

FRATERNAL SOCIETIES

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE DISTRICT OF COLUMBIA _____ Filings Made During the Year 2016

(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								Note F, R
	1	Annual Statement (8 1/2"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 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	Postmark date accepted Note E
	3	Separate Accounts Annual Statement (8 1/2"x 14")	2	EO	xxx	3/1	NAIC	
II. NAIC SUPPLEMENTS								Note F, M, R
	10	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	
	11	Analysis of Annuity Operations by Lines of Business	2	EO	N/R	4/1	NAIC	
	12	Analysis of Increase in Annuity Reserves During Year	2	EO	N/R	4/1	NAIC	
	13	Health Care Exhibit (Parts 1, 2 and 3) Supplement	2	EO	N/R	4/1	NAIC	
	14	Health Care Exhibit's Allocation Report Supplement	2	EO	N/R	4/1	NAIC	
	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	Risk-Based Capital Report	2	EO	xxx	3/1	NAIC	
	22	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	
	23	Trusted Surplus Statement	1	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	24	XXX/AXXX Reinsurance Exhibit	2	EO	xxx	4/1	NAIC	
Actuarial Related Items								
	25	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	2	EO	xxx	3/1	Company	
	26	Actuarial Certification Related to Hedging required by Actuarial Guideline XLIII	2	EO	N/A	3/1	Company	
	27	Actuarial Certification Related to Reserves required by Actuarial Guideline XLIII	2	EO	N/A	3/1	Company	
	28	Actuarial Certification regarding use 2001 Preferred Class Table	2	EO	xxx	3/1	Company	
	29	Actuarial Memorandum Related to Universal Life with Secondary Guarantee Policies required by Actuarial Guideline XXXVIII 8D	2	N/A	xxx	4/30	Company	
	30	Actuarial Opinion	2	EO	xxx	3/1	Company	
	31	Actuarial Opinion on X-Factors	2	EO	xxx	3/1	Company	
	32	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	2	EO	xxx	3/1	Company	
	33	Actuarial Opinion on Synthetic Guaranteed Investment Contracts	2	EO	xxx	3/1	Company	
	34	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation	2	EO	N/R	3/1	Company	
	35	Financial Officer Certification Related to Clearly Defined Hedging Strategy required by Actuarial Guideline XLIII	2	EO	N/R	3/1	Company	
	36	Management Certification that the Valuation Reflects Management's Intent required by Actuarial Guideline XLIII	2	EO	N/R	3/1	Company	
	37	RAAIS required by Actuarial Opinion and Memorandum Regulation (Model 822), Section 7A(5)	2	N/A	xxx	3/15	Company	

	38	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	39	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	40	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	41	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	42	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	43	RBC Certification required under C-3 Phase I	2	EO	xxx	3/1	Company	
	44	RBC Certification required under C-3 Phase II	2	EO	xxx	3/1	Company	
	45	Statement on non-guaranteed elements – Exhibit 5 Int. #3	2	EO	xxx	3/1	Company	
	46	Statement on participating/non-participating policies – Exhibit 5, Inter. #1&2	2	EO	xxx	3/1	Company	
		III. ELECTRONIC FILING REQUIREMENTS						Note F, M, P
	60	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	61	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	62	Risk-Based Capital Electronic Filing	xxx	EO	N/A	3/1	NAIC	
	63	Risk-Based Capital .PDF Filing	xxx	EO	N/A	3/1	NAIC	
	64	Separate Accounts Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	65	Separate Accounts .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	66	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
	67	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
	68	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15 & 11/15	NAIC	
	69	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15 & 11/15	NAIC	
	70	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	
		IV. AUDIT/INTERNAL CONTROL RELATED REPORTS						Note F, R
	81	Accountants Letter of Qualifications	2	EO	N/A	6/1	Company	
	82	Audited Financial Reports	2	EO	N/A	6/1	Company	Note S
	83	Audited Financial Reports Exemption Affidavit	2	N/A	N/A	As Required	Company	
	84	Communication of Internal Control Related Matters Noted in Audit	2	N/A	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	Request for Exemption to File	2	N/A	N/A	As Required	Company	
	89	Relief from the five-year rotation requirement for lead audit partner	2	EO	N/A	3/1	Company	
	90	Relief from the one-year cooling off period for independent CPA	2	EO	N/A	3/1	Company	
	91	Relief from the Requirements for Audit Committees	2	EO	N/A	3/1	Company	
		V. STATE REQUIRED FILINGS***						
	101	Premium Tax	NR	0	NR	Not Required	State	Note D
	102	State Filing Fees	1	0	1	4/30	State	Note C
	103	Signed Jurat	2	0	0	3/1, 5/15, 8/15, 11/15	NAIC	Note L
	104	Electronic Claims Payment Report (Prompt Payment Form)	1	0	0	3/15	State	Note Q
	105	Holding Company System Annual Registration Statement (Form B)	1	0	0	4/30	State	Note F, U
	106	Holding Company System Summary of Changes to Registration Statement (Form C)	1	0	0	4/30	State	Note F, U
	107	Holding Company System Prior Notice of a Material Transaction (Form D)	1	0	0	As Required	NAIC	Note U
	108	Holding Company System Pre-Acquisition Notification Form (Form E)	1	0	1	As Required	Company	Note N, U
	109	Holding Company System Enterprise Risk Report (Form F)	1	0	0	7/1	Company	Note N, U
	110	Actuary Illustration Certification	2	0	0	As Required	Company	Note N, V

***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 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**

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
A	Required Filings Contact Person:	Samuel Merlo, Financial 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:	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 Checks should be made payable to DC Treasurer: PO Box 92180, Washington, DC 20090 Contact person: Denise Parker Denise.parker@dc.gov (e-mail) (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 30th.	
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, two other principal officers may sign.	
I	Amended Filings:	Amended filings 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 an 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	Signed Jurat:	Original signatures required on all filings from domestic societies. The President and Secretary are required to sign the annual statement, or in their absence, 2 other principal officers may sign.
	M	NONE Filings:	The 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 Filing: Holding Company System Pre-Acquisition Notification Form (Form E) and Holding Company System Enterprise Risk Report (Form F), and Actuary Illustration Certification.
	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 website is at http://www.naic.org . The main phone number 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. Contact person: Damon Siler damon.siler@dc.gov (e-mail)

			(202) 442- 7834 (telephone)
	R	Foreign Societies Filing:	Foreign societies to file hard copy of statement only upon written request.
	S	Audited Statements:	Please refer to DC Code 31, Chapter 3 for guidance. Audited statements must be prepared on a statutory basis. Auditor must be 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.
	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 .
	U	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) :	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 31, Chapter 7 for guidance.
	V	Actuary Illustration Certification	The District requires domestic fraternal companies to file the certification. For non-domestic companies, the certification only needs to be filed upon request from the regulator.

**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 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 *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 *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 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 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.

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