

## TITLE COMPANIES

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 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 ½" x 14")		EO		3/1	NAIC	Postmark date Accepted Note E, R.
	1.1	Printed Investment Schedule detail (Pages E01-E27)		EO	xxx	3/1	NAIC	Note O
	2	Quarterly Financial Statement (8 ½" x 14")		EO		5/15, 8/15, 11/15	NAIC	Postmark date Accepted Note E,R.
<b>II. NAIC SUPPLEMENTS</b>								
	11	Actuarial Opinion		EO		3/1	Company	
	12	Investment Risk Interrogatories		EO		4/1	NAIC	
	13	Management Discussion & Analysis		EO		4/1	Company	
	14	Schedule SIS		N/A	N/A	3/1	NAIC	
	15	Supplemental Compensation Exhibit		N/A	N/A	3/1	NAIC	
	16	Supplemental Schedule of Business Written By Agency		N/A		4/1	NAIC	
<b>III. ELECTRONIC FILING REQUIREMENTS</b>								
	60	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	Note P
	61	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	Note P
	62	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	Note P
	63	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	Note P
	64	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	Note P
	65	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	Note P
	66	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	Note P
<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>								
	81	Accountants Letter of Qualifications		EO	N/A	6/1	Company	
	82	Audited Financial Reports		EO		6/1	Company	Note S
	83	Audited Financial Reports Exemption Affidavit		N/A	N/A		Company	
	84	Communication of Internal Control Related Matters Noted in Audit		N/A	N/A	8/1	Company	
	85	Independent CPA (change)		N/A	N/A		Company	
	86	Management's Report of Internal Control Over Financial Reporting		N/A	N/A	8/1	Company	
	87	Notification of Adverse Financial Condition		N/A	N/A		Company	
	88	Request for Exemption to File		N/A	N/A		Company	
	89	Relief from the five-year rotation requirement for lead audit partner		EO		3/1	Company	
	90	Relief from the one-year cooling off period for independent CPA		EO		3/1	Company	
	91	Relief from the Requirements for Audit Committees		EO		3/1	Company	
<b>V. STATE REQUIRED FILINGS***</b>								
	101	Filings Checklist (with Column 1 completed)	1	0	0	Various	State	Note A
	102	State Filing Fees	1	0	1		State	Note C
	103	Signed Jurat	2	0	0	3/1	NAIC	Note L
	104	Premium Tax	1	0	1	3/1, 6/1	State	Note D
	105	Holding Company System Annual Registration Statement (Form B)						Note A,F,I, J,T
	106	Holding Company System Summary of Changes to Registration Statement (Form C)						Note A,F,I,J,T
	107	Holding Company System Prior Notification of Material Transaction (Form D)						Note A,T

	108	Holding Company System Pre-Acquisition Notification Form (Form E)						Note A,T
	109	Holding Company System Enterprise Risk Report (Form F)						Note A,T

**\*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](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:	Nancy Ukairo, Insurance Examiner (Audit) <a href="mailto:Chidinma.ukairo@dc.gov">Chidinma.ukairo@dc.gov</a> (email) (202) 442-7794 (telephone) Also, see notes C and D below for license and premium tax contacts	
B	Mailing Address:	Nathaniel Kevin Brown, Chief Financial Manager DC Department of Insurance, Securities and Banking 810 First Street, NE, Suite 602 Washington, DC 20002 Attention: Kevin Brown	
C	Mailing Address for Filing Fees:	License renewal for Title - \$200.00 DC Department of Insurance, Securities and Banking 810 First Street, NE, Suite 602 Washington, DC 20002 Check should be made Payable to D.C. Treasurer Contact Person: Denise Parker <a href="mailto:Denise.parker@dc.gov">Denise.parker@dc.gov</a> (email) (202) 442-7815 (telephone)	
D	Mailing Address for Premium Tax Payments:	D.C. Department of Insurance, Securities and Banking P.O. Box 92180 Washington, DC 20090-2180 Check should be made Payable to D.C. Treasurer Contact Person: Jessie Li <a href="mailto:Jessie.li@dc.gov">Jessie.li@dc.gov</a> (email) (202) 442-8568 (telephone)	
E	Delivery Instructions:	All annual financial statement filings must be postmarked no later than March 1 <sup>st</sup> . 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 <sup>th</sup> . Premium tax returns and payments must be postmarked no later than March 1 <sup>st</sup> .	
F	Late Filings:	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 President and Secretary are required to sign the annual statement, or in their absence, 2 other principal officers may sign.	
I	Amended Filings:	Amended items must be filed within 10 days of amendment, along with an explanation of the amendments for the original filings; same should be followed	

			for any amendment. Amendments to the Annual or Quarterly Statements require an amendment number, amendment filing date and the number of pages filed.
J	Exceptions from normal filings:		Foreign companies must supply a written copy of any 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 delay and 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:		See Notes G, H, and I above.
M	NONE Filings:		The District of Columbia does not require the filings of a "NONE" page if the applicable supplement interrogatory indicates that the filing is non-applicable
N	Filings new, discontinued or modified materially since last year:		New Filings: Holding Company System Pre-Acquisition Notification (Form E), and Holding Company System Enterprise Risk Report (Form F). None of the filings have been discontinued since last year.
O	Items 1.1 Investments Schedule Detail		Domestic Companies are not required to submit an additional copy of the detailed investment schedules if they are already found in the Annual Statement
P	Electronic Filing Requirements		See General Instructions for Companies to Use Checklist which follows for specific guidance on electronic filing requirements including the requirements to file certain items in the portable documents format (PDF) files. Any questions regarding electronic filing should be directed to the NAIC. The NAIC web site is at <a href="http://www.naic.org">http://www.naic.org</a> The main phone line is (816) 842-3600 The NAIC help desk is (816) 783-8500
Q	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 <a href="http://www.naic.org">http://www.naic.org</a> .
R	Foreign Company Filings		Foreign Companies to file hard copy of statements 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	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 7 for guidance.

**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.

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