

ANNUAL FILING CHECKLIST CERTIFIED COMPANIES

**THE FOLLOWING CHECKLIST IS PROVIDED TO AID YOUR COMPANY IN
SUBMITTING A COMPLETE FILING TO THIS DEPARTMENT (COPY OF THIS
CHECKLIST IS TO BE SUBMITTED WITH FILING)**

REPORTING COMPANY NAME: _____

CONTACT PERSON NAME AND TITLE: _____

CONTACT PERSON PHONE NO. AND E-MAIL ADDRESS: _____

ITEMS TO BE SUBMITTED	<u>SUBMITTED</u>	
	YES	NO
1. Renewal Fee (pay on-line at www.fms.treas.gov/c570)	<input type="checkbox"/>	<input type="checkbox"/>
2. Annual Financial Statement of Reporting Company	<input type="checkbox"/>	<input type="checkbox"/>
3. NAIC CD of Reporting Company	<input type="checkbox"/>	<input type="checkbox"/>
4. For Subsidiaries Shown on Schedule D:	<input type="checkbox"/>	<input type="checkbox"/>
a. Annual Financial Statement of Insurance Company Subsidiaries	<input type="checkbox"/>	<input type="checkbox"/>
b. NAIC CD of Insurance Co. Subsidiaries	<input type="checkbox"/>	<input type="checkbox"/>
c. Balance Sheet as of Year End for Non-Insurance Company Subsidiaries	<input type="checkbox"/>	<input type="checkbox"/>
5. Surety License Form (form provided on-line)* – Provide all current information	<input type="checkbox"/>	<input type="checkbox"/>
6. Treasury Schedule F (form provided on-line)*	<input type="checkbox"/>	<input type="checkbox"/>
7. Copies of LOC's and Trust Agreements for Largest Recoverable Amounts Reported on Sch. F, Part 2, Columns 4a and 4b	<input type="checkbox"/>	<input type="checkbox"/>
8a. Schedule of Excess Risks (form provided on-line)*	<input type="checkbox"/>	<input type="checkbox"/>
b. Reinsurance Agreement Forms for All Bonds Written with U.S. Government as the Obligee (SF 273, 274, 275) (Available on-line)*	<input type="checkbox"/>	<input type="checkbox"/>
c. Powers of Attorney for all Attorneys-In-Fact on Reins. Agrmt. Forms	<input type="checkbox"/>	<input type="checkbox"/>

9. CPA Audited Financial Statements (specific to reporting company - consolidated filings only accepted if approval granted by this Dept.)		
10. CPA Report on Internal Controls		
11. CPA Management Letter		
12. 10K Report		
13. Management's Discussion and Analysis		
14. Independent Actuarial Opinion		
15a. NAIC IRIS Ratio Results		
b. Explanation of IRIS Ratios with Unusual Results		
16. Current State Exam Report (if not previously provided) and copy of correspondence responding to Examiner's recommendations		
17. Updated Biographical Affidavits of New Officers and Directors (use NAIC Format)		
18. Bail Bond Reserve Schedule (if applicable)		
19. Description of Miscellaneous Assets Reported on Page 1 of the Annual Financial Statement		
20. Current Appraisals for Mortgage Loans and Real Estate Acquired During this Past Year		
21. Insurance Dept. Certificates: - verifying large infusions of capital or surplus - verifying approval of extraordinary dividend		
22. Documents Describing Changes in the Company (i.e., name change, ownership change, change in state of incorporation, change in CPA audit firms, etc...)		
23. Copies of Changes to Charter or Articles of Incorporation or Bylaws Which Occurred this Past Year		
24. Report on Federal Business Written/or Assumed and Outstanding (form provided on- line)*		

*****NOTE: IT IS NOT NECESSARY TO SUBMIT INSURANCE EXPENSE EXHIBITS*****

***ALL OF OUR FORMS ARE AVAILABLE ON-LINE AT <http://www.fms.treas.gov/c570>**