

**TITLE COMPANIES**

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

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

REQUIRED FILINGS IN THE STATE OF: TEXAS Filings Made During the Year 2012 *Revisions marked in red: 02/23/2012*

(1) Check- List	(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	K, Q, Z, AA
	1.1	Printed Investment Schedule detail (Pages E01-E27)	1	EO	xxx	3/1	NAIC	Q, Z, AA
	2	Quarterly Financial Statement (8 1/2" x 14")	1	EO	xxx	5/15, 8/15, 11/15	NAIC	K, Q, Z, AA
<b>II. NAIC SUPPLEMENTS</b>								
	11	Actuarial Opinion	1	EO	xxx	3/1	Company	K, Q, Z
	12	Investment Risk Interrogatories	1	EO	xxx	4/1	NAIC	Q, Z
	13	Management Discussion & Analysis	1	EO	xxx	4/1	Company	Q, K, Z
	14	Schedule SIS	1	N/A	N/A	3/1	NAIC	P, R
	15	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	K, P, R
	16	Supplemental Schedule of Business Written By Agency	0	EO	xxx	4/1	NAIC	Q, Z
<b>III. ELECTRONIC FILING REQUIREMENTS</b>								
	50	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	O, Z
	51	March .PDF Filing	xxx	1	xxx	3/1	NAIC	O, Z
	52	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	O, Z
	53	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	O, Z
	54	Quarterly Statement Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	O, Z
	55	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	O, Z
	56	June .PDF Filing	xxx	1	xxx	6/1	NAIC	O, Z, AD
<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>								
	71	Accountants Letter of Qualifications ( <i>TIC § 401.013 and 28 TAC §7.88(i)</i> )	1	EO	xxx	6/1	Company	Q, Z
	72	Audited Financial Report ( <i>TIC Chapter 401 Subchapter B, and 28 TAC §§7.18, 7.85 and 7.88</i> )	1	EO	xxx	6/1	Company	K, Q, Z, AD
	73	Audited Financial Reports Exemption Affidavit for Certain Small Insurers and HMO's ( <i>see note AG – TIC §401.006</i> )	1	xxx	xxx	6/1	Company	R, AG
	74	Communication of Internal Control Related Matters Noted in Audit ( <i>28 TAC 7.88(j)</i> )	1	xxx	xxx	8/1	Company	P,AX
	75	Independent CPA (change) ( <i>Designation of Accountant</i> ) – <i>See Intent Form - See note AF – TIC § 401.014</i>	1	N/A	N/A	12/31/2011	Company	R, AF
	76	Management's Report of Internal Control Over Financial Reporting ( <i>28 TAC §7.88(m) and (n)(2) and (3)</i> )	1	N/A	N/A	8/1	Company	P,AX
	77	Notification of Adverse Financial Condition or Misstatement of financial Condition ( <i>see more details in note AD</i> ) <i>TIC § 401.017</i>	1	xxx	1	Not later than 5 <sup>th</sup> business day of notice that condition exists	Company	P, AD
	78	Request to File Consolidated Audited Financial Statement	1	xxx	xxx	12/31/2011	Company	P, AH
	79	Relief from the five-year rotation requirement for lead audit partner ( <i>see 28 TAC §7.88 (h)(1) and (2)</i> )	1	EO	N/A	3/1	Company	N, Q, Z, AZ
	80	Relief from the one-year cooling off period for independent CPA ( <i>see 28 TAC §7.88 (h)(10) and (12)</i> )	1	EO	N/A	3/1	Company	N, Q, Z, AZ
	81	Relief from the Independent Audit Committee Requirements ( <i>see 28 TAC §7.88 (k)(4)</i> )	1	EO	N/A	3/1	Company	N, Q, Z, AZ

\*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.

+ This symbol along with yellow highlighting are provided for emphasis only.

(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			
		<b>V. STATE REQUIRED FILINGS</b>						
	101	Registration of Accountant <i>TIC § 401.014</i> (formerly Accountants Letter of Awareness <i>TIC Art. 1.15(A)§11</i> )	1	N/A	N/A	12/31	Accountant	R, AF
	102	Analysis of Surplus <a href="#">(PDF)</a>	1	N/A	N/A	3/1	State	P, AB
	103	Annual Holding Company Registration Statement <a href="#">(Form B)</a>	1	N/A	N/A	4/30	Company	C, AE
	104	Biographical Affidavit	1	N/A	1	3/1	State	P, X
	105	Certificate of Compliance – of Advertising <a href="#">(Use this form)</a>	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 <b>(will be mailed to companies – questions? Please call 512-322-3507)</b>	1	N/A	1	3/1	State	P
	110	Filings Checklist (with Column 1 completed)	xxx	N/A	xxx	3/1	State	O
	111	<a href="#">Premium Taxes and State Filing Fees (Annual Statements)</a> <b>(file with the Texas Comptroller of Accounts - questions? Please call the Comptroller at 800-252-1387).</b>	1	N/A	1	Varies	State	D, P, V
	112	Signed Jurat page (only). Signatures must be 1) President and 2) any other top officer familiar with the statement info.	xxx	N/A	1	3/1, 5/15, 8/15, 11/15	NAIC	K, L, P, AA
	113	<a href="#">State Filing Fees</a> (Annual Statements) <b>(file with the Texas Comptroller of Accounts - questions? Please call the Comptroller at 800-252-1387).</b>	1	N/A	1	Varies	State	C, P
	114	<a href="#">Texas Officers and Directors Page (PDF)</a>	1	N/A	N/A	3/1	State	P, R
	115	<a href="#">Texas Overhead Assessment Exemption Form</a>	1	N/A	N/A	3/1	State	P, R
	116	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 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).

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	<p><b>+</b> This symbol along with yellow highlighting are provided for emphasis only</p>	
	<p><b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b></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>
<p><b>A</b></p>	<p><b>Required Filings Contact Person:</b></p>	<p>Kristine Ehrlich (512) 322-5030 <a href="mailto:kristine.ehrlich@tdi.state.tx.us">kristine.ehrlich@tdi.state.tx.us</a></p>
<p><b>B</b></p>	<p><b>Mailing Address (Regular mail):</b></p> <hr/> <p><b>(Physical Location – Overnight mail and drop-offs):</b></p>	<p>Texas Department of Insurance PO Box 149104 Austin TX 78714-9104</p> <hr/> <p>Financial Analysis 333 Guadalupe St MC 303-1A Tower III 3<sup>rd</sup> Floor Austin TX 78701</p>
<p><b>C</b></p>	<p><b>Mailing Address for <a href="#">Annual Statement Filing Fees: (PDF)</a>+</b></p> <hr/> <p><b>Mailing Address for NAIC Filing Fees (now paid by Insurers to the NAIC):</b></p> <hr/> <p><b>Mailing Address for <a href="#">Form B and other Holding Company Filing Fees:</a></b></p>	<p>Comptroller of Public Accounts <a href="http://www.window.state.tx.us">www.window.state.tx.us</a> P.O. Box 149356 Austin, TX 78714-9356 (512) 463-4600 (800) 252-1387</p> <hr/> <p>To be filed together with the NAIC filings. See <a href="http://www.naic.org">www.naic.org</a> for details.</p> <hr/> <p>Complete the form below and send to the Department: <a href="http://www.tdi.texas.gov/forms/form4all.html">http://www.tdi.texas.gov/forms/form4all.html</a> (Scroll to bottom of page to find the Cashier's Form)</p>
<p><b>D</b></p>	<p><b>Mailing Address for Texas <a href="#">Premium Tax Payments:</a> +</b></p>	<p>Comptroller of Public Accounts <a href="http://www.window.state.tx.us">www.window.state.tx.us</a> P.O. Box 149356 Austin, TX 78714-9356 (512) 463-4600 (800) 252-1387</p>
<p><b>E</b></p>	<p><b>Delivery Instructions (Physical Address – Overnight mail and drop-offs):</b></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>	<p>Texas Department of Insurance Financial Analysis MC 303-1A 333 Guadalupe St Tower III 3<sup>rd</sup> Fl Austin TX 78701</p>
<p><b>F</b></p>	<p><b>Late Filings:</b></p>	<p>Penalties and fines for late filings are provided for by the Texas Insurance Code.</p>

G	Original Signatures:	Required of <b>domestic+</b> companies by the top two officers ( <b>one being the company president</b> )+ (foreign+ see note L).
H	Signature/Notarization/Certification:	Original for <b>domestic+</b> companies. Facsimile for <b>foreign+</b> companies (foreign also see note L).
I	Amended Filings:	To be submitted with cover letter and Jurat signed by top two officers ( <b>one being the company president</b> ).+ 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, <b>one being the President.</b> + Domestic:+ original signatures. Foreign:+ photo-copied signatures are accepted.
M	NONE Filings:	“NONE” bar codes are allowed.
N	Filings new, discontinued or modified materially since last year.  <i>Life and Fraternal Entities Only</i>	Actuarial Certification regarding use 2001 Preferred Class Table <b>Life and Fraternal Entities Only</b>
O	Filed with the NAIC only.	
P	Filed <b>hard copy</b> 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 <a href="http://www.window.state.tx.us">www.window.state.tx.us</a> P.O. Box 149356 Austin, TX 78714-9356 (512) 463-4600 (800) 252-1387
W	Texas Officers and Directors.	Required of Texas <b>domestic companies, only if information has changed+</b>
X	Biographical Affidavit.	<b>Foreign insurers:+</b> list President, Secretary and Treasurer <b>only</b> if the information has changed. <b>Domestic insurers:+</b> list the officers and directors from the Department’s <b>Officers and Directors page</b> <b>only</b> if the information has changed.

	Y	Risk-Based Capital Report.	Required to be filed with TDI 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.	<b>Domestic Insurers:+</b> File hard copy with TDI by June 1 (or June 30 if the insurer and its affiliate insurer(s) conduct business only in Texas – see 28 TAC §7.88(d)(2). <b>Foreign Insurers:+</b> 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 <u>must</u> file a hard copy with the Department.
	AE	Annual Holding Company Registration Statement ( <a href="#">Form B</a> )	Applies to all <b>Texas domestic and Commercially domiciled insurers+</b> that are subject to the Insurance <a href="#">Holding Company System</a> Regulatory Act. <a href="#">Chapter 823</a> .
	AF	CPA Audited Financial Statement – <a href="#">Intent Form</a> . <b>Texas Domestic Companies Only+</b>	Complete this Texas supplemental form available through TDI website: <b>(Domestics Only).+</b> <a href="#">Intent.pdf</a> (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 TIC § <a href="#">401.006</a> (See links below). <a href="#">Affidavit for Exemption.pdf</a> (PDF format).
	AH	Request to file Consolidated Audited Annual Statement.	Refer to Art. TIC § <a href="#">401.016</a>

AI	<p>Request for Permitted Accounting Practices to be sent to:</p> <p>Jeff Hunt Admissions Officer, Company Licensing &amp; Registration Texas Department of Insurance 333 Guadalupe St MC 305-2C Austin TX 78701</p>	<p>Include the requested practice, the referenced SSAP number, the reason for the request, and the financial impact of the request.</p>
AJ	<p>Holding Company Filings.</p>	<p><u>File Holding Company documents</u> with the Department if any insurer in the group is a Texas Domestic. Foreign insurers file hard copy with their Domestic State.</p>
AK	<p>Actuarial Opinion Summary – <b>Confidential Filing, Mail Separately from Annual Statement to:</b> <b>Actuarial Division MC302-3A</b> <b>PO Box 149104</b> <b>Austin TX 78714-9104+</b></p>	<p>Property and Casualty Actuarial Opinion Summary (28 TAC §7.9) <b>Confidential filing – file separately per Rule.</b> + Mail to: Texas Department of Insurance Actuarial Division MC302-3A 333 Guadalupe St. Austin TX 78701 or electronically to <a href="mailto:ActuarialDivision@tdi.state.tx.us">ActuarialDivision@tdi.state.tx.us</a></p>
AL	<p>Regulatory Asset Adequacy Issues Summary (28 TAC §3.1607(a)(5) and (c)) – <b>Confidential Filing, Mail Separately from Annual Statement to:</b> <b>Actuarial Division MC302-3A</b> <b>PO Box 149104</b> <b>Austin TX 78714-9104+</b></p> <p><b>NOTE:</b> <b>Foreign+</b> companies must file upon request.</p>	<p>All <b>Domestic+</b> companies licensed as life, accident, &amp; health insurers must submit a RAAIS, unless exempt according to 28 TAC §3.1608. Mail to: Texas Department of Insurance Actuarial Division MC302-3A 333 Guadalupe St. Austin TX 78701 or electronically to <a href="mailto:ActuarialDivision@tdi.state.tx.us">ActuarialDivision@tdi.state.tx.us</a></p>
AM	<p>Reasonableness of Assumptions Certification Reasonableness &amp; Consistency of Assumptions Certification.</p>	<p>Actuarial certifications required for equity indexed annuities as found in Actuarial Guideline XXXV, Appendix C of the Accounting Practices and Procedures Manual</p>
AN	<ul style="list-style-type: none"> <li>Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method.</li> <li>Reasonableness &amp; Consistency of Assumptions Certification (Updated Average Market Value).</li> <li>Reasonableness &amp; Consistency of Assumptions Certification (Updated Market Value).</li> </ul>	<p>Actuarial certifications required for equity indexed life insurance policies as found in Actuarial Guideline XXXVI, Appendix C of the Accounting Practices and Procedures Manual</p>
AO	<p>Texas Negotiated Deductible Workers' Compensation Form <b>(Place in separate envelope clearly marked "Confidential – Texas Negotiated Deductible Workers' Comp Form").+</b></p>	<p>Pursuant to 28 TAC 8.4. <b>Required upon request,</b>+ only for companies writing this line of business.</p>

AP	<ul style="list-style-type: none"> <li>Actuarial Certification Related to Annuity Non-forfeiture Compliance</li> <li>Actuarial Opinion on Separate Accounts Funding</li> <li>Actuarial Opinion on Synthetic Guaranteed Investment Contracts</li> <li>Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation.</li> </ul>	These filings should be completed in accordance with the NAIC Model Regulations. Required upon request.
AQ	<ul style="list-style-type: none"> <li>Actuarial Opinion on X-Factors.</li> </ul>	Actuarial Opinion required by 28 TAC <a href="#">3.4505(b)(3)(G)(iii)</a>
AR	<ul style="list-style-type: none"> <li>RBC Certification required under C-3 Phase I</li> <li>RBC Certification required under C-3 Phase II</li> </ul>	Required to be filed with TDI upon request
AS	Bail Bond Supplement.	<b>Only reporting entities writing bail bond coverage+</b> are required to complete this supplement. This supplement must be filed with the NAIC by March 1 each year.
AT	<p>Required by Actuarial Guideline XLIII</p> <ul style="list-style-type: none"> <li>Actuarial Certification Related to Hedging</li> <li>Actuarial Certification Related to Reserves</li> <li>Financial Officer Certification Related to Clearly Defined Hedging Strategy</li> <li>Management Certification that the Valuation Reflects Management's Intent.</li> </ul>	Certifications required for variable annuities as found in Actuarial Guideline XLIII, Appendix C of the Accounting Practices and Procedures Manual.
AU	Supplemental Annuity Exhibits.	Only reporting entities writing annuity products are required to complete these exhibits to be filed with the NAIC.
AV	Supplemental Health Care Exhibits.	Only reporting entities writing comprehensive major medical insurance business for large group employer, small group employer, and individual, is required to complete these exhibits to be filed with the NAIC.
AW	Director and Officer Supplement.	Only reporting entities providing director and officer (D&O) liability coverage in a monoline policy or as part of a commercial multiple peril (CMP) policy are required to complete this supplement to be filed with the NAIC.
AX	Communication of Internal Control Matters Noted in Audit and Report of Internal Control over Financial Reporting.	Required to be filed no later than the 60 <sup>th</sup> day after the date of the audited financial report is filed ( <i>see</i> 28 TAC <a href="#">§§7.88(j)(1) and (m)(1)</a> ).
AY	Actuarial Certification Related to the Use of the 2001 Preferred Class Mortality Tables	For all reporting entities that use the 2001 Preferred Class Mortality Tables permitted by 28 TAC <a href="#">§§3.9401-3.9404</a> . This certification is required by <a href="#">§3.9404(a)</a> and (b).

	<b>AZ</b>	<b>Relief from Rotation, Cooling-Off, and Audit Committee Requirements.</b>	<b>Also see the Model Audit Rule Implementation Guide in the NAIC's Accounting Practices and Procedures Manual - Appendix G (adopted by reference in 28 TAC <a href="#">§7.18</a>).</b>
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**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 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. 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 (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 (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.