

## TITLE COMPANIES

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

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

REQUIRED FILINGS IN THE STATE OF: Ohio Filings Made During the Year 2016

(1) Checklist	(2) Line #	(3) REQUIRED FILING 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 1/2" x 14")	AFF	EO	0	3/1	NAIC	M,W
	1.1	Printed Investment Schedule detail (Pages E01-E27)	AFF	EO	xxx	3/1	NAIC	M,W
	2	Quarterly Financial Statement (8 1/2" x 14")	AFF	EO	0	5/15, 8/15, 11/15	NAIC	M,W
<b>II. NAIC SUPPLEMENTS</b>								
	11	Actuarial Opinion	AFF	EO		3/1	Company	M,W
	12	Request for Exemption from Filing Actuarial Opinion	1	N/A	0	12/1/15	Company	
	13	Investment Risk Interrogatories	AFF	EO		4/1	NAIC	M,W
	14	Management Discussion & Analysis	AFF	EO		4/1	Company	M,W
	15	Schedule SIS	1	N/A	N/A	3/1	NAIC	M,N
	16	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	M,N
	17	Supplemental Schedule of Business Written By Agency	AFF	EO	1	4/1	NAIC	M,N,W
<b>III. ELECTRONIC FILING REQUIREMENTS</b>								
	60	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	61	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	62	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
	63	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
	64	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	65	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	66	June .PDF Filing	xxx	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	AFF	EO	0	6/1	Company	K,M,W
INS7166	83	Audited Financial Reports Exemption Affidavit	1	N/A	N/A		State****	K
	84	Communication of Internal Control Related Matters Noted in Audit	1	N/A	N/A	8/1	Company	
	85	Independent CPA (change)	1	N/A	N/A		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	N/A		Company	
INS7160	88	Request for Exemption to File	1	N/A	N/A		Company	
	89	Relief from the five-year rotation requirement for lead audit partner	1	EO	0	3/1	Company	
	90	Relief from the one-year cooling off period for independent CPA	1	EO	0	3/1	Company	
	91	Relief from the Requirements for Audit Committees	1	EO	0	3/1	Company	
<b>V. STATE REQUIRED FILINGS****</b>								
INS7004	100	Application for Renewal of Certificate of Authority	1	0	1	3/1	State****	
	101	Signed Jurat	1	0	0	3/1,4/1,5/1, 5/15, 8/15, 11/15	NAIC	M,N
INS7147	104	Foreign Premium Tax Return- DO NOT File Hardcopy	0	0	EO	3/1	State****	W
INS7143	105	Domestic Franchise Tax Return- DO NOT File Hardcopy	EO	0	0	3/1	State****	W
INS7240	108	Electronic Filing Authenticity Affidavit	1	0	0	3/1,4/1,5/1,5/1 5,6/1,8/15,11/15	State****	M,N

INS7214	102	Domestic Insurance Tax Summary to Treasurer of State*****	1	0	0	3/1	State****	E
INS7215	103	Foreign Insurance Tax Summary to Treasurer of State*****	0	0	1	3/1	State****	E
INS7140	104	Business Tax Credit (If applicable) – DO NOT FILE HARDCOPY	EO	0	EO	3/1	State****	W
INS7150	105	Computation of Deposit (Domestic Title)	1	0	0	3/1	State****	N
INS7151	106	Computation of Deposit (Domestic Title and Trust)	1	0	0	3/1	State****	N
INS7152	107	Computation of Deposit (Foreign Title)	0	0	1	3/1	State****	N
INS7062	108	Internet Submissions to NAIC	INFO	INFO	INFO	Informational Only	State****	S
INS7186	109	Actuarial Option Exemption Affidavit	1	0	0	3/1	State****	
#	119	Form F – Enterprise Risk Report *****	1	0	0	6/1	Company	O

**\*If “xxx” appears in this column, this state does not require this filing, if 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.**

**If “EO” appears in this column, the filing is Electronic Only filing – DO NOT FILE HARDCOPY.**

**If “AFF” appears in this column, Ohio requires an affidavit on form INS7240.**

**\*\*If Form Source is NAIC, the form should be obtained from the appropriate vendor.**

**\*\*\* Generally, Notes A through L apply to all filings.**

**\*\*\*\*These forms may be downloaded at [www.insurance.ohio.gov](http://www.insurance.ohio.gov) under “ODI Forms”**

**\*\*\*\*\*Do NOT file with the Ohio Department of Insurance. File Only with the Ohio Treasurer of State.**

**\*\*\*\*\*Ohio has adopted the NAIC updated Holding Company Model Act, a Form F filing is required annually by holding company groups. Consistent with the 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](http://www.naic.org/public_lead_state_report.htm)**

	<b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>	
A	Required Filings Contact Person: Annual and Quarterly filings	Risk Assessment (614)644-2647 or <a href="mailto:Risk.Assessment@insurance.ohio.gov">Risk.Assessment@insurance.ohio.gov</a>
B	Mailing Address for Annual and Quarterly filings:	Ohio Department of Insurance Office of Risk Assessment 50 West Town Street, 3 <sup>rd</sup> Floor Columbus, OH 43215
C	Mailing Address for Filing Fees: Do not send checks for filing fees. You will be billed when due. Do not mail tax returns. Do not send checks to the Department of Insurance.	<u>NONE</u>
D	<u>Mailing Address for Premium &amp; Franchise Tax Returns:</u> NONE. Electronic filing only. DO NOT file hardcopy with the Department of Insurance. DO NOT send tax payments to the Department of Insurance.	<u>NONE.</u> DO NOT Mail Tax Returns. Electronic filing only.
E	Mailing Address for Premium Tax Payments: Must be paid by ACH credit or ACH debit.  If you have questions about this process, you may contact the Ohio Treasurer of State's office at 614-752-8484 or view the FAQ's from the following web address: <a href="http://eft.tos.ohio.gov/#/FaqView">http://eft.tos.ohio.gov/#/FaqView</a>	<u>NONE</u>
F	Delivery Instructions:	All items must be physically received by the due date. If the due date falls on a weekend or holiday, the due date is the next business day.
G	Late Filings:	Statutory penalties apply to required filings received by the due date. If the due date falls on a weekend or holiday, the due date is the next business day.
H	Original Signatures:	Original signatures are required on all filings that require signatures. See Note L and Electronic Filing Authenticity Affidavit (Ohio Form INS7240)
I	Signature/Notarization/Certification:	Principal officers are required to sign Quarterly and Annual Statement Jurat Pages. See Annual Statement Instructions and Ohio Form INS7240.
J	Amended Filings:	Contact <a href="mailto:taxes@insurance.ohio.gov">taxes@insurance.ohio.gov</a> for tax amendment forms. Amendments must be accompanied by an explanation and documentation. Original signature requirements apply.
K	Exceptions from normal filings:	All companies must include a copy of any extension or exemption granted by their state of domicile.
L	Bar Codes (NAIC):	Please refer to the Appendix of the NAIC Annual Statement Instructions.

M	Signed Jurat:	Domestic insurers must attached signed, notarized Jurat with Affidavit (Ohio form INS7240 ). No Jurat required of foreign insurers. Do not file hardcopy Annual or Quarterly Statements.
N	NONE Filings:	Must be submitted. Please see NAIC Annual Statement Instructions for Supplemental interrogatories.
O	Filings new, discontinued or modified materially since last year: Ohio no longer has state specific bar code instructions.	A “#” sign on the Checklist denotes a new filing.
P	All Foreign Insurers: DO NOT FILE Certification of Valuation.	Please file a copy of Certificate of Compliance and Certificate of Deposit as issued by the state of domicile.
Q	Statement of Compliance with Rule 3901-8-07 and 3901-6-02:	Every insurer subject to Rules 3901-8-07 and/or 3901-6-02 must file a statement of compliance with Ohio insurance laws as implemented and interpreted by these rules on Company letterhead. No form.
R	Protected Cell Annual Statement:	File only if applicable. No need to file with Ohio if “None”.
S	State instructions and filing information:	These items are available for instructional purposes only. The forms content is to be used as a guide only.
T	Actuarial Opinion Summary (Property and Casualty Only):	To be filed as a confidential document pursuant to ORC Section 3901.77(E)
U	HIC line of business license only:	Do Not file unless Certificate of Authority (“COA”) is for a health insuring corporation (“HIC”) under ORC Chapter 1751 or if your “non-HIC” COA specifically lists authority for a HIC line of business.
V	IRIS Response:	ONLY required if 4 or more IRIS Ratio Failures.
W	Hard Copy Filings:	Do not file hardcopy with Ohio if “NONE”, “AFF”, “EO” or “0” is indicated in column 4 (domestic or foreign)

**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 mailing 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 Statement Electronic Filing* includes the complete quarterly statement data.

The *Quarterly Statement .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.

The *Combined Annual Statement .PDF Filing* is the .pdf file for the Combined annual statement data and the combined Insurance Expense Exhibit.

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 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. 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.