

Making sense of the financial statement PDF file name codes

The file-naming rules and phrases are set by the National Association of Insurance Commissioners (NAIC).

- 1) File names can have different amounts of numbers and letters, but will end in **".PDF"**.
- 2) The file name to the left of the **".PDF"** uses underscore characters ("_") to separate its codes, which are called "fields". Letters are not case-sensitive.
- 3) The general form of the file name is **ccccc_vc_s_yyyy_f_d_vv_sa_ss_fb_p.PDF**

Field	Meaning	Field Number (shown solely for the examples)
ccccc	Company code (a five-digit number set by the NAIC).	1
vc	Vendor code. Identifies the software creator. The code is set by the NAIC. It is not important for viewing purposes.	2
s	Statement code. Identifies the type of financial statement. It may be different from the business type of the company. Some life insurers may file the health (X) statement.	3
	<i>Code</i> Statement Type	
	L Life, Accident, and Health (life)	
	P Property / Casualty	
	T Title	
X Health		
yyyy	Year of the data. For example, the December 31, 2010 annual statement, supplements and audited financial statements are filed during 2011, but contain 2010 data.	4
f	Filing code. Shows whether it's an original or amended filing.	5
	<i>Code</i> Meaning	
	O Original filing	
A Amendment filing—has pages that supersede (amend) the original filing.		
d	Data group code. Documents are put into groups.	6
	<i>Code</i> Meaning	
	M March (the ANNUAL financial statement and supplements)	
	A April (annual statement supplements that are due April 1)	
	J June (The AUDITED financial statements and its supplements)	
	1, 2 or 3 Shows which quarter the financial statements cover.	
C Combined group statement (property / casualty only)		
S Separate Accounts (some life insurers only)		
vv	Version number. It will be the same as the version number on the ZIP file.	7
sa	Separate Account ID. It will be zero unless the Submission Group Code is "S". If an insurer has multiple separate accounts, this code helps tell the accounts apart.	8

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ss	State Supplement Code. Used along with the Filing BLOB code to identify a document.		9
	<i>Code</i>	Meaning	
	NA	The NAIC set a uniform (nationwide) filing code for the document.	
	WA	The OIC set a Washington-only filing code for the document.	
fb	Filing BLOB type code (the meaning of "BLOB" is not important for viewing purposes).		10
	<i>Code</i>	Meaning	
	Nationwide codes set by the NAIC (the State Supplement Code is "NA"):		
	Annual Statement (the M group type code) (The S group type also uses PK, PI and PO.)		
	PI	Investment Annual Statement Schedules	
	PK	Key Annual Statement Schedules (this contains the main financial statements and exhibits)	
	PO	Other Annual Statement Schedules	
	PR	Reinsurance Attestation Supplement (property / casualty only)	
		Actuarial documents:	
	PA	Statement Of Actuarial Opinion	
	The rest of the actuarial documents are for life insurers only:		
	PB	Reasonableness of Assumptions Actuarial Certification	
	PC	Reasonableness and Consistency of Assumptions Actuarial Certification	
	PD	Reasonableness of Assumptions Actuarial Certification for Implied Guaranteed Rate Method	
	PE	Reasonableness and Consistency of Assumptions Actuarial Certification (Updated Average Market Value)	
	PG	Reasonableness and Consistency of Assumptions Actuarial Certification (Updated Market Value)	
	PHR	Related to Hedging	
	PHS	Related to Clearly-Defined Hedging Strategy	
	PJ	Separate Accounts Funding Guaranteed Minimum Benefit	
	PL	Synthetic Guaranteed Investment Contracts	
	PMG	Modified Guaranteed Annuity	
	PMI	Valuation Reflects Management's Intent	
	PN	Statement Of Non-Guaranteed Elements	
	PP	Actuarial Opinion on Participating and Non-Participating Policies	
	PQ	Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	
	PRR	Reserves Required by Actuarial Guideline 43	
	PX	X-Factors	
	April Supplements (the A group type code)		
	P	Statement	
	PM	Management's Discussion and Analysis	
	PHA	Supplemental Health Care Exhibit's Expense Allocation Report	

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Quarterly Statements and Combined Statements (the 1, 2, 3 and C group type codes)		
P	Statement	
Quarterly Statements might also have a PB, PC, PD, PE or PG. See the Annual Statement.		
Audited Financial Statement (the J group type code)		
PF	Audited Financial Statements	
PY	CPA Qualifications Letter	
Codes set by the Washington OIC (the State Supplement Code is "WA"):		
Annual Statement Supplements (in the M group type code)		
PC	Supplemental Compensation Exhibit	
PD	Additional Data Statement Form (HCSCs, HMOs and MEWAs only)	
PU	The RCW 48.43.045(1)(b) report (not necessary if the company files a Supplemental Compensation Exhibit)	
PY	Schedule SIS (Stockholder Information Supplement; filed only if the company has 100 or more stockholders)	
April Supplements (in the A group type code)		
PT	Business Written by Agency (Title only)	
Audited Financial Statements Supplements (in the J group type code)		
PS	Communications of Internal Control-Related Matters Noted in an Audit	
p	A public disclosure code added by the OIC when processing a file.	11
<i>Code</i>	<i>Meaning</i>	
N	Not secure - has public information	
S	Secure - may contain non-public or personal information	
.PDF	The code that tells a computer to open this as a PDF file.	

Examples of how to make sense of the field names:

(the letters are not case-sensitive)

65105_48_x_2010_o_m_1_0_na_pa_n.pdf

1. 65105 = the NAIC company code for LifeWise Health Plan of Arizona.
2. 48 = (not important for viewing purposes.)
3. X = a Health financial statement.
4. 2010 = contains data for 2010.
5. O = is an Original filing.
6. M = the March submission group.
7. 1 = the version number (a unique number).
8. 0 = not a Separate Account filing.
9. NA = a nationwide NAIC document.
- 10.PA = the **Statement of Actuarial Opinion** of the 2010 annual statement.
- 11.N = is a public document.

65105_48_X_2010_O_M_1_0_NA_PI_N.PDF

Fields 1 through 9 and 11 are the same as above. The PI in field 10 = the **Investment schedules** of the 2010 annual statement.

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65105_48_x_2010_o_m_1_0_na_pk_n.pdf

Fields 1 through 9 and 11 are the same as above. The PK in field 10 = the **Key schedules** of the 2010 annual statement.

65105_48_X_2010_O_M_1_0_NA_PO_N.PDF

Fields 1 through 9 and 11 are the same as above. The PO in field 10 = the **Other schedules** of the 2010 annual statement.

40738_10_p_2010_o_j_1_00_na_pf_n.pdf

1. 40738 = the NAIC company code for Physicians Insurance A Mutual Company.
2. 10 = (not important for viewing purposes.)
3. P = a Property / Casualty financial statement.
4. 2010 = contains data for 2010.
5. O = an Original filing.
6. J = the June submission group.
7. 1 = the version number.
8. 00 = not a Separate Accounts filing.
9. NA = a nationwide NAIC document.
10. PF = the **Audited Financial Statements** as of December 31, 2010.
11. N = is a public document.

68608_38_L_2011_O_1_1_0_NA_PC_N.PDF

1. 68608 = the NAIC company code for Symetra Life Insurance Company.
2. 38 = (not important for viewing purposes.)
3. L = a Life financial statement.
4. 2011 = contains data for 2011.
5. O = an Original filing.
6. 1 = a first quarter filing (combine with the data year to know it's as of March 31, 2011).
7. 1 = the version number.
8. 0 = not a Separate Accounts filing.
9. NA = a nationwide NAIC document.
10. PC = the **Reasonableness and Consistency of Assumptions Actuarial Certification**.
11. N = is a public document.

96270_07_X_2010_O_M_1_0_WA_PD_N.PDF

1. 96270 = the NAIC company code for Molina Healthcare of Washington, Inc.
2. 07 = (not important for viewing purposes.)
3. X = a Health financial statement
4. 2010 = contains data for 2010.
5. O = an Original filing.
6. M = the March submission group.
7. 1 = the version number.
8. 0 = not a Separate Account filing.
9. WA = a Washington-only document.
10. PD = the **Additional Data Statement Form** supplement to the 2010 annual statement.
11. N = is a public document.