

**PROPERTY & CASUALTY INSURERS**

COMPANY NAME: \_\_\_\_\_ NAIC Company Code: \_\_\_\_\_  
 Contact: \_\_\_\_\_ Telephone: \_\_\_\_\_  
 REQUIRED FILINGS IN THE STATE OF: \_\_\_\_\_ Filings Made During the Year 2009

(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>I. NAIC FINANCIAL STATEMENTS</b>						
	1	Annual Statement (8 1/2" x 14")	2	EO	xxx	3/1	NAIC	H, J, K, L, O, CC
	1.1	Printed Investment Schedule detail (Pages E01-E25)	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	J, K, P, DD
	3	Protected Cell Annual Statement	2	0	xxx	3/1	NAIC	K
	4	Combined Annual Statement (8 1/2" x 14")	xxx	EO	xxx	5/1	NAIC	
		<b>II. NAIC SUPPLEMENTS</b>						
	10	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	K
	11	Actuarial Opinion Summary	1	N/A	xxx	3/15	Company	J, K, EE
	12	Combined Insurance Expense Exhibit	xxx	EO	xxx	5/1	NAIC	
	13	Credit Insurance Experience Exhibit	2	EO	xxx	4/1	NAIC	K, X
	14	Exceptions to Reinsurance Attestation Supplement	2	N/A	xxx	3/1	Company	K, N
	15	Financial Guaranty Insurance Exhibit	2	EO	xxx	3/1	NAIC	K
	16	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	K
	17	Insurance Expense Exhibit	2	EO	xxx	4/1	NAIC	K
	18	Long Term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	K
	19	Management Discussion & Analysis	2	EO	xxx	4/1	Company	J, K, Q
	20	Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	K
	21	Medicare Part D Coverage Supplement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	K
	22	Premiums Attributed to Protected Cells Exhibit	2	EO	xxx	3/1	NAIC	K
	23	Reinsurance Attestation Supplement	2	EO	xxx	3/1	Company	K
	24	Reinsurance Summary Supplemental	2	EO	xxx	3/1	NAIC	K
	25	Risk-Based Capital Report	1	EO	xxx	3/1	NAIC	J, K
	26	Schedule SIS	2	N/A	N/A	3/1	NAIC	J, K
	27	Statement of Actuarial Opinion	2	EO	xxx	3/1	Company	J, K
	28	Supplement A to Schedule T	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	K
	29	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	J, K
	30	Trusted Surplus Statement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	K
		<b>III. ELECTRONIC FILING REQUIREMENTS</b>						
	40	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	41	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	42	Risk-Based Capital Electronic Filing	xxx	1	N/A	3/1	NAIC	
	43	Risk-Based Capital .PDF Filing	xxx	1	N/A	3/1	NAIC	
	44	Combined Annual Statement Electronic Filing	xxx	1	xxx	5/1	NAIC	
	45	Combined Annual Statement .PDF Filing	xxx	1	xxx	5/1	NAIC	
	46	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	47	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	48	Quarterly Statement Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	49	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	50	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
		<b>IV. AUDITED FINANCIAL STATEMENTS</b>						
	61	Accountants Letter of Qualifications	2	N/A	N/A	6/1	Company	
	62	Audited Financial Statements	2	EO	xxx	6/1	Company	J, K, Q, HH
	63	Audited Financial Statements Exemption Affidavit	Note	N/A	N/A		Company	J
	64	Independent CPA	Note	N/A	N/A		Company	S
	65	Notification of Adverse Financial Condition	Note	N/A	N/A		Company	T
	66	Report of Significant Deficiencies in Internal Controls	Note	N/A	N/A		Company	U
	67	Request for Exemption to File	Note	N/A	Note		Company	J
	68	Request to File Consolidated Audited Annual Statements	Note	N/A	N/A		Company	Q
		<b>V. STATE REQUIRED FILINGS</b>						
	101	Certificate of Compliance	0	0	0		State	
	102	Certificate of Deposit	0	0	0		State	
	103	Combined Tax Prepayment	Note	0	Note	6/15, 9/15, 12/15	State	W
	104	Filings Checklist (with Column 1 completed)	0	1	0		State	
	105	Health Benefit Plan Report (Senate Bill 501)	0	0	0	4/1	State	FF
	106	Holding Company Registration Statement	1	0	0	4/30	State	J, BB
	107	<a href="#">Ocean Marine Tax Report</a>	0	0	1	6/15	State	Z
	108	Oregon Exhibit of Premiums (State Page)	2	xxx	xxx	3/1	NAIC	K, R
	109	Recoupment of Oregon Insurance Guaranty Association Assessment (OIGA)	Note	0	Note	6/1	State	GG
	110	Retaliatory Tax	1	0	1	4/1	State	V
	111	Signed Jurat	0	xxx	1	3/1	NAIC	H, J, K, L
	112	<a href="#">Special Oregon Schedule P, P-RA and P-RC</a>	1	0	1	3/1	State	Y
	113	State Filing Fees	0	0	0		State	C
	114	Statement of Compliance for Advertising	1	0	1	3/1	Company	AA
	115	Quarterly Health Enrollment Form	Note	0	Note	2/15, 5/15, 8/15, 11/15	State	II

\*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. EO (electronic only filing).

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



J	Exceptions from normal filings:	<p><b>All insurers</b> must provide a written request pursuant to NAIC Annual Statement Instructions at least 10 days prior to the filing due date to receive Oregon's approval on any exemption or extension.</p> <p><b>Foreign insurers</b> must include a written copy of the exemption or extension granted by its state of domicile.</p> <p>Generally, extension requests made on or after the filing due date will not be granted.</p>
K	Bar Codes (State or NAIC)	<p>Bar codes are required. Please refer to the NAIC Annual Statement Instructions, Bar Codes Appendix and the attached listing.</p> <p><b>Note:</b> State page bar code must have "38" in the state code position and reflect only Oregon business. Grand Total "58" is not acceptable even if it is "none."</p>
L	Signed Jurat	<p>This state waives foreign insurers from filing printed annual statements and supplements. Foreign insurers will file a completed Signed Jurat page as confirmation of NAIC electronic filing. The signature requirements for the Signed Jurat page are the same as the requirements for the annual statement Jurat page. In the event that you refile or amend any financial data, a newly completed <u>Signed Jurat page</u> is required.</p>
M	NONE Filings:	See NAIC Annual Statement Instructions for Supplemental Interrogatories.
N	Filings new, discontinued or modified materially since last year:	
O	Annual Statement Instruction for electronic filing:	<b>Domestic and foreign insurers</b> are required to file annual statements and supplements electronically with the NAIC. Foreign insurers: See note L.
P	Quarterly Statements for foreign companies:	Only required if requested by Director.
Q	Consolidated Management Discussion & Analysis and Consolidated Audited Financial Statement:	<b>Domestic insurers</b> within a consolidated group are required to file a copy of the report displaying the appropriate bar code for that document on the upper-right corner of the cover of the report. The bar code must reflect the filing insurer's NAIC company code; not the group's NAIC group code.
R	Oregon Exhibit of Premiums (State Page):	<b>Only domestic insurers</b> are to file hard copies of the Oregon Exhibit of Premiums in both the original statement and the copy. Note: State page bar code must have "38" in the state code position and reflect only Oregon business. Grand Total "58" is not acceptable even if it is "none."
S	Designation of Independent CPA:	If the CPA is not the CPA who prepared the immediately preceding filed audited financial report for the insurer, the insurer shall notify the Director of the engagement no later than the 30th day after the effective date of the engagement.
T	Notification of Adverse Financial Condition:	An insurer that has received a report of adverse financial condition shall forward a copy of the report to the Director no later than the fifth business day after receiving the report and shall provide the CPA with evidence that the report was furnished to the Director.
U	Report of Significant Deficiencies in Internal Controls:	An insurer that has received a report of significant deficiencies in the insurer's internal control structure shall furnish the written report to the Director no later than the 60th day after the filing of the annual audited financial statement to which the report applies.
V	Retaliatory Tax Form:	<p><b>Forms are available on our web site:</b>  <a href="http://www.insurance.oregon.gov">www.insurance.oregon.gov</a></p> <p><b>Mail in separately. Do not include tax forms with your Annual Statement or Jurat Page filing.</b></p> <p><b>Direct all inquiries to:</b>  Lynette Hadley 503-947-7046 or  Shannon O'Shea 503-947-7218</p>

W	Combined Tax Prepayments:	<p>Prepayment forms should be received by your company on or before June 1, 2009. If you do not receive the forms by June 1, 2009, you should immediately contact a tax analyst.</p> <p><b>Direct all inquiries to:</b>  <b>Lynette Hadley 503-947-7046 or</b>  <b>Shannon O'Shea 503-947-7218</b></p> <p>Please keep in mind, however, that your company will not receive such forms if your prior year's Retaliatory Tax and Fire Marshal Tax liability was less than \$400, since no prepayment is required.</p>
X	Credit Insurance Experience Exhibit:	<p>While this exhibit is not required, the <b>Credit Life &amp; Health Insurance Experience Report</b> is required per OAR 836-060-0041, due June 1, 2009.</p> <p><b>Send to:</b>  <b>Department of Consumer &amp; Business Services</b>  <b>Rates and Forms Section-5</b>  <b>P.O. Box 14480</b>  <b>Salem OR 97309-0405</b>  <b>503-947-7983</b></p>
Y	<a href="#">Special Oregon Schedule P, P-RA, and P-RC:</a>	<p><b>Each insurer</b> authorized for Casualty including Workers' Compensation insurance must file this form by March 1, 2009.</p> <p><b>DO NOT SEND WITH TAX FORMS.</b></p> <p>If Schedule P shows that an additional deposit is required, the company must indicate promptly what action is being taken to increase their deposit per ORS 731.616(3). This statute allows the company 30 days to cure the deficiency.</p>
Z	<a href="#">Ocean Marine Tax Report:</a>	<p><b>All insurers</b> that transacted Marine and Transportation business in 2008, must submit the Ocean Marine Tax Form, per ORS 731.828.</p> <p>The form is available on our web site:  <a href="http://www.insurance.oregon.gov">www.insurance.oregon.gov</a></p>
AA	Statement of Compliance for Advertising:	<p>An insurer that advertises health products must file per OAR 836-020-0280(2). If an insurer is authorized for health but does not write or advertise health products, you do not need to file this statement.</p> <p><b>Send to:</b>  <b>Department of Consumer &amp; Business Services</b>  <b>Market Surveillance - 7</b>  <b>Attn: Carla Wagner</b>  <b>P.O. Box 14480</b>  <b>Salem OR 97309-0405</b>  <b>503-947-7268</b></p>
BB	Holding Company Registration:	<p><b>Every domestic insurer</b> that is a member of an insurance holding company system shall register on or before April 30 for the previous calendar year per ORS 732.551(1)(2).</p> <p><b>Foreign insurer</b> need not register if the statutes or rules of its domicile are substantially similar to those of Oregon.</p>
CC	Annual Statement Cover and Binding:	<p>Annual Statements are to be bound with a sturdy front and back cover. The minimum acceptable weight for the cover is 65# paper. It is acceptable to use a lesser weight paper and laminate it. The covers are to be similar in color to the required NAIC Blank. The statements are to be bound along the left edge with sufficient margins, so the printed material is not obscured by the binding. The sturdy covers and bound statements are required to maintain the integrity of the filing because these statements are used extensively by Division employees and the public.</p>

	DD	Quarterly Statement Binding:	Quarterly statements are to be bound along the left edge with sufficient margins, so the printed material is not obscured by the binding. The binding is to maintain the integrity of the filing because these statements are used extensively by Division employees and the public. A sturdy front and back cover is preferred but not required.
	EE	Actuarial Opinion Summary (AOS)	<b>Domestic insurers</b> will receive a separate written request for the Actuarial Opinion Summary if the Oregon Insurance Division determines it necessary for analysis purposes.
	FF	Health Benefit Plan Report (Senate Bill 501)	This report is to be filed electronically on or before April 1, 2009.  The reporting form is on our web site: <a href="http://insurance.oregon.gov/insurer/rates_forms/industry_reports/industry_reports.html">http://insurance.oregon.gov/insurer/rates_forms/industry_reports/industry_reports.html</a>  <b>Direct all inquiries to: Carla Wagner Department of Consumer &amp; Business Services Market Surveillance-7 P.O. Box 14480 Salem, OR 97309-0405 (503) 947-7268</b>
	GG	Recoupment of Oregon Insurance Guaranty Assessment (OIGA)	The reconciliation report is due June 1 <sup>st</sup> of each year. Forms are mailed to companies.  Blank forms are available on our web site: <a href="http://www.insurance.oregon.gov">www.insurance.oregon.gov</a>
	HH	Audited Financial Statement Cover and Binding	This state requests that Audited Financial Statements include a sturdy front and back cover and to be bound along the left edge with sufficient margins, so the binding does not obscure the printed material. The binding is to maintain the integrity of the filing because Division employees and the public use these statements extensively.
	II	Quarterly Health Enrollment Form	This report is to be filed on a quarterly basis  The reporting form is on our web site: <a href="http://insurance.oregon.gov/insurer/rates_forms/industry_reports/industry_reports.html">http://insurance.oregon.gov/insurer/rates_forms/industry_reports/industry_reports.html</a>  <b>Direct all inquiries to: Carla Wagner Department of Consumer &amp; Business Services Market Surveillance – 7 PO Box 14480 Salem OR 97309-0405 503-947-7268</b>

**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.

IDENTIFIER #	TITLE	CO TYPE	DUE DATE
201	Annual Statement and Quarterly (9X14) (Domestic Only)	L/P/F/T/H	3/1
201	Signed Jurat (Foreign Only)	L/P/F/T/H	3/1
203	Protected Cell Statement	P	3/1
205	Health Life Supplement (Exhibit 5, Exhibit 7, Schedule S)	H	3/1
206	Health Life Supplement – Life State Pages	H	3/1
207	Health Property/Casualty Supplement (Schedule F & P)	H	3/1
208	Health Property/Casualty Supplement – Property & Casualty State Pages	H	3/1
210	Accident and Health Policy Experience Exhibit	L/P/F/H	4/1
211	Health Life Supplement - LHA Guaranty Assn Reconciliation	H	4/1
212	Health Life Supplement - LHA Guaranty Assn Adjustment Exhibit	H	4/1
213	Health Property/Casualty Supplement - Ins Expense Exhibit	H	4/1
220	Audited Financial Report	L/P/F/T/H	6/1
230-38	Credit Insurance Expense Exhibit	L/P	4/1
240	Financial Guaranty Insurance Exhibit	P	3/1
260	Fraternal Interest Sensitive Life Insurance - Op	F	4/1
270	Insurance Expense Exhibit	P	4/1
280	Interest Sensitive Life Insurance - Products Report	L	4/1
285	Investment Risks Interrogatories	L/P/F/T/H	4/1
290-38	LHA Guaranty Association Reconciliation	L	4/1
300-38	LHA Guaranty Association Adjustment Exhibit	L	4/1
310	Long-Term Care Experience Reporting Form A	L/P/F/H	4/1
320	Long-Term Care Experience Reporting Form B	L/P/F/H	4/1
330-38	Long-Term Care Experience Reporting Form C	L/P/F/H	4/1
350	Management's Discussion & Analysis of Operation	L/P/F/T/H	4/1
360-38	Medicare Supplement Insurance Expense Exhibit	L/P/F/H	3/1
365	Medicare Part D Coverage Supplement	L/P/F/H	3/1, 5/15, 8/15, 11/15
370	Non-Guaranteed Opinion for Exhibit 5	L/F	3/1
371	Participating Opinion for Exhibit 5	L/F	3/1
385	Premiums Attributed to Protected Cells Exhibit	P	3/1
390	Risk-Based Capital	L/P/F/H	3/1
399	Reinsurance Attestation Supplement	P	3/1
400	Exceptions to the Reinsurance Attestation Supplement	P	3/1
401	Reinsurance Summary Supplemental Filing	P	3/1
420	Schedule SIS	L/P/T/H	3/1
430-38	State Page *	L/P/F/H	3/1
440	Statement of Actuarial Opinion	L/P/F/T/H	3/1
441	Actuarial Opinion Summary (AOS)	P	3/15
442	X-Factors Actuarial Opinion	L/F	3/1
443	Separate Account Funding Guaranteed Minimum Benefit Actuarial Opinion	L/F	3/1
444	Synthetic Guaranteed Investment Contracts Actuarial Opinion	L/F	3/1
445	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV	L/F	5/15, 8/15, 11/15
446	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV	L/F	5/15, 8/15, 11/15
447	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI	L/F	5/15, 8/15, 11/15
448	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)	L/F	5/15, 8/15, 11/15
449	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)	L/F	5/15, 8/15, 11/15
450	C-3 RBC Certifications required under C-3 Phase I	L/F	3/1
451	C-3 RBC Certifications required under C-3 Phase II	L/F	3/1
452	Actuarial Certifications Related to Annuity Nonforfeiture Ongoing Compliance	L/F	3/1
455	Supplement A to Schedule T	P	5/15, 8/15, 11/15