

**TITLE COMPANIES**

**COMPANY NAME:** \_\_\_\_\_ **NAIC Company Code:** \_\_\_\_\_

**Contact:** \_\_\_\_\_ **Telephone:** \_\_\_\_\_

**REQUIRED FILINGS IN THE STATE OF:** North Carolina **Filings Made During the Year 2020**

(1) Check list	(2) Line #	(3) REQUIRED FILING FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE **	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
<b>I. NAIC FINANCIAL STATEMENTS</b>								
	1	Annual Statement (8 1/2" x 14")	3	EO	xxx	3/1	NAIC	A,B,E,F,G,H,I,J,K,L,M,P
	1.1	Printed Investment Schedule detail (Pages E01-E29)	3	EO	xxx	3/1	NAIC	A,B,E,F,G,H,I,J,K,L,M,P
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15,8/15,11/15	NAIC	A,B,E,F,G,H,I,J,K,L,M,P
<b>II. NAIC SUPPLEMENTS</b>								
	11	Statement of Actuarial Opinion	3	EO	xxx	3/1	Company	A,B,E,F,G,J,K,O,P
	12	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	A,B,E,F,J,K,M,P
	13	Management Discussion & Analysis	2	EO	xxx	4/1	Company	A,B,E,F,J,K,M,P
	14	Schedule SIS	2	N/A	N/A	3/1	NAIC	A,B,E,F,J,K,M
	15	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	A,B,E,F,J,K,M
	16	Supplemental Schedule of Business Written by Agency	2	N/A	N/A	4/1	NAIC	A,B,E,F,J,K,M,P
<b>III. ELECTRONIC FILING REQUIREMENTS</b>								
	61	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	P
	62	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	P
	63	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	P
	64	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	P
	65	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15,8/15,11/15	NAIC	P
	66	Quarterly .PDF Filing	xxx	EO	xxx	5/15,8/15,11/15	NAIC	P
	67	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	P
<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>								
	81	Accountants Letter of Qualifications	2	EO	N/A	6/1	Company	A,B,E,F,J,P
	82	Audited Financial Reports	2	EO	0	6/1	Company	A,B,E,F,J,P
	83	Audited Financial Reports Exemption Affidavit	See Line 88	N/A	N/A		Company	
	84	Communication of Internal Control Related Matters Noted in Audit	2	EO	N/A	8/1	Company	A,B,E,F,J
	85	Independent CPA (change)	See Line 94	N/A	N/A		Company	
	86	Management's Report of Internal Control Over Financial Reporting	2	N/A	N/A	8/1	Company	A,B,E,F,J
	87	Notification of Adverse Financial Condition	2	N/A	1	<b>Within 5 days receipt from CPA</b>	Company	A,B,E
	88	Request for Exemption to File	1	N/A	N/A	10/1	Company	A,B,E,J
	89	Relief from the five-year rotation requirement for lead audit partner	1	EO	N/A	3/1	Company	A,B,E,J
	90	Relief from the one-year cooling off period for independent CPA	1	EO	N/A	3/1	Company	A,B,E,J
	91	Relief from the Requirements for Audit Committees	1	EO	N/A	3/1	Company	A,B,E,J
	92	Designation of Audit Committee	1	N/A	N/A	5/21	Company	A,B,E,J
	93	Request for Extension to File Annual Audited Financial Report	1	N/A	N/A	5/21	Company	A,E,B,J
	94	CPA Designation Letter	1	N/A	N/A	10/1	Company	A,B,E,J
	95	Accountant Awareness Letter	1	N/A	N/A	10/1	Company	A,B,E,J
<b>V. STATE REQUIRED FILINGS</b>								
	101	Corporate Governance Annual Disclosure***	1	N/A	xxx	6/1	Company	A,B,E,G,J,N
	102	Filings Checklist (with Column 1 completed)	0	N/A	xxx		State	A,B
	103	Forms B & C - Holding Company Registration Statement	1	N/A	xxx	4/1	Company	A,B,E,G,J

	104	Form F - Enterprise Risk Report ****	1	N/A	xxx	4/1	Company	
	105	ORSA *****	1	N/A	N/A	<b>No later than 12/31</b>	Company	
	106	State Filing Fees	<b>See line 113</b>	N/A	<b>See line 113</b>	3/1	State	
	107	Signed Jurat	3	N/A	xxx		NAIC	H,L
	108	Certificate of Compliance	0	N/A	0	3/1	State	N
	109	Certificate of Deposit	0	N/A	0	3/1	State	N
	110	Premium Tax Return	1	N/A	1	3/15	State	A,D
	111	Pledged Asset Supplement (G.S. 58-13-25(b))	3	N/A	xxx	3/1,5/15,8/15,11/15	State	A,B,E,G,J
	112	Management Agreement Supplement (G.S. 58-34-10(d))	2	N/A	xxx	3/1	State	A,B,E,G,J
	113	License Update Form and Fee Schedule	1	N/A	1	3/1	State	A,B,C,E,F,G

**\*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.**

**\*\*\* Effective July 1, 2019, North Carolina 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](http://www.naic.org/public_lead_state_report.htm).**

**\*\*\*\* Effective July 1, 2015, North Carolina adopted the NAIC updated Holding Company Model Act, a Form F 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](http://www.naic.org/public_lead_state_report.htm).**

**\*\*\*\*\* Effective July 1, 2017, North Carolina adopted the NAIC updated 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. Consistent with the Form B filing requirements, 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](http://www.naic.org/public_lead_state_report.htm)**

		<b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>
A	Required Filings Contact Person:	<p><b><u>LICENSE UPDATE FORM AND FEE SCHEDULE, AND ANNUAL LICENSE CONTINUATION FEES:</u></b> Ms. Sue Ann Webster (919) 807-6164 <a href="mailto:SueAnn.Webster@ncdoi.gov">SueAnn.Webster@ncdoi.gov</a></p> <p><b><u>DOMESTIC AND FOREIGN COMPANY FILINGS:</u></b> Ms. Sue Ann Webster (919) 807-6164 <a href="mailto:SueAnn.Webster@ncdoi.gov">SueAnn.Webster@ncdoi.gov</a></p> <p><b><u>DOMESTIC AUDITED FINANCIAL REPORTS AND RELATED SUPPLEMENTAL FILINGS:</u></b> Ms. Sue Ann Webster (919) 807-6164 <a href="mailto:SueAnn.Webster@ncdoi.gov">SueAnn.Webster@ncdoi.gov</a></p> <p><b><u>PREMIUM TAX FILINGS:</u></b> NC Department of Revenue Ms. Latoya Parmele (919) 754-2600 <a href="mailto:Latoya.Parmele@ncdor.gov">Latoya.Parmele@ncdor.gov</a></p>
B	Mailing Address:	<p><b>For U. S. Postal Delivery</b> North Carolina Department of Insurance Financial Analysis and Receivership Division Financial Analysis Section 1203 Mail Service Center Raleigh, NC 27699-1203</p> <p><b>For Other Than U. S. Postal Service Delivery</b> North Carolina Department of Insurance Financial Analysis and Receivership Division Financial Analysis Section 325 North Salisbury Street Raleigh, NC 27603</p>
C	Mailing Address for Filing Fees:	<p><b><u>ANNUAL LICENSE CONTINUATION FEES:</u></b> Detailed for your reference at the bottom of the <b>License Update Form and Fee Schedule</b>.</p> <p><b>Checks for fees should be sent under separate cover along with the License Update Form and Fee Schedule to the attention of Ms. Sue Ann Webster at:</b></p> <p><b>For U. S. Postal Delivery</b> North Carolina Department of Insurance Financial Analysis and Receivership Division Financial Analysis Section 1203 Mail Service Center Raleigh, NC 27699-1203</p> <p><b>For Other than US Postal Service Delivery</b> North Carolina Department of Insurance Financial Analysis and Receivership Division Financial Analysis Section 325 North Salisbury Street Raleigh, NC 27603</p> <p><b><u>CHECKS FOR FILING FEES:</u></b> Must include the following information on the check stub: (1) NAIC Company Code, and (2) Company Name if different than the payor on the check.</p> <p>If a check is for more than one company, the check stub must include the above information for <b><u>EACH</u></b> company.</p>
D	Mailing Address for Premium Tax Payments:	<p><b>For U. S. Postal Delivery</b> Ms. Latoya Parmele North Carolina Department of Revenue Insurance Premium Tax Unit P.O. Box 25000 Raleigh, NC 27640-0300</p>

			<p><b>For Other than US Postal Service Delivery</b>  North Carolina Department of Revenue  Insurance Premium Tax Unit  501 North Wilmington Street  Raleigh, NC 27640</p>
E	Delivery Instructions:		<p>All filings must be <b>RECEIVED</b> at the appropriate address provided in <b>Note B</b> no later than the indicated due date. If the due date falls on a weekend or holiday, then the deadline is extended to the next business day.</p> <p>Hand deliveries are <b>NOT</b> accepted.</p>
F	Late Filings:		Penalties under <b>G.S. 58-2-70</b> may apply
G	Original Signatures:		<p><b>DOMESTIC COMPANIES:</b>  Original signatures are required on <b>all</b> filings.</p> <p><b>FOREIGN COMPANIES:</b>  Follow NAIC Annual Statement Instructions.</p>
H	Signature/Notarization/Certification:		<p><b>DOMESTIC COMPANIES:</b>  The following officers are required to sign the annual and quarterly statements: <b>President, CEO, or COO; Secretary; and Treasurer or CFO.</b></p> <p><b>All signatures must be notarized and corporate seal, if any, affixed.</b></p> <p><b>FOREIGN COMPANIES:</b>  Follow the NAIC Annual Statement Instructions.</p>
I	Amended Filings:		<p><b>DOMESTIC COMPANIES:</b>  A properly executed Jurat Page must accompany and amended pages, which must be filed <b>within 10 days</b> of the amendment.</p> <p>Copies of all amendments must also be filed with the NAIC and all states in which the insurer is licensed.</p> <p>The Jurat page accompanying the amended filing must include the amendment number, the amendment date, and the number of pages amended.</p> <p><b>FOREIGN COMPANIES:</b>  <b>All</b> amended annual and/or quarterly statement pages should be filed electronically with the NAIC in accordance with the NAIC Financial Data Repository guidelines.</p>
J	Exceptions from normal filings:		<p>Requests for exemptions or extensions are to be submitted in writing at least 10 days prior to the indicated due date.</p> <p>For additional filing instructions regarding the audited financial statement and supplements, refer to <a href="https://www.ncdoi.gov/insurance-industry/financial-analysis/annual-financial-reporting-law">https://www.ncdoi.gov/insurance-industry/financial-analysis/annual-financial-reporting-law</a></p>
K	Bar Codes (State or NAIC):		Follow NAIC Annual Statement Instructions.
L	Signed Jurat:		<p><b>DOMESTIC COMPANIES:</b>  Annual and quarterly statements are required to be filed in hardcopy. A properly executed Jurat Page must accompany the hardcopy filings.</p> <p><b>FOREIGN COMPANIES:</b>  Hardcopy statements are <b>NOT</b> required to be filed for the 2019 Annual Statement and the 2020 Quarterly Statements.</p>

			All electronic filings should only be submitted to the NAIC in accordance with the NAIC Financial Data Repository guidelines.
	M	NONE Filings:	Follow NAIC Annual Statement Instructions.
	N	Filings new, discontinued or modified materially since last year:	New Filings: Corporate Governance Annual Disclosure (Line 101)  Filings No Longer Required: Certificate of Compliance (Line 108) Certificate of Deposit (Line 109)
	O	Actuarial Opinion:	<b><u>DOMESTIC COMPANIES:</u></b> One (1) original and two (2) copies of the actuarial opinion must be filed with this Department.
	P	Statement Filings / Electronic Filings:	<b><u>DOMESTIC:</u></b> Hardcopy annual and quarterly statements are required to be filed with this Department.  <b>All</b> electronic filings should be submitted to the NAIC.  <b><u>FOREIGN COMPANIES:</u></b> Hardcopy statements are <b>NOT</b> required to be filed for the 2019 Annual Statement and the 2020 Quarterly Statements.  <b>All</b> electronic filings should only be submitted to the NAIC in accordance with the NAIC Financial Data Repository guidelines.

**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 investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The *March .PDF Filing* is the .pdf file for the annual statement, detail for investment schedules and all supplements due March 1.

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 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.