

LIFE, ACCIDENT AND HEALTH/FRATERNAL INSURERS

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: Maryland Filings Made During the Year 2019

FRATERNAL COMPANIES BEGIN FILING LIFE/FRATERNAL STATEMENT EFFECTIVE WITH FIRST QUARTER, 2019.

(1) Checklist	(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			
I. NAIC FINANCIAL STATEMENTS								
	1	Annual Statement (8 1/2"x14")	2	EO	xxx	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E27)	2	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	
	3	Separate Accounts Annual Statement (8 1/2"x14")	2	EO	xxx	3/1	NAIC	
II. NAIC SUPPLEMENTS								
	11	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	
	12	Analysis of Annuity Operations by Lines of Business	2	EO	xxx	4/1	NAIC	
	13	Analysis of Increase in Annuity Reserves During Year	2	EO	xxx	4/1	NAIC	
	14	Credit Insurance Experience Exhibit	2	EO	xxx	4/1	NAIC	
	15	Interest Sensitive Life Insurance Products Report	2	EO	xxx	4/1	NAIC	
	16	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit	2	EO	xxx	4/1	NAIC	
	17	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form	2	EO	xxx	4/1	NAIC	
	18	Long-term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	
	19	Management Discussion & Analysis	2	EO	xxx	4/1	Company	
	20	Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	
	21	Medicare Part D Coverage Supplement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	22	Risk-Based Capital Report	2	EO	xxx	3/1	NAIC	
	23	Schedule SIS	2	N/A	xxx	3/1	NAIC	
	24	Supplemental Compensation Exhibit	xxx	N/A	xxx	3/1	NAIC	
	25	Supplemental Health Care Exhibit (Parts 1, 2 and 3)	2	EO	xxx	4/1	NAIC	
	26	Supplemental Health Care Exhibit's Allocation Report	2	EO	xxx	4/1	NAIC	
	27	Supplemental Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	28	Supplemental Schedule O	2	EO	xxx	3/1	NAIC	
	29	Supplemental Term and Universal Life Insurance Reinsurance Exhibit	1	EO	xxx	4/1	NAIC	
	30	Trusteed Surplus Statement	xxx	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	31	Variable Annuities Supplement	2	EO	xxx	4/1	NAIC	
	32	VM 20 Reserves Supplement	2	EO	xxx	3/1	NAIC	
	33	Workers' Compensation Carve-Out Supplement	2	EO	xxx	3/1	NAIC	
Actuarial Related Items								
	34	Actuarial Certification regarding use 2001 Preferred Class Table	2	EO	xxx	3/1	Company	
	35	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	2	EO	xxx	3/1	Company	
	36	Actuarial Certification Related to Hedging required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	37	Actuarial Certification Related to Reserves required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	38	Actuarial Memorandum Related to Universal Life with Secondary Guarantee Policies required by Actuarial Guideline XXXVIII 8D	2	N/A	xxx	4/30	Company	
	39	Actuarial Opinion	2	EO	xxx	3/1	Company	
	40	Executive Summary of the PBR Actuarial Report (if VM early adopted)	2	N/A	xxx	4/1	Company	
	41	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	2	EO	xxx	3/1	Company	
	42	Actuarial Opinion on Synthetic Guaranteed Investment Contracts	2	EO	xxx	3/1	Company	
	43	Actuarial Opinion on X-Factors	2	EO	xxx	3/1	Company	
	44	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation	2	EO	xxx	3/1	Company	
	45	Financial Officer Certification Related to Clearly Defined Hedging Strategy required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	46	Life PBR Exemption (formerly Companywide Exemption)	2	E/O	xxx	Commissioner 7/1 NAIC 8/15	Company	
	47	Management Certification that the Valuation Reflects Management's Intent required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	48	RAAIS required by <i>Valuation Manual</i>	1	N/A	xxx	4/1	Company	
	49	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	50	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	51	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	52	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	53	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	54	RBC Certification required under C-3 Phase I	2	EO	xxx	3/1	Company	
	55	RBC Certification required under C-3 Phase II	2	EO	xxx	3/1	Company	

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			Domestic		Foreign			
			State	NAIC	State			
	56	Statement on non-guaranteed elements - Exhibit 5 Int. #3	2	EO	xxx	3/1	Company	
	57	Statement on par/non-par policies – Exhibit 5 Int. 1&2	2	EO	xxx	3/1	Company	
III. ELECTRONIC FILING REQUIREMENTS								
	61	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	62	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	63	Risk-Based Capital Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	64	Risk-Based Capital .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	65	Separate Accounts Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	66	Separate Accounts .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	67	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
	68	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
	69	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	70	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	71	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
	81	Accountants Letter of Qualifications	1	EO	xxx	6/1	Company	
	82	Audited Financial Reports	1	EO	xxx	6/1	Company	
	83	Audited Financial Reports Exemption Affidavit	Xxx	N/A	xxx		Company	
	84	Communication of Internal Control Related Matters Noted in Audit	1	EO	xxx	8/1	Company	
	85	Independent CPA (change)	1	N/A	xxx		Company	
	86	Management’s Report of Internal Control Over Financial Reporting	1	N/A	xxx	8/1	Company	
	87	Notification of Adverse Financial Condition	1	N/A	xxx		Company	
	88	Relief from the five-year rotation requirement for lead audit partner	1	EO	xxx	3/1	Company	
	89	Relief from the one-year cooling off period for independent CPA	1	EO	xxx	3/1	Company	
	90	Relief from the Requirements for Audit Committees	1	EO	xxx	3/1	Company	
	91	Request for Exemption to File Management’s Report of Internal Control Over Financial Reporting	1	N/A	xxx		Company	
V. STATE REQUIRED FILINGS								
	101	Annual Assurance Statement	1	0	xxx	3/1	Company	Filing added by State
	102	Holding Company Registration Statement (Forms B&C)	1	0	xxx	5/1	State	Refer to Section 7-601 of Insurance Article
	103	Insurance Holding Company System Model Regulation, Form F, Enterprise Risk Report (Model 450-27)	1	0	xxx	7/1	Company	Filing added by State
	104	Segregation Plan	1	0	xxx	3/1	Company	Filing Added by State
	105	ORSA	1	0	xxx		NAIC	Refer to Title 32 of Insurance Article
For additional state filing requirements and contacts, please refer to “Reports due from Regulated Entities to the Maryland Insurance Administration” found on the MIA website at http://insurance.maryland.gov/Insurer/Pages/companyFilingRequirements.aspx, under Summary of Maryland Required filings.								

*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 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.

****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

*****For those states that have adopted the NAIC 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. 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

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Filings Contact Person: Lynn Beckner (410) 468-2126 Lynn.beckner@maryland.gov	
	B	Mailing Address: Examination & Auditing Unit Maryland Insurance Administration 200 St. Paul Place, Suite 2700 Baltimore, MD 21202	
	C	Mailing Address for Filing Fees: ATT: Rauf Ibatulin Maryland Insurance Administration Suite 2700 200 St. Paul Place, Suite 2700 Baltimore, MD 21202	
	D	Mailing Address for Premium Tax Payments: ATT: Rauf Ibatulin Maryland Insurance Administration Suite 2700 200 St. Paul Place, Suite 2700 Baltimore, MD 21202	
	E	Delivery Instructions: Postmark on or before due date	
	F	Late Filings: Subject to penalty and interest	
	G	Original Signatures: Yes	
	H	Signature/Notarization/Certification: Yes	
	I	Amended Filings: Yes	
	J	Exceptions from normal filings: Approval must be in writing	
	K	Bar Codes (State or NAIC): NAIC	
	L	Signed Jurat:	Signed Jurat page is no longer required for foreign insurers. Refer to "Reports Due from Regulated Entities to the Maryland Insurance Administration" found on the MIA website at http://insurance.maryland.gov/Insurer/Pages/CompanyFilingRequirements.aspx , under Summary of Maryland Required Filings
	M	NONE Filings: Yes	
	N	Filings new, discontinued or modified materially since last year: No	
		Line 101, Requirement for Issuers of QHPs in Maryland: Annual Assurance Statement, MIA Bulletin 13-24	Refer to MIA Bulletin 13-24 at http://insurance.maryland.gov/Insurer/Documents/bulletins/bulletin-13-24-nelson-amendment-073113.pdf and "Reports Due from Regulated Entities to the Maryland Insurance Administration" found on the MIA website at http://insurance.maryland.gov/Insurer/Pages/CompanyFilingRequirements.aspx , under Summary of Maryland Required Filings.
		Line 103, Insurance Holding Company System Model Regulation, Form F, Enterprise Risk Report (Model 450-27)	Refer to Section 7-603(h) of the Insurance Article.

		Line 104, Requirement for Issuers of QHPs in Maryland: Segregation Plan, MIA Bulletin 13-24	Refer to MIA Bulletin 13-24 at http://insurance.maryland.gov/Insurer/Documents/bulletins/bulletin-13-24-nelson-amendment-073113.pdf and “Reports Due from Regulated Entities to the Maryland Insurance Administration” found on the MIA website at http://insurance.maryland.gov/Insurer/Pages/CompanyFilingRequirements.aspx , under Summary of Maryland Required Filings

**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 submitting 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 *Risk-Based Capital.PDF Filing* is the .pdf file for risk-based capital data.

The *Separate Accounts Electronic Filing* includes the separate accounts annual statement and investment schedule detail.

The *Separate Accounts.PDF Filing* is the .pdf file for the separate accounts annual statement and all investment schedule detail.

The *Supplemental Electronic Filing* includes all supplements due April 1, per the *Annual Statement Instructions*.

The *Supplement.PDF Filing* is the .pdf file for all supplemental schedules and exhibits 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. 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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