

State of Nevada



Department of Business and Industry

DIVISION OF INSURANCE

1818 East College Pkwy., Suite 103

Carson City, Nevada 89706

CAPTIVE FILING REQUIREMENTS FOR DOMESTIC RISK RETENTION GROUPS

Required Filings for Nevada	Due Date:	Form Source:
I. NAIC Financial Statements		
Annual Statement (8 ½" x 14")	3/1	NAIC
Printed Investment Schedule detail (pages E01-E27)	3/1	NAIC
Quarterly Financial Statement (8 ½" x 14")	5/15, 8/15, 11/15	NAIC
II. NAIC Supplements		
Actuarial Opinion	3/1	Company
Actuarial Report	5/1	Company
Actuarial Opinion Summary	3/15	Company
Exceptions to Reinsurance Attestation Supplement	3/1	Company
Investment Risk Interrogatories	4/1	NAIC
Insurance Expense Exhibit	4/1	NAIC
Management Discussion & Analysis	4/1	Company

Signed Jurat	3/1	NAIC
Reinsurance Attestation Supplement	3/1	Company
Reinsurance Summary Supplemental	3/1	NAIC
Risk-Based Capital Report	3/1	NAIC
Supplemental Compensation Exhibit	3/1	NAIC
Stockholder Information Supplement	3/1	NAIC
Supplement A to Schedule T (Medical Malpractice supplement)	3/1	NAIC
Form B, C, and F Filings (RRGs Only)	6/30	NAIC
III. Electronic Filing Requirements		
Annual Statement Electronic Filing	3/1	NAIC
March .PDF Filing	3/1	NAIC
Risk-Based Capital Electronic Filing	3/1	NAIC
Risk-Based Capital .PDF Filing	3/1	NAIC
Supplemental Electronic Filing	4/1	NAIC
Supplemental .PDF Filing	4/1	NAIC
Quarterly Statement Electronic Filing	5/15, 8/15, 11/15	NAIC
Quarterly .PDF Filing	5/15, 8/15, 11/15	NAIC
June .PDF Filing	6/1	NAIC
IV. Audit/Internal Control Related Reports		
Accountants Letter of Qualification	6/1	Company
Audited Financial Reports	6/1	Company
Audited financial Reports Exemption Affidavit	6/1	Company
Communication of Internal Control Related Matters Noted in Audit	8/1	Company
Independent CPA (change)	8/1	Company
Management's Report of Internal Control Over Financial Reporting		Company
Notification of Adverse Financial Condition	8/1	Company
Request for Exemption to File	As Required	Company

Request to File Consolidated Audited Annual Statements	4/1	Company
Relief from the five-year rotating requirement for lead audit partner	4/1	Company
Relief from the one-year cooling off period for independent CPA	3/1	Company
Relief from the Requirements for Audit Committees	3/1	Company
V. Audited Financial Statements		
Audited Financial Statement	6/1	Company
Letter of Qualification	6/1	Company
Report of Significant Deficiencies in Internal Controls	6/1	Company
Statement of Actuarial Opinion	3/1	Company
Actuarial Opinion Summary	3/15	Company
Holding Company Registration Statements	6/30	
Additional Required Annual Filings		
Premium Tax	3/1	State
License Renewal Fees	3/1	State
Business Plan	3/1	State

Additional Information and Instructions:	
Copies	The Division accepts pdf scans of all documents in the filing. The pdf scan must arrive by the deadline. Use of the Division's Financial Filing Submission Portal is also recommended (http://doi.nv.gov/Insurers/).
Required Filings Contact Person:	Peter Rao prao@doi.nv.gov (775) 687-0734 (For NAIC Checklist Requirements)
Additional Required Annual Filings Contact Person:	Robert Gallegos – Program Officer I Captive Program captives@doi.nv.gov (775) 687-0748
Mailing address:	Nevada Division of Insurance Captive Program 1818 E. College Pkwy., Suite 103

	Carson City, NV 89706
Delivery Instructions	All filings must be postmarked, emailed, or uploaded on, or before, the due date. If the due date falls on a weekend or holiday, then the deadline is extended to the next business day.
Late Filings	The Company's License may be subject to suspension for refusal or failure to submit timely filings. The Company will be fined \$100 per day to a maximum of \$3,000 for late filings or as required by statute.
Late Payment Penalty	The Company will be fined a maximum of \$2,000 for late payment of annual renewal fee, or as required by statute.
Original Signatures:	Original signatures required on all filings.
Signature/Notarization/Certification	The President and Secretary are required to sign the annual statement, or in the absence of one, two other principal officers may sign.
Signed Jurat:	The submitted Jurat page must be signed or an electronic copy filed with your assigned DOI Analyst.
Amended Filings	File within 10 days of amendment and include an explanation of the amendment(s). Signature requirements will apply to any amendment.