TITLE COMPANIES CHECKLIST

NORTH DAKOTA INSURANCE DEPARTMENT

SFN 52092 (1-2019)

FILINGS CHECKLIST FOR THE STATE OF NORTH DAKOTA - Filings Made During the Year 2019

Company Name			NAIC Company Code					
Contact			Telephone Number					
(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			
		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-E27)	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	
		II. NAIC SUPPLEMENTS						
	11	Actuarial Opinion	1	EO	XXX	3/1	Company	
	12	Investment Risk Interrogatories	1	EO	XXX	4/1	NAIC	
	13	Management Discussion & Analysis	1	EO	XXX	4/1	Company	
	14	Schedule SIS	1	N/A	N/A	3/1	NAIC	
	15	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	
	16	Supplemental Schedule of Business Written by Agency	1	EO	XXX	4/1	NAIC	
		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	Supplemental Electronic Filing	XXX	EO	XXX	4/1	NAIC	
	64	Supplemental .PDF Filing	XXX	EO	XXX	4/1	NAIC	
	65	Quarterly Statement Electronic Filing	XXX	EO	XXX	5/15, 8/15, 11/15	NAIC	
	66	Quarterly .PDF Filing	XXX	EO	XXX	5/15, 8/15, 11/15	NAIC	
	67	June .PDF Filing	XXX	EO	XXX	6/1	NAIC	
		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	Request for Exemption to File	1	N/A	N/A	5/22	Company	See Note J
	89	Relief from the five-year rotation requirement for lead audit partner	0	EO	N/A	3/1	Company	
	90	Relief from the one-year cooling off period for independent CPA	0	EO	N/A	3/1	Company	
	91	Relief from the Requirements for Audit Committees	0	EO	N/A	3/1	Company	

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			State	NAIC	State			
		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	1	As applicable	State	
	103	Form B - Holding Company Registration Statement	1	0	N/A	3/1	Company	
	104	Form F - Enterprise Risk Report ****	1	0	N/A	3/1	Company	
	105	ORSA*****	1	0	N/A	10/1	Company	
	106	State Filing Fees (Renewal Statement-file on Online Renewal System)	1	0	1	3/1	State	See Note C
	107	Title Company Abstract of Statement (electronic)	1	0	1	3/1	State	See Note R
	108	Premium Tax Reports	1	0	1	3/1, 5/30, 8/29, 11/29	State	See Note O

***** **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 not adopted the NAIC Corporate Governance Annual Disclosure Model Act. For those states that have adopted the Act, an annual disclosure is required of all insurers or insurance groups by June 1. The Corporate Governance Annual Disclsoure is a state filing only and should <u>not</u> 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) 328-3328
	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 statement 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. 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 in 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:*** None
	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	Title Company Abstract of Statement:	The Abstract of Statement - SFN 14755 must be submitted electronically. Print a copy if needed before clicking the "Submit" button.