

HEALTH ENTITIES

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: _____ Filings Made During the Year 2024

| (1) Checklist | (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 | State | | | |
| | | I. NAIC FINANCIAL STATEMENTS | Please refer to all Notes. | | | | | |
| | 1 | Annual Statement (8 ½"X14") | 2 | EO | xxx | 3/1 | NAIC | Postmark date accepted Notes G, H |
| | 1.1 | Printed Investment Schedule detail (Pages E01-E29) | 2 | EO | xxx | 3/1 | NAIC | Notes P |
| | 2 | Quarterly Financial Statement (8 ½" x 14") | 2 | EO | xxx | 5/15, 8/15, 11/15 | NAIC | Postmark date accepted. Notes G, H |
| | | II. NAIC SUPPLEMENTS | Notes A, B, E, F, I, J, M, S | | | | | |
| | 11 | Accident & Health Policy Experience Exhibit | 2 | EO | xxx | 4/1 | NAIC | |
| | 12 | Actuarial Opinion | 2 | EO | xxx | 3/1 | Company | |
| | 13 | Life Supplemental Data due March 1 | 2 | EO | xxx | 3/1 | NAIC | |
| | 14 | Life Supplemental Data due April 1 | 2 | EO | xxx | 4/1 | NAIC | |
| | 15 | Life Supp Statement non-guaranteed elements – Exh 5, Int. #3 | 2 | EO | xxx | 3/1 | Company | |
| | 16 | Life Supp Statement on par/non-par policies – Exh 5 Int. 1&2 | 2 | EO | xxx | 3/1 | Company | |
| | 17 | Life, Health & Annuity Guaranty Association Assessable Premium Exhibit, Parts 1 and 2 | 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 | Market Conduct Annual Statement Premium Exhibit for Year | 2 | EO | xxx | 3/1 | NAIC | Notes N |
| | 21 | Medicare Part D Coverage Supplement | 2 | EO | xxx | 3/1, 5/15, 8/15, 11/15 | NAIC | |
| | 22 | Medicare Supplement Insurance Experience Exhibit | 2 | EO | xxx | 3/1 | NAIC | |
| | 23 | Risk-Based Capital Report | 2 | EO | xxx | 3/1 | NAIC | |
| | 24 | Schedule SIS | 2 | N/A | N/A | 3/1 | NAIC | |
| | 25 | Supplemental Compensation Exhibit | 2 | N/A | N/A | 3/1 | NAIC | |
| | 26 | Supplemental Health Care Exhibit (Parts 1 and 2) | 2 | EO | xxx | 4/1 | NAIC | Notes N |
| | 27 | Supplemental Investment Risk Interrogatories | 2 | EO | xxx | 4/1 | NAIC | |
| | | III. ELECTRONIC FILING REQUIREMENTS | Notes F, I, O | | | | | |
| | 61 | Annual Statement Electronic Filing | xxx | EO | xxx | 3/1 | NAIC | |
| | 62 | March .PDF Filing | xxx | EO | xxx | 3/1 | NAIC | |
| | 63 | Risk-Based Capital Electronic Filing | xxx | EO | N/A | 3/1 | NAIC | |
| | 64 | Risk-Based Capital .PDF Filing | xxx | EO | N/A | 3/1 | NAIC | |
| | 65 | Supplemental Electronic Filing | xxx | EO | xxx | 4/1 | NAIC | |
| | 66 | Supplemental .PDF Filing | xxx | EO | xxx | 4/1 | NAIC | |
| | 67 | Quarterly Statement Electronic Filing | xxx | EO | xxx | 5/15, 8/15, 11/15 | NAIC | |
| | 68 | Quarterly .PDF Filing | xxx | EO | xxx | 5/15, 8/15, 11/15 | NAIC | |
| | 69 | June .PDF Filing | xxx | EO | xxx | 6/1 | NAIC | |
| | | IV. AUDIT/INTERNAL CONTROL RELATED REPORTS | Notes A, E, F, I, J, T | | | | | |
| | 81 | Accountants Letter of Qualifications | 2 | EO | N/A | 6/1 | Company | |
| | 82 | Audited Financial Reports | 2 | EO | N/A | 6/1 | Company | |
| | 83 | Audited Financial Reports Exemption Affidavit | 2 | N/A | N/A | As Required | Company | |

| (1) Checklist | (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 | State | | | |
| | 84 | Communication of Internal Control Related Matters Noted in Audit | 2 | EO | N/A | 8/1 | Company | |
| | 85 | Independent CPA (change) | 2 | N/A | N/A | As Required | Company | |
| | 86 | Management's Report of Internal Control Over Financial Reporting | 2 | N/A | N/A | 8/1 | Company | |
| | 87 | Notification of Adverse Financial Condition | 2 | N/A | N/A | As Required | Company | |
| | 88 | Relief from the five-year rotation requirement for lead audit partner | 2 | EO | N/A | 3/1 | Company | |
| | 89 | Relief from the one-year cooling off period for independent CPA | 2 | EO | N/A | 3/1 | Company | |
| | 90 | Relief from the Requirements for Audit Committees | 2 | EO | N/A | 3/1 | Company | |
| | 91 | Request for Exemption to File Management's Report of Internal Control Over Financial Reporting | 2 | N/A | N/A | As Required | Company | |
| | | | | | | | | |
| | | V. STATE REQUIRED FILINGS | | | | | | |
| | 101 | Premium Tax Return and Payments | 1 | 0 | 1 | 3/1, 6/1 | DISB | Postmark date accepted. Notes D, E |
| | 102 | State Filing Fees (License Renewal) | 1 | 0 | 1 | 4/30 | DISB | Notes C, E |
| | 103 | Filings Checklist (with Column 1 completed) | 1 | 0 | 0 | | DISB | |
| | 104 | Signed Jurat Page | 1 | 0 | xxx | Various Dates | NAIC | |
| | 105 | Stop Loss Reporting Form (Prompt pay form) | 1 | 0 | 1 | 4/1 | DISB | Notes W |
| | 106 | Electronic Claims Payment From (Prompt pay form) | 1 | 0 | 1 | 3/15 | DISB | Notes R |
| | 107 | Holding Company System Annual Registration Statement (Form B) | 1 | 0 | 0 | 4/30 | Company | Notes A, F, I, J, V |
| | 108 | Holding Company Systems Summary of Changes to Registration Statement (Form C) | 1 | 0 | 0 | 4/30 | Company | Notes A, F, I, J, V |
| | 109 | Holding Company System Prior Notification or Material Transactions (Form D) | 1 | 0 | 0 | As Required | Company | Notes A, V |
| | 110 | Holding Company System Pre-Acquisition Notification (Form E) | 1 | 0 | xxx | As Required | Company | Notes A, V |
| | 111 | Holding Company System Enterprise Risk Report (Form F) **** | 1 | 0 | xxx | 7/1 | Company | Notes A, V |
| | 112 | Corporate Governance Annual Disclosure*** | 1 | 0 | 0 | 6/1 | Company | Notes A, V |
| | 113 | ORSA Summary Report ***** | 1 | 0 | 0 | 8/1 | Company | Notes O |
| | 114 | Biographical Affidavits | 1 | 0 | N/A | As Required | NAIC | Notes X |
| | 115 | Notification of Address Changes | 1 | 0 | 1 | As Required | NAIC | Notes Y |
| | 116 | Group Capital Calculation (File with lead state only) | 1 | 0 | xxx | | Company | Notes N |
| | | | | | | | | |

*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: | Samuel Merlo, Financial Examiner and Analyst sam.merlo@dc.gov (e-mail) (202) 442-7833 (telephone) Also, see Notes C and D below for license and premium tax contacts. |
| | B | Mailing Address: | Nathaniel Kevin Brown, Director - Financial Examinations, Insurance Bureau, DC Department of Insurance, Securities and Banking Financial Analysis Division 1050 First Street, NE Suite, 8 th Floor. Washington, DC 20002 |
| | C | Mailing Address for Filing Fees: | License Renewal Fees for HMOs - \$200.00 License Renewal for HMDIs - \$200.00 Check should be made payable to DC Treasurer PO Box 92180, Washington, DC 20090 Contact Person: Kathy Alexander kathy.alexander@dc.gov – (email) (202) 442-7819 (telephone) |
| | D | Mailing Address for Premium Tax Payments: | All health entity-types are subject to premium taxes. DISB web site is at http://disb.dc.gov . Insurance Tax Return due on or before March 1 and Installment Reporting Statement due on or before June 1. Payment of premium tax payments can be remitted as follows: Website address for Optins. https://login.optins.org/index.html Contact person: Samuel Merlo sam.merlo@dc.gov (email) (202) 442-7833 (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 received no later than March 1 st and Installment Reporting Statement due on or before June 1. |
| | F | Late Filings: | The Company 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 companies. |
| | H | Signature/Notarization/Certification: | The following three Officers, or a person(s) performing similar functions, of DC domiciled insurers are required to certify, on the Jurat Page, Quarterly and Annual Financial Statements filed with Insurance Department, NAIC and other states: 1) Chief Executive Officer 2) Chief Financial Officer 3) Corporate Secretary • If your organization does not utilize the above titles, please notify the Financial Analysis Division and explain how the positions of the individuals who sign your financial statement perform similar functions to a CEO (President), CFO (Treasurer) or Secretary. |

| | | | |
|--|---|---|---|
| | | | <ul style="list-style-type: none"> Individuals performing the duties of both CFO and Secretary must sign separately under each title. Appropriate notarization is required. <p>The name and address of any consulting person or organization who participated in the preparation of the annual statement must be noted on the Jurat Page of the statement.</p> |
| | I | Amended Filings: | <ul style="list-style-type: none"> Domestic company amended items must be filed within 10 days of an amendment, along with a letter of explanation for each amended item and a statement as to what impact the amendment had on the year-end Risk Based Capital Report. Only the amended pages should be filed. If any amendments are determined by the company to impact the results of the RBC calculation as reported on the Five-Year Historical page of the annual statement, then a revised RBC report must be filed along with an amended 5 Year Historical page with the Department and the NAIC. A new Jurat page completed in all respects, must accompany all amendments. Signature requirements for the original filing noted above in Notes G and H should be followed for any amendment. |
| | J | Exceptions from normal filings: | Foreign companies must supply a written copy of an 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 detailed “time-line” 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 | Signed Jurat: | See Notes G, H, and I. |
| | 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: | <p>Market Conduct Annual Statement Premium Exhibit for Year is a new filing.</p> <p>Supplemental Health Care Exhibit’s Allocation Report was discontinued.</p> <p>Supplemental Health Care Exhibit (Parts 1 and 2 and 3) were modified.</p> <p>Group Capital Calculation. Has not been adopted by the District of Columbia. (DISB)</p> |
| | O | ORSA - Own Risk and Solvency Assessment Summary Report: | If you are required to file the ORSA, you must notify the Department of the expected filing date by 8/1. The Department policy is that the ORSA is to be filed no later than 8/1. For guidance in preparing the ORSA see the “ORSA Guideline Manual” at http://www.naic.org/prod_serv_alpha_listing.htm#orsa_guidance |
| | P | Item 1.1: Investment Schedule | Domestic companies are not required to submit an additional copy of the detailed investment schedules if they are already bound in the Annual Statement. |
| | Q | Electronic Filing Requirements: | See General Instructions for Companies to Use Checklist that follows for specific guidance on electronic filing requirements including the |

| | | | |
|--|---|---|--|
| | | | <p>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 website is at http://www.naic.org. The main phone line is (816) 842-3600. The NAIC help desk line is (816) 783-8500.</p> |
| | R | 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 required from those writing health insurance but having no claims.</p> <p>Contact Person: Rashaunda Benson (202) 442-7763 Rashaunda.benson@dc.gov</p> |
| | S | 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> |
| | T | Foreign Company Filings: | <p>Foreign Companies to file hard copy of statements only upon written request.</p> |
| | U | Audited Statements: | <p>Please refer to DC Code §31, Chapter 3 for guidance. Audited Statements must be prepared on a Statutory Basis. Auditor must be an independent CPA. CPA appointment or change notice and Awareness Letter – refer to DC Code §31-304. Accountant’s letter of qualifications – refer to DC Code §31-310.</p> |
| | V | Holding Company Annual Registration Statement (Form B), Holding Company System Summary of Changes to Registration Statement (Form C), and Holding Company System Prior Notification of Material Transactions (Form D), Holding Company System Pre-Acquisition Notification Form (Form E), Holding Company System Enterprise Risk Report (Form F), and Other Holding Company Requirements: | <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.</p> <p>Please refer to D.C. Code §31, Chapter 7 for guidance.</p> |
| | W | Stop Loss Reporting Form: | <p>Howard M. Liebers, Manager, Insurance Products - Forms & Policy Analysis, Insurance Bureau DC Department of Insurance, Securities, and Banking 1050 First Street, NE 8th Floor Washington, DC 20002 Contact person: Howard M. Liebers (202) 442-8571 Howard.liebers@dc.gov The form is at: https://dcgov.seamlessdocs.com/f/DCStopLossReportingForm All Form Submissions will go to insurance.bureau@dc.gov</p> |

| | | | |
|--|---|----------------------------------|--|
| | X | Biographical Affidavits: | <p>Bios should not be filed by Foreign/Alien companies who have filed with their state of domicile.</p> <p>We require all pages of the NAIC biographical affidavit to be completed. Incomplete affidavits will be considered unfiled. All bios should be updated for current officers and directors at the time any of the information changes.</p> <p>Bios for domestic companies must be filed in the original and kept current for Officers and Directors.</p> <p>For domestic companies, the Department requires original bios to be filed for all Officers and Directors listed on Jurat page:</p> <ul style="list-style-type: none"> • When a new Officer or Director is named. • When the information of any current officer and/or director changes. • When the last bio filed with the Department is five years old. <p>Bio Form:</p> <p>https://content.naic.org/sites/default/files/ucaa-industry-naic-biographical-affidavit.pdf</p> |
| | Y | Notification of Address Changes: | <p>Whenever a company has a change in Statutory Home Office or Mailing Address, a form must be completed and submitted to enable us to update our records. Please complete the applicable NAIC UCAA Form (2c or 14) https://content.naic.org/industry/ucaa and file electronically through the UCAA system.</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 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 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.

w:\qa\blanks\checklists\2020 filings made in 2021\1 hlthcklist_2020_filingsmade2021.docx