

## TITLE COMPANIES

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

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

REQUIRED FILINGS IN THE STATE OF: \_\_\_\_\_ Filings Made During the Year 2017

(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 1/2" x 14")	1	EO	xxx	3/1	NAIC	H, L, M
	1.1	Printed Investment Schedule detail (Pages E01-E27)	1	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	1	EO	xxx	5/15, 8/15, 11/15	NAIC	H, L, M
<b>II. NAIC SUPPLEMENTS</b>								
	11	Actuarial Opinion	1	EO	xxx	3/1	Company	
	12	Investment Risk Interrogatories	1	EO	xxx	4/1	NAIC	
	13	Management Discussion & Analysis	1	EO	xxx	4/1	Company	
	14	Schedule SIS	1	N/A	N/A	3/1	NAIC	
	15	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	
	16	Supplemental Schedule of Business Written By Agency	1	N/A	xxx	4/1	NAIC	
<b>III. ELECTRONIC FILING REQUIREMENTS</b>								
	61	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	62	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	63	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
	64	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
	65	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	66	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	67	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	
<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>								
	81	Accountants Letter of Qualifications	1	EO	N/A	6/1	Company	
	82	Audited Financial Reports	1	EO	N/A	6/1	Company	
	83	Audited Financial Reports Exemption Affidavit	0	N/A	N/A		Company	
	84	Communication of Internal Control Related Matters Noted in Audit	1	N/A	N/A	8/1	Company	
	85	Independent CPA (change)	1	N/A	N/A		Company	
	86	Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1	Company	
	87	Notification of Adverse Financial Condition	1	N/A	Note A		Company	A
	88	Request for Exemption to File	1	N/A	Note J		Company	J
	89	Relief from the five-year rotation requirement for lead audit partner	1	EO	xxx	3/1	Company	
	90	Relief from the one-year cooling off period for independent CPA	1	EO	xxx	3/1	Company	
	91	Relief from the Requirements for Audit Committees	1	EO	xxx	3/1	Company	
<b>V. STATE REQUIRED FILINGS***</b>								
	101	Filings Checklist (with Column 1 completed)	0	0	0		State	
	102	State Filing Fees	1	0	1	5/31	State	C
	103	Form B-Holding Company Registration Statement	1	0	Note N	6/1	Company	N
	104	Form F-Enterprise Risk Report ***	1	0	Note N	6/1	Company	N
	105	ORSA ****	0	0	0		Company	
	106	Signed Jurat	1	0	EO	3/1, 5/15, 8/15 11/15	NAIC	O
	107	Certificate of Compliance	0		EO	3/1	State	O
	108	Certificate of Deposit	0		EO	3/1	State	O
	109	Premium Taxes	Note D	0	Note D		State	D

\*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)**

**\*\*\*\*For those states that have 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. 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	<p>Required Filings Contact Person:  Donna Whitley  Financial &amp; Market Regulation Division  <a href="mailto:filings@mid.ms.gov">filings@mid.ms.gov</a>    601-359-2127</p>			
B	<table border="0"> <tr> <td style="vertical-align: top;"> <p><b><u>Physical Address:</u></b>  Mississippi Insurance Department  Attention: Financial &amp; Market  Regulation Division  Woolfolk State Office Building  501 N. West St., Ste. 1001  Jackson, MS 39201</p> </td> <td style="vertical-align: top;"> <p><b><u>Mailing Address:</u></b>  Mississippi Insurance Department  Attention: Financial &amp; Market  Regulation Division  P O Box 79  Jackson, MS 39205-0079</p> </td> </tr> </table>	<p><b><u>Physical Address:</u></b>  Mississippi Insurance Department  Attention: Financial &amp; Market  Regulation Division  Woolfolk State Office Building  501 N. West St., Ste. 1001  Jackson, MS 39201</p>	<p><b><u>Mailing Address:</u></b>  Mississippi Insurance Department  Attention: Financial &amp; Market  Regulation Division  P O Box 79  Jackson, MS 39205-0079</p>	
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C	<p>Filing Fees:</p> <ul style="list-style-type: none"> <li>• Filing Fees are due May 31<sup>st</sup>.</li> <li>• The Department will invoice the filing fees with the company's license renewal fee</li> <li>• The Department no longer accepts the payment of fees with the filings. (i.e. The Department will no longer accept the \$50.00 filing fee with the submission of the quarterly financial statements or certificates)</li> <li>• Any questions regarding the payment of filing fees should be addressed to <a href="mailto:filings@mid.ms.gov">filings@mid.ms.gov</a></li> </ul>			
D	<p>Mailing Address for Premium Tax Payments:</p> <table border="0"> <tr> <td style="vertical-align: top;"> <p><b><u>Physical Address:</u></b>  Mississippi Department of Revenue  Attn: Derrick Barnes  1577 Springridge Rd.  Raymond, MS 39154  601-923-7175</p> </td> <td style="vertical-align: top;"> <p><b><u>Mailing Address:</u></b>  Mississippi Department of Revenue  Attn: Derrick Barnes  P O Box 23075  Jackson, MS 39225-3075</p> </td> </tr> </table>	<p><b><u>Physical Address:</u></b>  Mississippi Department of Revenue  Attn: Derrick Barnes  1577 Springridge Rd.  Raymond, MS 39154  601-923-7175</p>	<p><b><u>Mailing Address:</u></b>  Mississippi Department of Revenue  Attn: Derrick Barnes  P O Box 23075  Jackson, MS 39225-3075</p>	
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E	<p><b>Delivery Instructions:</b>  All filings must be received no later than the indicated due date. If the due date falls on a weekend or holiday, the due date is the next business day.</p>			
F	<p><b>Late Filings:</b>  Pursuant to <u>Miss. Code Ann.</u> § 83-5-69, company shall pay \$100 for each day's neglect, and upon notice by the commissioner to that effect, its authority to do new business shall cease while such default continues.</p>			
G	<p><b>Original Signatures:</b>  Original wet signatures are required on all filings from domestic companies. Foreign companies should follow the NAIC Annual Statement Instructions.</p>			
H	<p><b>Signature/Notarization/Certification:</b>  The statement shall be sworn to by the president or vice president and secretary or treasurer or chief managing agent or officer of such company.</p>			
I	<p><b>Amended Filings:</b>  Amended items must be filed within 10 days of their amendment, along with explanation of the amendments. If there are signature requirements for the original filings, then same should be followed for any amendment.</p>			
J	<p><b>Exceptions from normal filings:</b>  <b>Foreign</b> companies shall submit a written request by <b>electronic filing</b> of any exemption or extension received by its state of domicile at least 10 days prior to the filing due date to receive such from Mississippi. You may submit the request to <a href="mailto:filings@mid.ms.gov">filings@mid.ms.gov</a>.    <b>Domestic</b> companies shall apply at least 10 days prior to the original due date via contact with your analyst.</p>			

		<b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>	
	K	Bar Codes (State or NAIC): NAIC Annual Statement Instructions should be followed.	
	L	Signed Jurat: The Department requires the filing of a signed Jurat for domestic and foreign companies.	
	M	NONE Filings: NAIC Annual Statement Instructions should be followed.	
	N	Filings new, discontinued or modified materially since last year: Foreign companies which do not have a Holding Company law similar to Mississippi are required to file pursuant to <u>Miss. Code Ann. § 83-6-3</u> .	
	O	<p><b><u>Electronic Filings:</u></b></p> <p><b>Foreign insurers</b> shall file an electronic copy with the Department via the Document Submission Portal on or before the statutory due date. To access the Document Submission Portal, please click on the following link: <a href="http://www.mid.ms.gov/companies/filing-submission-portal.aspx">http://www.mid.ms.gov/companies/filing-submission-portal.aspx</a></p> <p><b>Please note that no hard copy filings are required.</b> Should there be any questions concerning use of the Portal, please contact <a href="mailto:filings@mid.ms.gov">filings@mid.ms.gov</a>.</p> <p><b>All domestic insurers</b> are still required to submit annual and quarterly filings by paper copy to the Departments as well as electronically to the NAIC by the statutory due date.</p>	

**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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