

## Making sense of the financial statement ZIP file name codes

The file-naming rules and phrases are set by the National Association of Insurance Commissioners (NAIC). While the OIC web site provides some identifying information about ZIP filings, this document should help users decode the file names on their own.

- 1) File names can have different amounts of numbers and letters, but will end in **".ZIP"**.
- 2) The file name to the left of the **".ZIP"** 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\_zz\_p.ZIP**

Field	Meaning	Field Number (shown solely for the examples)														
<b>ccccc</b>	Company code (a five-digit number set by the NAIC).	<b>1</b>														
<b>vc</b>	Vendor code. Identifies the software creator. The code is set by the NAIC. It is not important for viewing purposes.	<b>2</b>														
<b>s</b>	Statement code. Identifies the type of financial statement, which may be different from the business type of the company. For example, life insurers may file the health (X) statement.	<b>3</b>														
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<b>yyyy</b>	<b>Year of the data.</b> For example, the December 31, 2010 annual statement, supplements and audited financial statements are filed during 2011, but contain 2010 data.	<b>4</b>														
<b>f</b>	Filing code. Shows whether it's an original or amended filing.	<b>5</b>														
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<b>v v</b>	Version number. These are set by the company and may not in order.	<b>7</b>
<b>sa</b>	Separate Account ID. It will be zero unless the Submission Group type code is "S". If an insurer has multiple separate accounts, this code helps tell the accounts apart.	<b>8</b>
<b>ss</b>	State Supplement Code. This is not really important for ZIP file names.	<b>9</b>
<b>zz</b>	ZIP file sequence number. Set by the company and may not be in order.	<b>10</b>
<b>p</b>	A public disclosure code added by the OIC when processing a filing.	
	<i>Code</i>	Meaning
	<b>N</b>	Not secure - has public information
	<b>S</b>	Secure - may contain non-public or personal information
<b>.ZIP</b>	The code that tells a computer to open this as a ZIP file.	

### Examples of how to make sense of the field names:

(the letters are not case-sensitive)

#### **63177\_38\_L\_2011\_O\_1\_1\_0\_NA\_1\_N.ZIP**

1. 63177 = the NAIC company code for Farmers New World 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 year to know it's for March 31, 2011).
- Fields 7 through 10 are not important for this decoding.
11. N = is a public document.

#### **65105\_48\_x\_2010\_o\_m\_1\_0\_na\_1\_n.zip**

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--although a life and disability insurer, the company qualifies to file the health (X) financial statement.
4. 2010 = contains data for 2010.
5. O = an Original filing.
6. M = a March filing (could contain the annual financial statements and/or supplements).

Fields 7 through 10 are not important for this decoding.

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#### **63177\_38\_L\_2010\_O\_J\_1\_00\_NA\_01\_N.ZIP**

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2. 38 = (not important for viewing purposes.)
3. L = a Life financial statement.
4. 2010 = contains data for 2010.
5. O = an Original filing.
6. J = a June filing (could contain the audited financial statements and/or supplements).

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