

## HEALTH ENTITIES

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

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

REQUIRED FILINGS IN THE STATE OF: \_\_\_\_\_ Filings Made During the Year 2021

(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			
<b>I. NAIC FINANCIAL STATEMENTS</b>								
	1	Annual Statement (8 ½"X14")	1	EO	XXX	3/1	NAIC	<b>B, E-2, F, L, Q, R</b>
	1.1	Printed Investment Schedule detail (Pages E01-E29)	1	EO	XXX	3/1	NAIC	
	2	Quarterly Financial Statement (8 ½" x 14")	1	EO	XXX	5/15, 8/15, 11/15	NAIC	
<b>II. NAIC SUPPLEMENTS</b>								
	11	Accident & Health Policy Experience Exhibit	1	EO	XXX	4/1	NAIC	<b>R-1</b>
	12	Actuarial Opinion	1	EO	XXX	3/1	Company	
	13	Life Supplemental Data due March 1	1	EO	XXX	3/1	NAIC	
	14	Life Supplemental Data due April 1	1	EO	XXX	4/1	NAIC	
	15	Life Supp Statement non-guaranteed elements – Exh 5, Int. #3	1	EO	XXX	3/1	Company	
	16	Life Supp Statement on par/non-par policies – Exh 5 Int. 1&2	1	EO	XXX	3/1	Company	
	17	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit	1	EO	XXX	4/1	NAIC	
	18	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form	1	EO	XXX	4/1	NAIC	
	19	Long-Term Care Experience Reporting Forms	1	EO	XXX	4/1	NAIC	
	20	Management Discussion & Analysis	1	EO	XXX	4/1	Company	
	21	Medicare Part D Coverage Supplement	1	EO	XXX	3/1, 5/15, 8/15, 11/15	NAIC	
	22	Medicare Supplement Insurance Experience Exhibit	1	EO	XXX	3/1	NAIC	
	23	Risk-Based Capital Report	1	EO	XXX	3/1	NAIC	
	24	Schedule SIS	1	N/A	N/A	3/1	NAIC	
	25	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	
	26	Supplemental Health Care Exhibit (Parts 1, 2 and 3)	1	EO	XXX	4/1	NAIC	
	27	Supplemental Health Care Exhibit's Allocation Report	1	EO	XXX	4/1	NAIC	
	28	Supplemental Investment Risk Interrogatories	1	EO	XXX	4/1	NAIC	
<b>III. ELECTRONIC FILING REQUIREMENTS</b>								
	61	Annual Statement Electronic Filing	1	EO	XXX	3/1	NAIC	<b>R-1</b>
	62	March .PDF Filing	1	EO	XXX	3/1	NAIC	
	63	Risk-Based Capital Electronic Filing	1	EO	N/A	3/1	NAIC	
	64	Risk-Based Capital .PDF Filing	1	EO	N/A	3/1	NAIC	
	65	Supplemental Electronic Filing	1	EO	XXX	4/1	NAIC	
	66	Supplemental .PDF Filing	1	EO	XXX	4/1	NAIC	
	67	Quarterly Statement Electronic Filing	1	EO	XXX	5/15, 8/15, 11/15	NAIC	
	68	Quarterly .PDF Filing	1	EO	XXX	5/15, 8/15, 11/15	NAIC	
	69	June .PDF Filing	1	EO	XXX	6/1	NAIC	
<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>								
	81	Accountants Letter of Qualifications	1	EO	N/A	6/1	Company	
	82	Audited Financial Reports	1	EO	XXX	6/1	Company	
	83	Audited Financial Reports Exemption Affidavit	1	N/A	N/A		Company	<b>J</b>
	84	Communication of Internal Control Related Matters Noted in Audit	1	EO	N/A	8/1	Company	
	85	Independent CPA (change)	1	N/A	N/A		Company	





		<b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>	
	A	<b>Required Filings and Statutory Deposit Contact:</b>	<a href="mailto:Finances@doi.nv.gov">Finances@doi.nv.gov</a>  For other contact information: See “Q”
	B	Electronic Financial Filing Submission Portal:  For NAIC Checklist Requirements <b>Do Not</b> file through SERFF	<b>For Domestic Companies, Companies not filing with NAIC, Accredited Reinsurers and Purchasing Groups:</b>  <a href="https://doi.nv.gov/Insurers/">https://doi.nv.gov/Insurers/</a>  Documents eligible for submission through the portal will have a “SUBMIT” link. Certain documents may not be submitted through the portal and must be submitted by email to the department. Please do not mail in hard copies of filings submitted through this portal.
	C	<b>Payment of Filings Fees</b>  Electronic Company Invoice Service Portal:  Annual Renewal Payments:  <u>Does Not apply to</u> individuals/ agencies/ entities licensed under NRS 683A or NRS 692	<a href="https://doi.nv.gov/Insurers/">https://doi.nv.gov/Insurers/</a>  Company invoices are available for viewing via the Company Invoice Service Portal.  <b>New for 2021 – Payment information is included on the company invoice.</b>
	D	Mailing and Filing Address for <b>Premium Tax Original Filings and Premium Tax Payments:</b>  For all companies <u>except Captives:</u>  For <u>Captives:</u> Payment Mailing Address:  Filing Submissions and Payments via Electronic Portal:  Premium Tax Form:	Nevada Department of Taxation 1550 College Parkway, Ste. 115 Carson City, NV 89706 (775)-684-2128 <a href="mailto:premiumtax@tax.state.nv.us">premiumtax@tax.state.nv.us</a> <a href="#">Premium Tax forms</a>  Attn: Division of Insurance, Captive Premium Tax 1818 E. College Parkway, Suite 103 Carson City, NV 89706  <a href="https://doi.nv.gov/Insurers/">https://doi.nv.gov/Insurers/</a>  <a href="https://doi.nv.gov/Captive-Insurance/Forms/">https://doi.nv.gov/Captive-Insurance/Forms/</a>

		Captive Contact:	<a href="mailto:captives@doi.nv.gov">captives@doi.nv.gov</a>
E		<p>Delivery Instructions:</p> <p><u>Does Not apply to</u> individuals/ agencies/ entities licensed under NRS 683A or NRS 692</p> <p><i>Filings Must Be Legible</i></p>	<p><b>The due date is March 1<sup>st</sup>. The Division will consider 2020 filings and payments postmarked on or before March 1<sup>st</sup> as being timely submitted.</b></p> <ol style="list-style-type: none"> <li>1. Send Annual Renewal <b>Payments</b> to the Nevada Division of Insurance Carson City office – See “C”</li> <li>2. Send <b>Annual Statement or Jurat</b> Filings to Carson City – See “B”</li> <li>3. File Required Industry Reports through <u>SERFF</u> or mail to Life/Health or Property/Casualty section. See “Q”</li> </ol>
F		Late Filings:	Company will be fined \$100 per day to a maximum of \$3,000 for late filings (received or postmarked after 3/2/2021), or as required by statute.
G		Original Signatures:	<p><b>Domestic companies:</b> original signatures are required on all filings.</p> <p><b>Original signatures include those that qualify as verifiable electronic signatures.</b></p> <p><b>Foreign companies:</b> follow NAIC Annual Statement Instructions.</p>
H		Signature/Notarization/Certification:	<p>The President and Secretary are required to sign the annual statement, or, in the absence of one, two other principal officers may sign.</p> <p><b>Original signatures and notarizations can include the use of verifiable electronic signatures and electronic notarizations.</b></p>
I		Amended Filings:	<p><b>Domestic companies:</b> file within 10 days of amendment and include an explanation of the amendment(s). Signature requirements listed apply to any amendment. See “G”</p> <p><b>Foreign companies: Do not file</b> with the Nevada Division of Insurance. (Amended filings are filed electronically with the NAIC.)</p>
J		Exceptions from normal filings:	<p><b>Domestic companies:</b> Apply at least 30 days prior to the due date.</p> <p><b>Foreign companies:</b> file <b>only</b> for Nevada required filings - supply a written copy of any exemption or extension received from your state of</p>

			domicile at least 10 days prior to the filing due date.
	K	Bar Codes (State or NAIC):	Follow the instructions in the NAIC Annual Statement Instructions.
	L	Signed Jurat:	<p><b>Foreign Companies:</b> Do Not File Jurat Page. Do Not Send hard copy of Annual Statement, if Annual Statement is filed with the state of domicile and electronically with the NAIC.</p> <p><b>Domestic companies:</b> The submitted Jurat page must be signed, and filed electronically with your assigned DOI analyst.</p> <p>See “B” for mailing instructions.</p>
	M	NONE Filings:	All pages must be included. “None Page” allowed.
	N	Filings new, discontinued or modified materially since last year:	<p><b>Modified: Domestic companies:</b> The submitted filings must be signed, and filed electronically with your assigned DOI analyst.</p> <p>See “R” for additional notes.</p>
	O	Late payment penalty:	Company will be fined a maximum of \$2,000 for late payment of annual renewal fee, or as required by statute.
	P	Publication of annual statement contact information in NV newspapers.	This is a requirement of the Nevada Secretary of State. See <a href="#">Annual Statement Publication in a NV Newspaper</a> for more information.
	Q	Contact and Mailing Address for Required Industry Reports filings: (file through <a href="#">SERFF</a> )	<p>Please refer to the appropriate section of <b>Required Industry Report</b> for contact and mailing information concerning filings.</p> <p>Do Not File with NAIC checklist items.</p> <p>Required Industry Reports can be found at:</p> <p><b>For <a href="#">Property/Casualty</a></b></p> <p><b>For <a href="#">Life/Health</a></b></p>
	R	Additional Notes:	<ol style="list-style-type: none"> <li><b>Domestic Companies:</b> See “L” and “N”, also - supplements listed in section II are not required, if included with the annual statement listed in section I.</li> <li><b>Foreign Companies:</b> See section V for required filing. Do not file any items listed in sections I, II, III, or IV- as applicable.</li> <li>Fund for Administration and Enforcement annual fee (A&amp;E) is included on the Certificate renewal invoice. See <a href="#">Renewal Fee Chart</a>:</li> </ol>

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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 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 *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 Electronic Filing* includes the complete quarterly filing and the PDF files for all quarterly data.

The *Quarterly.PDF Filing* is the .pdf file 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 have chosen 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 the state 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.

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