

# Fraternal Benefit Societies

Required Filings In The State Of: *Washington*

Filings Made During the Year 2017

(1) Checklist	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLIC- ABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
<b>I. NAIC FINANCIAL STATEMENTS</b>								
	1	Annual Statement (8 ½"x14")			xxx			
	1.1	Printed Investment Schedule detail (Pages E01-E27)			xxx			
	2	Quarterly Financial Statement (8 ½" x 14")			xxx			
	3	Separate Accounts Annual Statement (8 ½"x 14")			xxx			
<b>II. NAIC SUPPLEMENTS</b>								
	11	Accident & Health Policy Experience Exhibit			xxx			
	12	Analysis of Annuity Operations by Lines of Business			xxx			
	13	Analysis of Increase in Annuity Reserves During Year			xxx			
	14	Interest Sensitive Life Insurance Products Report			xxx			
	15	Long-Term Care Experience Reporting Forms			xxx			
	16	Management Discussion & Analysis			xxx			
	17	Medicare Part D Coverage Supplement			xxx			
	18	Medicare Supplement Insurance Experience Exhibit			xxx			
	19	Risk-Based Capital Report			xxx			
	20	Supplemental Compensation Exhibit			N/A			
	21	Supplemental Health Care Exhibit (Parts 1, 2 and 3)			xxx			
	22	Supplemental Health Care Exhibit's Allocation Report			xxx			
	23	Supplemental Investment Risk Interrogatories			xxx			
	24	Supplemental XXX/AXXX Reinsurance Exhibit			xxx			
	25	Trusted Surplus Statement			xxx			
<b>Actuarial Related Items</b>								
	26	Actuarial Certification regarding use 2001 Preferred Class Table			xxx			
	27	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities			xxx			
	28	Actuarial Certification Related to Hedging required by Actuarial Guideline XLIII			xxx			
	29	Actuarial Certification Related to Reserves required by Actuarial Guideline XLIII			xxx			
	30	Actuarial Memorandum Related to Universal Life with Secondary Guarantee Policies required by Actuarial Guideline XXXVIII 8D			xxx			
	31	Actuarial Opinion			xxx			
	32	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit			xxx			
	33	Actuarial Opinion on Synthetic Guaranteed Investment Contracts			xxx			
	34	Actuarial Opinion on X-Factors			xxx			
	35	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation			xxx			
	36	Financial Officer Certification Related to Clearly Defined Hedging Strategy required by Actuarial Guideline XLIII			xxx			
	37	Management Certification that the Valuation Reflects Management's Intent required by Actuarial Guideline XLIII			xxx			
	38	RAAIS required by Actuarial Opinion and Memorandum Regulation (Model 822), Section 7A(5)			xxx			
	39	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV			xxx			
	40	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV			xxx			
	41	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)			xxx			
	42	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)			xxx			
	43	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI			xxx			
	44	RBC Certification required under C-3 Phase I			xxx			
	45	RBC Certification required under C-3 Phase II			xxx			
	46	Statement on non-guaranteed elements – Exhibit 5 Int. #3			xxx			

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			Domestic		Foreign			
			State	NAIC	State			
	47	Statement on participating/non-participating policies – Exhibit 5, Inter. #1&2			xxx			
<b>III. ELECTRONIC FILING REQUIREMENTS</b>								
	61	Annual Statement Electronic Filing			xxx			
	62	March .PDF Filing			xxx			
	63	Risk-Based Capital Electronic Filing			N/A			
	64	Risk-Based Capital .PDF Filing			N/A			
	65	Separate Accounts Electronic Filing			xxx			
	66	Separate Accounts .PDF Filing			xxx			
	67	Supplemental Electronic Filing			xxx			
	68	Supplemental .PDF Filing			xxx			
	69	Quarterly Statement Electronic Filing			xxx			
	70	Quarterly .PDF Filing			xxx			
	71	June .PDF Filing			xxx			
<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>								
	81	Accountants Letter of Qualifications			xxx			
	82	Audited Financial Reports			xxx			
	83	Audited Financial Reports Exemption Affidavit			xxx			
	84	Communication of Internal Control Related Matters Noted in Audit			xxx			
	85	Designation of Independent CPA (change)			N/A			
	86	Management’s Report of Internal Control Over Financial Reporting			N/A			
	87	Notification of Adverse Financial Condition			N/A			
	88	Relief from the five-year rotation requirement for lead audit partner			xxx			
	89	Relief from the one-year cooling off period for independent CPA			xxx			
	90	Relief from the Requirements for Audit Committees			xxx			
	91	Request for Exemption to File Management's Report of Internal Control Over Financial Reporting			N/A			
<b>V. STATE REQUIRED FILINGS</b>								
	101	Certificate of Compliance			0			
	102	Certificate of Deposit			0			
	103	Certificate of Valuation			0			
	104	Filings Checklist (with Column I completed)			0			
	105	Form B-Holding Company Registration Statement			N/A			
	106	Form F-Enterprise Risk Report ***			N/A			
	107	ORSA****			N/A			
	108	Premium Tax			EO	3/1	State	
	109	State Filing Fees			EO	3/1	State	
	110	Signed Jurat			0			

\*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile (if required) and if the data is filed electronically with the NAIC (if required). If N/A appears in this column, the filing is required with the domiciliary state. EO (electronic only filing).

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

\*\*\*For those states that have 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)

\*\*\*\*For those states that have adopted the NAIC updated Risk Management and Own Risk and Solvency Assessment Model Act, a summary report is required annually by insurers and insurance groups above a specified premium threshold. Consistent with the Form B filing requirements, 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](http://www.naic.org/public_lead_state_report.htm)

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NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)		
A	Required Filings Contact Person:	<a href="mailto:ASFI@oic.wa.gov">ASFI@oic.wa.gov</a> or 360-725-7200.
B	Mailing Address:	The commissioner will access the financial statements from the electronic filings made with the NAIC.
C	Mailing Address for Filing Fees:	See the License Renewal form.
D	Mailing Address for Premium Tax Payments:	License renewal information provided separately.
E	Delivery Instructions:	If the due date is a Saturday, Sunday or legal holiday, the due date is the next business day.
F	Late Filings:	\$100 per day. The commissioner may suspend authority to do business after giving notice.
G	Original Signatures:	Set by the domestic regulator.
H	Signature/Notarization/Certification:	Set by the domestic regulator.
I	Amended Filings:	Set by the domestic regulator.
J	Exceptions from normal filings:	Set by the domestic regulator.
K	Bar Codes (State or NAIC):	Set by the domestic regulator.
L	Signed Jurat:	Not applicable.
M	NONE Filings:	Set by the domestic regulator.
N	Filings new, discontinued or modified materially since last year:	None

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## 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**  
Not used.

**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 investments schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The *March.PDF Filing* is .pdf files 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.

The *Separate Accounts.PDF Filing* is the .pdf file for the separate accounts annual statement and investment schedule detail.

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 supplements due April 1.

The *Quarterly Electronic Filing* includes the quarterly statement data.

The *Quarterly.PDF Filing* is the .pdf for quarterly statement data.

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 (generally, on its website). 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.

**This is a courtesy summary; it does not relieve the reporting entity from complying with all statutes and regulations.**