

This checklist does not apply to Surplus Lines and Risk Retention Groups. Please refer to the link below:

www.tdi.state.tx.us/company/colr/clnonadmit.html

PROPERTY & CASUALTY INSURERS

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: **TEXAS** Filings Made During the Year 2007

(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			
			State	NAIC				
I. NAIC FINANCIAL STATEMENTS								
	1	Annual Statement (8 1/2" x 14")	1	1	xxx	3/1	NAIC	K, Q, AA
	1.1	Printed Investment Schedule detail (Pages E01-E25)	1	1	xxx	3/1	NAIC	Q, AA
	2	Quarterly Financial Statement (8 1/2" x 14")	1	1	xxx	5/15, 8/15, 11/15	NAIC	K, Q, AA
	3	Protected Cell Annual Statement	xxx	xxx	xxx	3/1	NAIC	U
	4	Combined Annual Statement (8 1/2" x 14")	1	1	xxx	5/1	NAIC	K, Q, AA
II. NAIC SUPPLEMENTS								
	10	Accident & Health Policy Experience Exhibit	1	1	xxx	4/1	NAIC	Q
	11	Combined Insurance Expense Exhibit	1	1	xxx	5/1	NAIC	Q
	12	Credit Insurance Experience Exhibit	1	1	xxx	4/1	NAIC	Q
	13	Financial Guaranty Insurance Exhibit	1	1	xxx	3/1	NAIC	Q
	14	Investment Risk Interrogatories	1	1	xxx	4/1	NAIC	Q
	15	Insurance Expense Exhibit	1	1	xxx	4/1	NAIC	Q
	16	Long Term Care Experience Reporting Forms	1	1	xxx	4/1	NAIC	Q
	17	Management Discussion & Analysis	1	1	xxx	4/1	Company	K, Q
	18	Medicare Supplement Insurance Experience Exhibit	1	1	xxx	3/1	NAIC	Q
	19	Medicare Part D Coverage Supplement	1	1		3/1, 5/15, 8/15, 11/15	NAIC	N, Q
	20	Premiums Attributed to Protected Cells Exhibit	xxx	xxx	xxx	3/1	NAIC	U
	21	Reinsurance Attestation Supplement	1	1	xxx	3/1	Company	R
	22	Reinsurance Summary Supplemental	1	1	xxx	3/1	NAIC	R
	23	Risk-Based Capital Report	0	1	xxx	3/1	NAIC	O, Y
	24	Schedule SIS	1	xxx	xxx	3/1	NAIC	R
	25	Statement of Actuarial Opinion	1	1	xxx	3/1	Company	K, Q
	26	Actuarial Opinion Summary (<i>Confidential Filing-mail separately from the Annual Statement</i>)	1	xxx	xxx	3/15	Company	AK
	27	Supplement A to Schedule T	1	1	xxx	3/1, 5/15, 8/15, 11/15	NAIC	Q
	28	Supplemental Compensation Exhibit	1	xxx	xxx	3/1	NAIC	K, P, R
	29	Trusted Surplus Statement	1	1	xxx	3/1, 5/15, 8/15, 11/15	NAIC	Q
III. ELECTRONIC FILING REQUIREMENTS								
	30	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	O, Z
	31	March .PDF Filing	xxx	1	xxx	3/1	NAIC	O, Z
	32	Risk-Based Capital Electronic Filing	xxx	1	xxx	3/1	NAIC	O, Z
	33	Combined Annual Statement Electronic Filing	xxx	1	xxx	5/1	NAIC	O, Z
	34	Combined Annual Statement .PDF Filing	xxx	1	xxx	5/1	NAIC	O, Z
	35	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	O, Z
	36	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	O, Z
	37	Quarterly Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	O, Z
	38	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	O, Z
	39	June .PDF Filing (<i>Audited Financial Report</i>)	xxx	1	xxx	6/30	NAIC	O, Z, AD
IV. AUDITED FINANCIAL STATEMENTS								
	51	Accountants Letter of Qualifications (<i>TIC Art. 1.15A § 16A</i>)	1	xxx	xxx	6/30	Company	R
	52	Audited Financial Statements (<i>CPA Report</i>)	1	1	xxx	6/30	Company	K, Q, AD
	53	Audited Financial Statements Exemption Affidavit (<i>See note AG-TIC Art. 1.15A § 4</i>)	1	xxx	xxx	6/30	Company	R, AG
	54	Independent CPA (<i>Designation of Accountant - See Intent Form.- See note AF - TIC Art. 1.15 A §11</i>)	1	xxx	xxx	12/31/06	Company	R, AF
	55	Notification of Adverse Financial Condition (<i>see more details in note AD</i>)	1	xxx	1	Not later than 5 th business day of notice that condition exists	Company	P, AD
	56	Report of Significant Deficiencies in Internal Controls	1	xxx	1	8/31/07	Company	P, AD
	57	Request for Exemption to File	1	xxx	xxx	6/30	Company	P, AG
	58	Request to File Consolidated Audited Annual Statements	1	xxx	xxx	12/31/06	Company	P, AH

*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC 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.

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

(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	State			
		V. STATE REQUIRED FILINGS						
	101	Accountants Letter of Awareness Pursuant to TIC Art. 1.15(A)§11	1	N/A	N/A	12/31	Accountant	R, AF
	102	Analysis of Surplus	1	N/A	N/A	3/1	State	P, AB
	103	Annual Holding Company Registration Statement (Form B)	1	N/A	N/A	4/30	Company	C, R, AE
	104	Biographical Affidavit	1	N/A	1	3/1	State	P, X
	105	Certificate of Compliance – of Advertising	1	N/A	1	3/1	State	P
	106	Certificate of Compliance – of Authority	N/A	N/A	N/A	N/A	State	U
	107	Certificate of Deposit	N/A	N/A	N/A	N/A	State	U
	108	Certificate of Valuation	N/A	N/A	N/A	N/A	State	U
	109	Company Details Sheet (will be mailed to companies-call 512-322-3507 w/questions)	1	N/A	1	3/1	State	P
	110	Filings Checklist (with Column 1 completed)	xxx	1	xxx	3/1	State	O
	111	Premium tax (file with Texas Comptroller of Accounts)	1	N/A	1	Varies	State	D, P, V
	112	Signed Jurat page (only)	xxx	N/A	1	3/1, 5/15, 8/15, 11/15	NAIC	K, L, P, AA
	113	State Filing Fees (Annual Statements)	1	N/A	1	Varies	State	C, P
	114	Texas Officers and Directors Page	1	N/A	N/A	3/1	State	P, R
	115	Texas Overhead Assessment Exemption Form	1	N/A	N/A	3/1	State	P, R
	116	Texas Supplement A For County Mutuals (County Mutuals Only)	1	N/A	N/A	3/1	State	P, R
	117	Texas Supplement For County Mutuals (County Mutuals Only)	1	N/A	N/A	3/1	State	P, R
	118	Request for Permitted Accounting Practice	1	N/A	N/A	As Needed	Company	R, AI

***If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC 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.**

****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:	Kristine Ehrlich (512) 322-5030 kristine.ehrlich@tdi.state.tx.us
	B	Mailing Address:	Texas Department of Insurance Financial Analysis & Examinations 333 Guadalupe St MC 303-1A Austin TX 78701
	C	<p>Mailing Address for Annual Statement Filing Fees:</p> <hr/> <p>Mailing Address for NAIC Filing Fees (now paid by Insurers to the NAIC):</p> <hr/> <p>Mailing Address for Form B and other Holding Company Filing Fees:</p>	<p>Comptroller of Public Accounts 111 E 17th St Austin TX 78774-0100 (512) 463-4600 (800) 252-1387</p> <hr/> <p>To be filed together with the NAIC filings. See www.naic.org for details.</p> <hr/> <p>Complete the form below and send to the Department: http://www.tdi.state.tx.us/company/form_forms/index.html (Scroll down to Miscellaneous Forms and select the Cashier's Form).</p>
	D	Mailing Address for Texas Premium Tax Payments:	Comptroller of Public Accounts 111 E 17th St Austin TX 78774-0100 (512) 463-4600 (800) 252-1387
	E	<p>Delivery Instructions:</p> <p>Filings must be postmarked by due date. If due date falls on a weekend or federal holiday, then due date is next business day.</p>	Texas Department of Insurance Financial Analysis & Examinations 333 Guadalupe St MC 303-1A Austin TX 78701
	F	Late Filings:	Penalties and fines for late filings are provided for by the Texas Insurance Code.
	G	Original Signatures:	Required of domestic companies by the top two officers (one being the company president) (foreign also see note L).
	H	Signature/Notarization/Certification:	Original for domestic companies. Facsimile for foreign companies (foreign also see note L).

I	Amended Filings:	To be submitted with cover letter and Jurat signed by top two officers (one being the company president). If more than five pages are amended, submit an entire statement including Jurat with appropriate signatures.
J	Exceptions from normal filings:	None.
K	Barcodes (State or NAIC)	NAIC Barcodes are required.
L	Signed Jurat	Top two officers, one being the President.
M	NONE Filings:	“NONE” bar codes are allowed.
N	Filings new, discontinued or modified materially since last year.	New: Medicare Part D Coverage Supplement
O	Filed with the NAIC only.	
P	Filed with Texas only.	
Q	Filed with the NAIC and Texas	
R	Required of Texas domestic companies only .	
S	Required of foreign companies only .	
T	Required of Texas domestic and foreign companies.	
U	Not required to be filed.	
V	To be filed with the State of Texas Comptroller of Public Accounts.	Comptroller of Public Accounts 111 E 17th St Austin TX 78774-0100 (512) 463-4600 (800) 252-1387
W	Texas Officers and Directors.	Required of Texas domestic companies , only if information has changed.
X	Biographical Affidavit.	Foreign insurers: list President, Secretary and Treasurer only if the information has changed. Domestic insurers: list the officers and directors from the Department’s Officers and Directors page only if the information has changed.
Y	Risk-Based Capital Report.	Required upon request.
Z	To be filed electronically with the NAIC.	
AA	Foreign companies.	Foreign companies shall file a Signed Jurat page with the Texas Department if not filing a paper copy of the Annual and Quarterly Statements with the Department.

	AB	Analysis of Surplus	Required of all Texas domestic companies; and foreign insurers classified as a commercially domiciled; and foreign insurers that file an application for Policyholder Dividends.
	AC	Recommended, not required.	
	AD	Audited Financial Statements	Domestic Insurers: File hard copy with TDI. Foreign Insurers: The Department will accept Annual Audited Financial Statements filed with the NAIC in accordance with the NAIC Electronic Filing Submission Directive in lieu of filing a hard copy with the Department. Any companies receiving a Notification of Adverse Financial Condition or a Report of Significant Deficiencies in Internal Control must file a hard copy with the Department.
	AE	Annual Holding Company Registration Statement (Form B)	Applies to all Texas domestic and Commercially domiciled insurers that are subject to the Insurance Holding Company System Regulatory Act. Chapter 823 (Formerly Article 21.49-1§3).
	AF	CPA Audited Financial Statement – Intent Form (Texas Domestic Companies Only)	Complete this Texas supplemental form available through TDI website: (Domestics Only). http://www.tdi.state.tx.us/forms/financialanalysis/fin244cpaintent.doc (Word format) or http://www.tdi.state.tx.us/forms/financialanalysis/fin244cpaintent.pdf (PDF format).

	AG	CPA Audited Financial Statement – Affidavit for Exemption	Generally, an insurer may qualify for an exemption to file a CPA report if direct written premiums in Texas were less than \$1 million. Insurers that have more than \$1 million in assumed premiums are not exempt. See Article 1.15A §4(a) of the Texas Insurance Code for more information. (See links below). http://www.tdi.state.tx.us/forms/financialanalysis/fin246cpaexeff.doc (Word format) or http://www.tdi.state.tx.us/forms/financialanalysis/fin246cpaexeff.pdf (PDF format).
	AH	Request to file Consolidated Audited Annual Statement	Refer to TIC Art. 1.15A §13
	AI	Request for Permitted Accounting Practice to be sent to: Cathy Lockett-Conniff Associate Chief Examiner, Examinations Division Texas Department of Insurance 333 Guadalupe St MC 305-2E Austin TX 78701	Include the requested practice, the referenced SSAP number, the reason for the request, and the financial impact of the request.
	AJ	Holding Company Filings	File Holding Company documents with the Department if any insurer in the group is a Texas Domestic. Foreign insurers file hard copy with their Domestic State.
	AK	Actuarial Opinion Summary	Property and Casualty Actuarial Opinion Summary (28 TAC §7.9) Confidential filing – file separately per Rule. Mail to: Texas Department of Insurance Actuarial Division MC302-3A 333 Guadalupe St. Austin TX 78701 or electronically to ActuarialDivision@tdi.state.tx.us

**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 send mailing labels, and other information, to all companies but 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.

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 *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.