurance Experience Exhibit	2	EO	xxx	4/1	NAIC	
	14	Exceptions to Reinsurance Attestation Supplement	2	N/A	xxx	3/1	Company	
	15	Financial Guaranty Insurance Exhibit	2	EO	xxx	3/1	NAIC	
	16	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	17	Insurance Expense Exhibit	2	EO	xxx	4/1	NAIC	
	18	Long Term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	
	19	Management Discussion & Analysis	2	EO	xxx	4/1	Company	
	20	Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	
	21	Medicare Part D Coverage Supplement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	22	Premiums Attributed to Protected Cells Exhibit	2	EO	xxx	3/1	NAIC	
	23	Reinsurance Attestation Supplement	2	EO	xxx	3/1	Company	
	24	Reinsurance Summary Supplemental	2	EO	xxx	3/1	NAIC	
	25	Risk-Based Capital Report	2	EO	N/A	3/1	NAIC	
	26	Schedule SIS	2	N/A	N/A	3/1	NAIC	
	27	Statement of Actuarial Opinion	2	EO	xxx	3/1	Company	
	28	Supplement A to Schedule T	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	29	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	
	30	Trusted Surplus Statement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
III. ELECTRONIC FILING REQUIREMENTS								
	40	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	Note P
	41	March .PDF Filing	xxx	1	xxx	3/1	NAIC	Note P
	42	Risk-Based Capital Electronic Filing	xxx	1	N/A	3/1	NAIC	Note P
	43	Risk-Based Capital .PDF Filing	xxx	1	xxx	3/1	NAIC	Note P, N
	44	Combined Annual Statement Electronic Filing	xxx	1	xxx	5/1	NAIC	Note P
	45	Combined Annual Statement .PDF Filing	xxx	1	xxx	5/1	NAIC	Note P
	46	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	Note P
	47	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	Note P
	48	Quarterly Statement Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	Note P
	49	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	Note P
	50	June .PDF Filing	xxx	1	xxx	6/1	NAIC	Note P
IV. AUDITED FINANCIAL STATEMENTS								
	61	Accountants Letter of Qualifications	2	N/A	N/A	As required	Company	
	62	Audited Financial Statements	2	EO	xxx	6/1	Company	Note T
	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	
	68	Request to File Consolidated Audited Annual Statements	2	N/A	N/A	As required	Company	
V. STATE REQUIRED FILINGS								
	103	Filings Checklist (with Column 1 completed)	1	0	0	Various	State	
	104	Premium tax	1	0	1	3/1	State	Note D
	105	State Filing Fees	1	0	1	4/30	State	Note C
	107	Holding Company System Registration Statement (Form B)	1	0	0	4/30	Company	Note U
	108	Holding Company System Registration Statement (Form C)	1	0	0	4/30	Company	Note U
	109	Holding Company System Prior Notification of Material Transaction (Form D)	1	0	0	As required	Company	Note U
	110	Claim Payment Report (Prompt pay form)	1	N/A	1	3/15	DISB	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:	Samuel Merlo, Financial Analyst sam.merlo@dc.gov (email) (202) 442-7833 (telephone) Also, see Notes C and D below for license and premium tax contacts
B	Mailing Address:	Nathaniel Kevin Brown, Chief Financial Manager DC Department of Insurance, Securities, and Banking Financial Analysis Division 810 First Street, NE, Suite 602 Washington, DC 20002
C	Mailing Address for Filing Fees:	License Renewal for Property and Casualty Insurers - \$200.00. DC Department of Insurance, Securities and Banking Consumer and Professional Services Division 810 First Street, NE Suite 602 Washington, DC 20002 Check should be made payable to DC Treasurer Contact Person: Denise Parker denise.parker@dc.gov (e-mail) (202) 442-7815 (telephone)
D	Mailing Address for Premium Tax Payments:	DC Department of Insurance, Securities and Banking Insurance Bureau PO Box 92180 Washington, DC 20090-2180 Checks should be made payable to DC Treasurer Contact Person: Julia C. May, Accountant julia.may@dc.gov (email) (202) 442-7842 (telephone)
E	Delivery Instructions:	All annual financial statement filings must be postmarked no later than March 1 st . 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 th . Premium tax returns and payments must be postmarked no later than March 1 st .
F	Late Filings:	Company will be fined \$100 per day for a late filing. Other actions including license suspension may be taken.
G	Original Signatures:	Original signatures are required on all filings from domestic companies.
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

			<p>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.</p>
J	Exceptions from normal filings:		<p>Foreign companies 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 companies 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.</p>
K	Bar Codes (State or NAIC):		<p>Please follow the instructions in the NAIC Annual Statement Instructions.</p>
L	Signed Jurat:		
M	NONE Filings:		<p>District of Columbia does not require the filing of a "NONE" page if the applicable supplemental interrogatory indicates that the filing is non-applicable.</p>
N	Filings new, discontinued or modified materially since last year:		<p>None of the filings have been discontinued since last year.</p>
O	Item 1.1: Investment Schedule		<p>Domestic Companies are not required to submit an additional copy of the detailed investment schedules if they are already bound in the Annual Statement.</p>
P	Electronic Filing Requirements:		<p>See General Instructions for Companies to Use Checklist that follows for specific guidance on electronic filing requirements including the requirements to file certain items in the 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.</p>
Q	Electronic Claims Payment Report (prompt pay form):		<p>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.</p> <p>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</p>

			<p>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.</p> <p>Contact person: Alvin James, Financial Economist at (202) 442-7772.</p>
	R	Standard Reporting Requirements:	<p>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.</p>
	S	Foreign Company filings:	<p>Foreign Companies to file hard copy of statements only upon written request.</p>
	T	Audited Statements:	<p>Audited Statement must be prepared on a statutory basis. Auditor must be an independent CPA.</p>
	U	Holding Company Registration Statement (Form B), Summary of Changes (Form C) and Report of Material Transactions (Form D):	<p>Foreign Companies domiciled in states that have holding company system filing requirements, similar to the District of Columbia, are not routinely required to file with the DISB. Please refer to DC Code §31, Chapter 7 for guidance.</p>

**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 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.

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 Statement Electronic Filing* includes the complete quarterly statement data.

The *Quarterly Statement .PDF Filing* is the .pdf file for quarterly statement data.

The *Combined Annual Statement Electronic Filing* includes the required pages of the combined annual statement and the combined Insurance Expense Exhibit.

The *Combined Annual Statement .PDF Filing* is the .pdf file for the Combined annual statement data and the combined Insurance Expense Exhibit.

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 (EX4) 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. 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.