

General Instructions For Companies to Use with 2020 Checklist

	NOTES AND INSTRUCTIONS (A-N APPLY TO ALL FILINGS)	
A	Required Filings Contact Person:	Filing Questions: (a) Hailey Luebbert 573-526-4877 or Hailey.Luebbert@insurance.mo.gov (b) Cindy Monroe 573-751-4362 or Cynthia.Monroe@insurance.mo.gov Statistics Questions: Rachel Crowe, 573-751-3163 or Rachel.Crowe@insurance.mo.gov Premium Tax Questions: Noland Stuecken 573-526-4986 or Noland.Stuecken@insurance.mo.gov
B	Mailing Address:	Missouri Department of Commerce and Insurance (DCI) (a) 301 West High Street Room 530, Jefferson City, MO 65101 (b) PO Box 690, Jefferson City, MO 65102-0690
C	Mailing Address for Filing Fees:	Missouri Department of Commerce and Insurance (DCI) PO Box 4001, Jefferson City, MO 65102
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 due date falls on a weekend or holiday, the due date may be extended to the next business day.
F	Late Filings:	Each day in which the company fails to file a report or statement is a separate level two violation. Each level two violation may result in a civil penalty or forfeiture of up to one thousand dollars (\$1,000), up to an aggregate civil penalty or forfeiture of fifty thousand dollars (\$50,000) per annum for multiple violations, pursuant to section 374.049 RSMo.
G	Original Signatures	Original signatures required on all filings from domestic companies. Foreign companies should follow the instructions in the NAIC Annual Statement Instructions. Must accompany all original and amended financial statements.
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 within 10 days of amendment, along with an explanation of the amendments. If there are signature requirements for the original filing, same should be followed for any amendment.
J	Exceptions from normal filings:	Extensions / Exemptions from filing: (a) Domestic companies are required to make a written request at least 30 days prior to the due date. (b) Relief from 5-year audit partner rotation must be submitted 30 days prior to end of calendar year pursuant to section 375.1037.3, RSMo. (c) Consolidated Audit Reports (375.1038): 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.
K	Bar Codes (State or NAIC):	Missouri bar codes are no longer required. Please follow the instructions in the NAIC Annual Statement Instructions for NAIC bar codes.
L	Signed Jurat	The following statutes govern the individuals who are authorized to sign the Jurat. Signed Jurat pages are not required for foreign insurers. HCS & HMO - §354.435 Prepaid Dental - §354.720 L&H - §376.350 Fraternal - §378.626 P&C - §379.105 Missouri Mutuals - §380.051 Extended Missouri Mutuals - §380.482 Title - §379.105 Chapter 383 companies - §379.105 Multi-Employer Self-Insured Welfare Associations - §376.1012(4)
M	NONE Filings:	See NAIC Annual Statement Instructions for Supplemental Interrogatories. Exceptions to these instructions are noted on the form. If a company has nothing to report on a state form, please indicate "NONE" and file the form on or before the due date.
N	Filings new, discontinued or modified materially since last year:	None of the filings have been discontinued since last year. (a) Foreign companies that are not required by their domiciliary state to file with the NAIC must submit their entire annual/quarterly statements to Missouri in hard copy; such companies may include reinsurers and risk retention groups. (b) The Application to Renew Certificate of Authority is available from: https://insurance.mo.gov/industry/forms/documents/375-0079_001.pdf . (c) If CPA has changed from the prior year, the CPA must be registered with the Department by December 1 pursuant to §375.1035 RSMo. (d) If actuary has changed from the prior year, the actuary must be registered with the Department pursuant to 20 CSR 200-1.116 (3)(C) for Life & Fraternal companies and annual statement instructions for Property & Casualty and Health companies. (e) Fraternal entities will file all filings using the Life Statement Bank. (f) Multi-Employer Self-Insured Welfare Associations pay fee of 2% of claims paid §376.1000-1040
O	State Filing Fees	Separate invoices will be mailed in May along with Application to Renew Certificate of Authority.
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. Premium Tax forms will be sent electronically, but should be submitted to the Department in hard copy.
R	Report on Internal Control	Must be filed regardless of whether any deficiencies noted.
S	Form B & C, F	Pursuant to §382.100 and 20 CSR 200-11.101. Filing Fee = \$250.00 per registrant, per form.
T	Basket Clause	Pursuant to §376.307 - Life and Health companies, Form MO 375-0076 Pursuant to §379.080 - P&C companies, Form MO 375-0097
U	Certificate of Compliance with Advertising Rules	Pursuant to 20 CSR 400-5.100(8)(B) – any insurer advertising life or annuity policies
V	Biographical Affidavit and Third Party Verifications	Biographical Affidavits are required for every new Director/Officer. Updated Biographical Affidavits are required every five years. Third Party Verifications are required to for every Biographical Affidavit.
W	Supplement to page 19 of the Annual Statement and the Annual Statement Supplement	Submit filing electronically to Statistics Section and hard copy with Premium Tax filing (return). Supplement forms located at https://apps.dci.mo.gov/ProfLiab/Supplements/Form375-0381.aspx for P&C & Title companies, and at https://apps.dci.mo.gov/ProfLiab/Supplements/Form375-1802.aspx for Life Companies.