

PROPERTY & CASUALTY INSURERS

COMPANY NAME: _____ **NAIC Company Code:** _____

Contact: _____ **Telephone:** _____

REQUIRED FILINGS IN THE STATE OF: _____ **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")	3	EO	xxx	3/1	NAIC	G, H(a), I, J, K(a), L
	1.1	Printed Investment Schedule detail (Pages E01-E27)	3	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	G, H(a), I, J, K(a), L
	3	Protected Cell Annual Statement	2	0	xxx	3/1	NAIC	
	4	Combined Annual Statement (8 1/2" x 14")	1	EO	xxx	5/1	NAIC	
II. NAIC SUPPLEMENTS								
	5	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	M
	6	Actuarial Opinion Summary	1	N/A	xxx	3/15	Company	
	7	Combined Insurance Expense Exhibit	2	EO	xxx	5/1	NAIC	M
	8	Credit Insurance Experience Exhibit	2	EO	xxx	4/1	NAIC	M
	9	Exceptions to Reinsurance Attestation Supplement	1	N/A	xxx	3/1	Company	M
	10	Financial Guaranty Insurance Exhibit	2	EO	xxx	3/1	NAIC	M
	11	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	K(a)
	12	Insurance Expense Exhibit	2	EO	xxx	4/1	NAIC	M
	13	Long Term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	M
	14	Management Discussion & Analysis	2	EO	xxx	4/1	Company	K(a)
	15	Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	M
	16	Medicare Part D Coverage Supplement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	M
	17	Premiums Attributed to Protected Cells Exhibit	2	EO	xxx	3/1	NAIC	M
	18	Reinsurance Attestation Supplement	2	EO	xxx	3/1	Company	K(a)
	19	Reinsurance Summary Supplemental	2	EO	xxx	3/1	NAIC	K(a)
	20	Risk-Based Capital Report	1	EO	xxx	3/1	NAIC	G, I, K(a)
	21	Schedule SIS	2	N/A	N/A	3/1	NAIC	M
	22	Statement of Actuarial Opinion	2	EO	xxx	3/1	Company	G, K(a)
	23	Supplement A to Schedule T	2	EO		3/1, 5/15, 8/15, 11/15	NAIC	M
	24	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	K(a)
	25	Trusted Surplus Statement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	M
III. ELECTRONIC FILING REQUIREMENTS								
	26	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	27	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	28	Risk-Based Capital Electronic Filing	xxx	1	N/A	3/1	NAIC	
	29	Risk-Based Capital .PDF Filing	xxx	1	N/A	3/1	NAIC	
	30	Combined Annual Statement Electronic Filing	xxx	1	xxx	5/1	NAIC	
	31	Combined Annual Statement .PDF Filing	xxx	1	xxx	5/1	NAIC	
	32	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	33	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	34	Quarterly Statement Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	35	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	36	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
IV. AUDITED FINANCIAL STATEMENTS								
	37	Accountants Letter of Qualifications	2	N/A	N/A	6/1	Company	K(a), N(c)
	38	Audited Financial Statements	2	EO	xxx	6/1	Company	J, K(a)
	39	Audited Financial Statements Exemption Affidavit	xxx	N/A	N/A		Company	
	40	Independent CPA	1	N/A	N/A	1/1	Company	N(c)
	41	Notification of Adverse Financial Condition	2	N/A	N/A	Within 10 days of CPA discovery	Company	
	42	Report of Significant Deficiencies in Internal Controls	2	N/A	N/A	8/1	Company	K(a), R
	43	Request for Exemption to File	1	N/A	N/A	5/1	Company	J
	44	Request to File Consolidated Audited Annual Statements	1	N/A	N/A	5/1	Company	J
V. STATE REQUIRED FILINGS								
	45	Certificate of Compliance	xxx	0	1	3/1	State	H(b)
	46	Certificate of Deposit	xxx	0	1	3/1	State	H(b)
	47	Filings Checklist (with Column 1 completed)	xxx	0	xxx		State	P
	48	Premium tax	1	0	1	3/1	State	K, Q
	49	State Filing Fees	N/A	0	N/A		State	O
	50	Signed Jurat	xxx	xxx	1	3/1, 5/15, 8/15, 11/15	NAIC	K(b), L
	51	Application for renewal of Certificate of Authority	1	xxx	1	3/1	State	H(b)
	52	Updated Biographical Affidavits	1	xxx	N/A	3/1	Company	Domestic Only
	53	Form B&C Holding Company Statements	1	xxx	xxx	4/15	Company	K(a), S
	54	Form B Supplement Fees between Insurers and Affiliates	1	xxx	xxx	4/15	State	K(a), S
	55	Basket Clause	1	xxx	xxx	3/1	State	K(a), T
	56	TPA Affidavit Pursuant to §376.1084 RSMo	1	xxx	xxx	3/1	State	K(a)
	57	Actuarial Opinion Summary-Confidential Trade Secret	1	xxx	xxx	3/15	Company	K(a)

*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:	Filing Questions: (a) Mary Moon 573-526-5001 or Mary.Moon@insurance.mo.gov (b) Cindy Monroe 573-751-4362 or Cynthia.Monroe@insurance.mo.gov Premium Tax Questions: Noland Stuecken 573-526-4986 or Noland.Stuecken@insurance.mo.gov
B	Mailing Address:	Missouri Department of Insurance, Financial Institutions & Professional Registration (DIFP) (a) 301 West High Street Room 530, Jefferson City MO 65101 (b) PO Box 690, Jefferson City MO 65102
C	Mailing Address for Filing Fees:	Missouri Department of Insurance, Financial Institutions & Professional Registration (DIFP) PO Box 4001 Jefferson City MO 65101
D	Mailing Address for Premium Tax Payments:	Missouri Department of Revenue PO Box 898 Jefferson City MO 65105-0898
E	Delivery Instructions:	All filings must be post marked by the due date If the date falls on a weekend or holiday, the due date may be extended to the next business day.
F	Late Filings:	Companies will be charged \$100 per day per document for a late filing pursuant to §374.215. License may be suspended if the annual statement is not received within 10 days of the Company's receipt of notice from the Department of its failure to file pursuant to 20 CSR 200-1010
G	Original Signatures:	Original signatures required on all filings that require signature. See Note L for information on who is authorized to sign.
H	Signature/Notarization/Certification:	See L below for information on who has statutory responsibility to sign. (A) Document must be notarized (B) Document must be a certified copy
I	Amended Filings:	Amended items must be filed with NAIC and Missouri within 10 days of amendment, along with an explanation of the amendment. Newly signed Jurat pages should accompany all amendments.
J	Exceptions from normal filings:	Extensions/Exemptions from filing: (a) Domestic and foreign companies are required to make a written request at least 30 days prior to the due date. Foreign companies are required to provide a copy of the domestic state's approval of such request. (b) The copy of the Department's approval of such requests along with its associated Missouri barcode should be filed in lieu of the exempt document(s). Consolidated Audit Reports: (a) Domestic and foreign companies are required to make a written request at least 30 days to the due date. Foreign companies are required to provide a copy of the domestic state's approval of such report.
K	Bar Codes (State or NAIC):	Barcodes provided by the DIFP are required K = both foreign and domestic (a) Domestic companies only (b) Foreign companies only
L	Signed Jurat:	Must accompany all original and amended financial statements. Foreign companies need only file a Jurat page with Missouri. The following statutes govern the individuals who are authorized to sign the Jurat. HSC & HMO - §354.435 Prepaid Dental - §354.720 L & H - §376.350 Assessment - §377.100 Stipulated Premium Life - §377.380 Fraternal - §378.626 P & C - §379.105 Missouri Mutual - §380.051 Extended Missouri Mutuals - §380.482 Title - §379.105 Chapter 383 companies - §379.105
M	NONE Filings:	If a company has nothing to report on a form, please indicate "NONE", if applicable, affix its respective barcode, and file the form on or before the due date.
N	Filings new, discontinued or modified materially since last year:	(a) New NAIC requirements (b) The Department had discontinued the requirement to file and EDP Listing and for Life & Health insurers, the Stock Ownership Affidavit. (c) If CPA has changed from the prior year, the CPA must be registered with the Department by January 1 pursuant to §375.1035 RSMo.
O	State Filing Fees	Separate invoices will be mailed June 1.
P	Health Blank	Life and Health companies and Property and Casualty companies filing on the Health Blank please refer to the Health Entities checklist located at www.insurance.mo.gov/industry/forms .
Q	Premium Tax	Not required for HMO and Prepaid Dental companies
R	Report on Internal Control	Must be filed regardless of whether any deficiencies noted.
S	Form B & C	Pursuant to §382.100 and 20 CSR 200-11 101. Filing Fee \$50.00
T	Basket Clause	Pursuant to §376.307

**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.