LIFE, ACCIDENT AND HEALTH/FRATERNAL INSURERS CHECKLIST

NORTH DAKOTA INSURANCE DEPARTMENT

SFN 52090 (1-2020)

FILINGS CHECKLIST FOR THE STATE OF NORTH DAKOTA - Filings Made During the Year 2020

Company Name	NAIC Company Code
Contact	Telephone Number

(1) Check-list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES* Domestic State	Domestic NAIC	Foreign State	(5) DUE DATE	(6) FORM SOURCE **	(7) APPLICABLE NOTES
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 1/2" X 14")	1	EO	XXX	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E29)	1	EO	XXX	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" X 14")	1	EO	XXX	5/15, 8/15, 11/15	NAIC	
	3	Separate Accounts Annual Statement (8 1/2" X 14")	1	EO	XXX	3/1	NAIC	
		II. NAIC SUPPLEMENTS						
	11	Accident & Health Policy Experience Exhibit	1	EO	XXX	4/1	NAIC	
	12	Credit Insurance Experience Exhibit	1	EO	XXX	4/1	NAIC	
	13	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit	1	EO	XXX	4/1	NAIC	
	14	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form	1	EO	XXX	4/1	NAIC	
	15	Long-term Care Experience Reporting Forms	1	EO	XXX	4/1	NAIC	
	16	Management Discussion & Analysis	1	EO	XXX	4/1	Company	
	17	Medicare Supplement Insurance Experience Exhibit	1	EO	XXX	3/1	NAIC	
	18	Medicare Part D Coverage Supplement	1	EO	XXX	3/1, 5/15, 8/15, 11/15	NAIC	
	19	Risk-Based Capital Report	1	EO	XXX	3/1	NAIC	
	20	Schedule SIS	1	N/A	N/A	3/1	NAIC	
	21	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	
	22	Supplemental Health Care Exhibit (Parts 1, 2 and 3)	1	EO	XXX	4/1	NAIC	
	23	Supplemental Health Care Exhibit's Allocation Report	1	EO	XXX	4/1	NAIC	
	24	Supplemental Investment Risk Interrogatories	1	EO	XXX	4/1	NAIC	
	25	Supplemental Schedule O	1	EO	XXX	3/1	NAIC	
	26	Supplemental Term and Universal Life Insurance Reinsurance Exhibit	1	EO	XXX	4/1	NAIC	
	27	Trusteed Surplus Statement	1	EO	XXX	3/1, 5/15, 8/15, 11/15	NAIC	
	28	Variable Annuities Supplement	1	EO	XXX	4/1	NAIC	
	29	VM20 Reserves Supplement	1	EO	XXX	3/1	NAIC	
	30	Workers' Compensation Carve-out Supplement	1	EO	XXX	3/1	NAIC	
		Actuarial Related Items						
	31	Actuarial Certification regarding use of 2001 Preferred Class Table	1	EO	XXX	3/1	Company	
	32	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	1	EO	XXX	3/1	Company	
	33	Actuarial Certification Related to Hedging required by Actuarial Guideline XLIII	1	EO	XXX	3/1	Company	
	34	Actuarial Certification Related to Reserves required by Actuarial Guideline XLIII	1	EO	XXX	3/1	Company	
	35	Actuarial Memorandum Related to Universal Life with Secondary Guarantee Policies required by Actuarial Guideline XXXVIII 8D	1	N/A	XXX	4/30	Company	

(1) Check-list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES* Domestic State	Domestic NAIC	Foreign State	(5) DUE DATE	(6) FORM SOURCE **	(7) APPLICABLE NOTES
	36	Actuarial Opinion	1	EO	XXX	3/1	Company	
	37	Executive Summary of the PBR Report (if VM early adopted)	1	N/A	XXX	4/1	Company #	See Note N
	38	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	1	EO	XXX	3/1	Company	
	39	Actuarial Opinion on Synthetic Guaranteed Investment Contracts	1	EO	XXX	3/1	Company	
	40	Actuarial Opinion on X-Factors	1	EO	XXX	3/1	Company	
	41	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation	1	EO	XXX	3/1	Company	
	42	Financial Officer Certification Related to Clearly Defined Hedging Strategy required by Actuarial Guideline XLIII	1	EO	XXX	3/1	Company	
	43	Life PBR Exemption (formerly Company Wide Excemption)	1	EO	XXX	Commissioner 7//1 NAIC 8/15	Company	
	44	Management Certification that the Valuation Reflects Management's Intent required by Actuarial Guideline XLIII	1	EO	XXX	3/1	Company	
	45	RAAIS required by Valuation Manual	1	N/A	XXX	4/1	Company	
	46	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV	1	EO	XXX	3/1, 5/15, 8/15, 11/15	Company	
	47	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV	1	EO	XXX	3/1, 5/15, 8/15, 11/15	Company	
	48	Reasonableness & Consistency of Assumptions Certification (Updated Average Market Value) required by Actuarial Guideline XXXVI	1	EO	XXX	3/1, 5/15, 8/15, 11/15	Company	
	49	Reasonableness & Consistency of Assumptions Certification (Updated Market Value) required by Actuarial Guideline XXXVI	1	EO	XXX	3/1, 5/15, 8/15, 11/15	Company	
	50	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI	1	EO	XXX	3/1, 5/15, 8/15, 11/15	Company	
	51	RBC Certification required under C-3 Phase I	1	EO	XXX	3/1	Company	
	52	RBC Certification required under C-3 Phase II	1	EO	XXX	3/1	Company	
	53	Statement on non-guaranteed elements - Exhibit 5 Interrogatory #3	1	EO	XXX	3/1	Company	
	54	Statement on Par/Non-Par Policies - Exhibit 5, Interrogatory #1 & 2	1	EO	XXX	3/1	Company	
		III. ELECTRONIC FILING REQUIREMENTS						
	61	Annual Statement Electronic Filing	XXX	EO	XXX	3/1	NAIC	
	62	March .PDF Filing	XXX	EO	XXX	3/1	NAIC	
	63	Risk-Based Capital Electronic Filing	XXX	EO	N/A	3/1	NAIC	
	64	Risk-Based Capital .PDF Filing	XXX	EO	N/A	3/1	NAIC	
	65	Separate Accounts Electronic Filing	XXX	EO	XXX	3/1	NAIC	
	66	Separate Accounts .PDF Filing	XXX	EO	XXX	3/1	NAIC	
	67	Supplemental Electronic Filing	XXX	EO	XXX	4/1	NAIC	
	68	Supplemental .PDF Filing	XXX	EO	XXX	4/1	NAIC	
	69	Quarterly Statement Electronic Filing	XXX	EO	XXX	5/15, 8/15, 11/15	NAIC	
	70	Quarterly .PDF Filing	XXX	EO	XXX	5/15, 8/15, 11/15	NAIC	
	71	June .PDF Filing	XXX	EO	XXX	6/1	NAIC	

(1) Check-list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES* Domestic State	Domestic NAIC	Foreign State	(5) DUE DATE	(6) FORM SOURCE **	(7) APPLICABLE NOTES
		IV. AUDIT/INTERNAL CONTROL RELATED REPORTS						
	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	6/1	Company	
	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	Within 5 days of change	Company	
	86	Management's Report of Internal Control over Financial Reporting	1	N/A	N/A	8/1	Company	
	87	Notification of Adverse Financial Condition	1	N/A	1	Within 5 business days	Company	
	88	Relief from the five-year rotation requirement for lead audit partner	0	EO	N/A	3/1	Company	
	89	Relief from the one-year cooling off period for independent CPA	0	EO	N/A	3/1	Company	
	90	Relief from the Requirements for Audit Committees	0	EO	N/A	3/1	Company	
	91	Request for Exemption to File Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	5/22	Company	See Note J
	92	CPA Awareness Letter	1	N/A	XXX	6/1	Company	
		V. STATE REQUIRED FILINGS						
	101	Corporate Governance Annual Disclosure ***	N/A	0	N/A	6/1	Company	
	102	2019 Filings Checklist (with Column 1 completed)	1	0	N/A	As applicable	State	
	103	Form B - Holding Company Registration Statement	1	0	N/A	3/1	State	
	104	Form F - Enterprise Risk Report ****	1	0	N/A	3/1	Company	
	105	ORSA *****	1	0	N/A	10/1	Company	
	106	Premium tax reports	1	0	1	3/1, 5/30, 8/29, 11/29	State	See Note O
	107	State Filing Fees (Renewal Statement - file on Online Renewal System)	1	0	1	3/1	State	See Note C
	108	Life Company Abstract of Statement (electronic)	1	0	1	3/1	State	See Note R

* **If XXX appears in this column, North Dakota does not require this filing if a 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 NAIC is shown as Form Source, the form should be obtained from the appropriate vendor. # Denotes a new or revised form.**

*** **North Dakota has adopted the NAIC Corporate Governance Annual Disclosure Model Act. An annual disclosure is required of all insurers or insurance groups by June 1. The Corporate Governance Annual Disclosure is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state if filed at the insurance group level. For more information on lead states, see the following NAIC URL:** http://www.naic.org/public_lead_state_report.htm

**** **North Dakota has adopted the NAIC updated Holding Company Model Act, a Form F Filing is required annually by holding company groups. Consistent with Form B filing requirements, the Form F is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state. For more information on lead states, see the following NAIC URL:** http://www.naic.org/public_lead_state_report.htm

***** **North Dakota has adopted the NAIC Risk Management and Own Risk Solvency Assessment Model Act, a summary report is required annually by Insurers and insurance groups above a specified premium threshold. The ORSA Summary Report is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state. For more information on lead states, see the following NAIC URL:** http://www.naic.org/public_lead_state_report.htm

NOTES AND INSTRUCTIONS (A-R APPLY TO ALL FILINGS)

	A	Required Filings Contact Person:	Company Licensing (701) 328-2440
	B	Mailing Address:	Office of the Insurance Commissioner 600 East Boulevard Avenue, Dept. 401 Bismarck, ND 58505
	C	Address for Filing Fees:	Submit the Renewal Statement for Admitted Companies using the Online Renewal System, see www.nd.gov/ndins
	D	Mailing Address for Premium Tax Payments:	Same as in Note B
	E	Delivery Instructions:	All hard-copy filings must be postmarked no later than the due date. A company label postmark is not acceptable. Electronic filings must be submitted by the due date. If the due date falls on a weekend or holiday, then the deadline is extended to the next business day. When submitting filings for two or more companies in a single package, all documents must be bundled BY COMPANY, not by document type, in order to expedite processing.
	F	Late Filings:	Companies will be fined $100 per day for a late annual filing. A company's license may be suspended if the annual statement is delinquent. N.D.C.C. Sec. 26.1-03-16 Companies will be fined $25 per day for delinquent renewal fees. N.D.C.C. Sec. 26.1-02-02
	G	Original Signatures:	Original signatures are required on all filings from domestic companies. Foreign companies should follow the instructions in the NAIC's Annual Statement Instructions. N.D.C.C. Sec. 26.1-03-09.
	H	Signature/Notarization/Certification:	The following officers are required to sign the annual statement: President or Vice President, Secretary, and Treasurer; in lieu of officer signatures, a majority of Directors may sign. N.D.C.C. Sec. 26.1-03-09
	I	Amended Filings:	Signature requirements are the same as for the original filing.
	J	Exceptions From Normal Filings:	For audited financial reports, an extension request must be submitted not less than 10 days prior to the due date. N.D.A.C. Sec. 45-03-20-03.
	K	Bar Codes (State or NAIC):	Please follow the instructions in the NAIC Annual Statement Instructions.
	L	Signed Jurat	This state waives foreign insurers from filing printed annual and quarterly statements and supplements. Submission of a hard-copy signed Jurat page is no longer required beginning 2011.

	M	NONE Filings:	See NAIC Annual Statement Instructions. Exceptions to these instructions are noted on the form.
	N	Filings new, discontinued or modified materially since last year:	***New Filings:*** None ***Discontinued Filings:*** Analysis of Annuity Operations by Line of Business Analysis of Increase in Annuity Reserves During Year Interest Sensitive Life Insurance Products Report
	O	Premium Tax Forms and Instructions:	Premium tax reports should not be submitted with the annual statement or supplemental filings. Reconciled due 3/1; Est. due 5/30, 8/29, 11/29. Form must be filed even if "0". A separate check for the payment of premium tax is required. Do not send one check for the payment of premium tax and renewal fees.
	P	Notification of Company Change:	Any company change (i.e., name, address, merger, etc.) should be sent to the Department under separate cover and must conform with the instructions for Corporate Amendments as given on the NAIC's uniform application website (www.naic.org/). Do not include such notifications with the annual statement filing.
	Q	Request for Acknowledgment of Filing:	A confirmation or acknowledgment of filing will not be returned to the company.
	R	Life Company Abstract of Statement	The Abstract of Statement - SFN 4803 must be submitted electronically. Print a copy if needed before clicking the "Submit" button.