



North Dakota
Insurance Department
Adam Hamm, Commissioner

**General Instructions for Companies to Complete Checklist Applicable to Filings
Made During the Year 2017**

Please note: This state's instructions for companies to file with the NAIC are included in each checklist. The NAIC will not be sending their own checklist.

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 CDs to the NAIC. Companies are not required to file hard copy filings with the NAIC.

This checklist applies to all companies licensed and authorized to transact the business of insurance in North Dakota. Alien insurers are subject to the same filing provisions applicable to foreign insurers.

Enter Company Name, CoCode, Contact and Telephone Number on the appropriate line. The columnar instructions for the checklist are as follows:

Column (1) (Checklist)

Companies should copy the checklist and place a check mark in the column next to the filing being submitted. A copy of the checklist should be submitted when mailing any required filing to the state.

Column (2) (Line #)

This is a standard filing number used to refer to an item or form. The line number of an item 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 (Life and Fraternal Societies only).

- The **Separate Accounts.pdf Filing** is the PDF file for the separate accounts annual statement and all investment schedule detail (Life and Fraternal Societies only).
- 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 complete quarterly statement data.
- The **Quarterly.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 (P&C only).
- The **Combined Annual Statement.pdf Filing** is the PDF file for the combined annual statement data and the combined Insurance Expense Exhibit (P&C only).
- The **June.pdf Filing** is the PDF file for the Audited Financial Reports 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 item or form. **This state has waived printed quarterly and annual statements from foreign companies and will rely on the NAIC database for these filings.** This waiver includes supplemental annual statement filings. The XXX in this column signifies that this state has waived the paper filing of the financial statements and all supplements.

Column (5) (Due Date)

Indicates the date on which the company must file the item or 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 these forms are available 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.