

Property & Casualty Insurers

Required Filings In The State Of: *Washington*

Filings Made During the Year 2021

(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")	0	EO	xxx	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E29)	0	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	0	EO	xxx	5/17, 8/16, 11/15	NAIC	
	3	Protected Cell Annual Statement	0	0	xxx	3/1	NAIC	
	4	Combined Annual Statement (8 1/2" x 14")	0	EO	xxx	5/3	NAIC	
II. NAIC SUPPLEMENTS								
	11	Accident & Health Policy Experience Exhibit	0	EO	xxx	4/1	NAIC	
	12	Actuarial Opinion	0	EO	xxx	3/1	Company	
	13	Actuarial Opinion Summary	EO	N/A	xxx	3/15	Company	
	14	Bail Bond Supplement	0	EO	xxx	3/1	NAIC	
	15	Combined Insurance Expense Exhibit	0	EO	xxx	5/3	NAIC	
	16	Credit Insurance Experience Exhibit	0	EO	xxx	4/1	NAIC	
	17	Cybersecurity and Identity Theft Insurance Coverage Supplement	0	EO	xxx	4/1	NAIC	
	18	Director and Officer Insurance Coverage Supplement	0	EO	xxx	3/1, 5/17, 8/16, 11/15	NAIC	
	19	Financial Guaranty Insurance Exhibit	0	EO	xxx	3/1	NAIC	
	20	Insurance Expense Exhibit	0	EO	xxx	4/1	NAIC	
	21	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit	0	EO	xxx	4/1	NAIC	
	22	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form	0	EO	xxx	4/1	NAIC	
	23	Long-Term Care Experience Reporting Forms	0	EO	xxx	4/1	NAIC	
	24	Management Discussion & Analysis	0	EO	xxx	4/1	Company	
	25	Medicare Part D Coverage Supplement	0	EO	xxx	3/1, 5/17, 8/16, 11/15	NAIC	
	26	Medicare Supplement Insurance Experience Exhibit	0	EO	xxx	3/1	NAIC	
	27	Premiums Attributed to Protected Cells Exhibit	0	EO	xxx	3/1	NAIC	
	28	Private Flood Insurance Supplement	0	EO	xxx	4/1	NAIC	N
	29	Reinsurance Attestation Supplement	0	EO	xxx	3/1	Company	
	30	Exceptions to Reinsurance Attestation Supplement	EO	N/A	xxx	3/1	Company	
	31	Reinsurance Summary Supplemental	0	EO	xxx	3/1	NAIC	
	32	Risk-Based Capital Report	0	EO	xxx	3/1	NAIC	
	33	Schedule SIS	EO	N/A	N/A	3/1	NAIC	
	34	Supplement A to Schedule T	0	EO	xxx	3/1, 5/17, 8/16, 11/15	NAIC	
	35	Supplemental Compensation Exhibit	EO	N/A	N/A	3/1	NAIC	
	36	Supplemental Health Care Exhibit (Parts 1, 2 and 3)	0	EO	xxx	4/1	NAIC	
	37	Supplemental Health Care Exhibit's Allocation Report Supplement	0	EO	xxx	4/1	NAIC	
	38	Supplemental Investment Risk Interrogatories	0	EO	xxx	4/1	NAIC	
	39	Supplemental Schedule for Reinsurance Counterparty Reporting Exception – Asbestos and Pollution Contracts	0	EO	xxx	3/1	NAIC	
	40	Trusted Surplus Statement	0	EO	xxx	3/1, 5/17, 8/16, 11/15	NAIC	
III. ELECTRONIC FILING REQUIREMENTS								
	61	Annual Statement Electronic Filing	0	EO	xxx	3/1	NAIC	
	62	March .PDF Filing	0	EO	xxx	3/1	NAIC	
	63	Risk-Based Capital Electronic Filing	0	EO	N/A	3/1	NAIC	
	64	Risk-Based Capital .PDF Filing	0	EO	N/A	3/1	NAIC	
	65	Combined Annual Statement Electronic Filing	0	EO	xxx	5/3	NAIC	
	66	Combined Annual Statement .PDF Filing	0	EO	xxx	5/3	NAIC	
	67	Supplemental Electronic Filing	0	EO	xxx	4/1	NAIC	
	68	Supplemental .PDF Filing	0	EO	xxx	4/1	NAIC	
	69	Quarterly Statement Electronic Filing	0	EO	xxx	5/17, 8/16, 11/15	NAIC	
	70	Quarterly .PDF Filing	0	EO	xxx	5/17, 8/16, 11/15	NAIC	
	71	June .PDF Filing	0	EO	xxx	6/1	NAIC	
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
	81	Accountants Letter of Qualifications	0	EO	N/A	6/1	Company	
	82	Audited Financial Reports	0	EO	N/A	6/1	Company	

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			Domestic		Foreign			
			State	NAIC	State			
	83	Audited Financial Reports Exemption Affidavit	0	N/A	N/A		Company	
	84	Communication of Internal Control Related Matters Noted in Audit	0	EO	N/A	8/2	Company	R
	85	Designation of Independent CPA (change)	1	N/A	N/A	Only on CPA change	Company	
	86	Management's Report of Internal Control Over Financial Reporting	EO	N/A	N/A	8/2	Company	R
	87	Notification of Adverse Financial Condition	1	N/A	N/A	Within 5 days	Company	
	88	Relief from the five-year rotation requirement for lead audit partner	0	EO	N/A	3/1	Company	
	89	Relief from the one-year cooling off period for independent CPA	0	EO	N/A	3/1	Company	
	90	Relief from the Requirements for Audit Committees	0	EO	N/A	3/1	Company	
	91	Request to File Consolidated Audited Annual Statements	1	N/A	N/A		Company	
	92	Request for Exemption to File Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A		Company	
V. STATE REQUIRED FILINGS								
	101	Corporate Governance Annual Disclosure***	EO	0	0	6/1	Company	
	102	Filings Checklist (with Column 1 completed)	0	0	0	none		
	103	Forms B & C-Holding Company Registration Statement	EO	0	N/A	5/3	Company	O
	104	Form F-Enterprise Risk Report ****	EO	0	N/A	5/3	Company	O
	105	ORSA *****	EO	0	N/A	Varies	Company	O
	106	Premium Tax	EO	0	EO	3/1	State	
	107	State Filing Fees	EO	0	1	3/1	State	
	108	Signed Jurat	0	0	0	none	NAIC	
	109	Schedule SIS .PDF Filing	1	N/A	0	3/1	NAIC	
	110	Supplemental Compensation Exhibit .PDF Filing	1	N/A	N/A	3/1	NAIC	
	111	WSHIP Notice of Assessment Report	1	N/A	1	3/1	State	P
	112	Actuarial Opinion Summary .PDF Filing	1	N/A	0	3/15	Company	
	113	Special Insurance Liability Report	1	0	1	5/3	State	Q
	114	Combined Annual Statement .PDF Filing (if applicable)	1	N/A	xxx	5/3	NAIC	
	115	Management's Report of Internal Control Over Financial Reporting .PDF Filing (if more than \$500 million in premiums)	1	N/A	0	8/2	Company	R

*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. 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 Corporate Governance Annual Disclosure Model Act, an annual disclosure is required of all insurers or insurance groups by June 1. The Corporate Governance Annual Disclosure 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 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.

****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

*****For those states that have adopted the NAIC 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. 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 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

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NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)		
A	Required Filings Contact Person:	ASF1@oic.wa.gov or 360-725-7200
B	Electronic Filing Address:	https://fortress.wa.gov/oic/online services/Login.aspx?module=FIN
C	Mailing Address for Filing Fees:	See the Premium Tax form.
D	Mailing Address for Premium Tax Payments:	Premium tax 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:	The commissioner shall suspend or revoke the certificate of authority.
G	Original Signatures:	Domestic: Original required, except the CPA firm-supplied documents may use a facsimile or reproduction signature. Electronic signatures and notarization are allowed and are an alternative if prudent safety measures or government actions prevent officers or other signers from signing documents in person. Insurers unable to get the required signatures or notary must request an exception from the OIC under Note J. Foreign: Set by the domestic regulator.
H	Signature/Notarization/Certification:	Jurat: At least two officers must sign.
I	Amended Filings:	Domestic: See SSAP No. 3, the NAIC instructions, and the OIC Electronic Submission Directive. Foreign: Contact your domestic regulator.
J	Exceptions from normal filings:	Domestic: Send written requests to CompanySupervisionFilings@oic.wa.gov . For time extensions, state the date the reporting entity will file. Foreign: Extensions or exemptions are made by the domestic regulator. Do not file requests or notices with the OIC.
K	Bar Codes (State or NAIC):	Domestic: Use NAIC bar codes on paper filings. Not needed on electronic filings. Foreign: Set by the domestic regulator.
L	Signed Jurat:	Domestic: This is an NAIC program for foreign insurers, so it is different from the Washington rules regarding signatures. Foreign: No.
M	NONE Filings:	Please put consecutive “none” pages on one page.
N	Filings new, discontinued or modified materially since last year:	Private Flood Insurance Supplement.
O	Holding Company Forms:	Domestic: File electronically at the address shown in Note B. Contact: Ron Pastuch at 360-725-7211 or RonP@oic.wa.gov .
P	Washington State Health Insurance Pool (WSHIP) Notice of Assessment Report:	The report is web-based and can be found at http://www.insurance.wa.gov/for-insurers/financials/wship/index.html The phone numbers for questions can be accessed through the FAQs link.
Q	Special Liability Report:	Will be available on www.insurance.wa.gov . The direct link is https://www.insurance.wa.gov/special-liability-report-instructions-forms-and-historical-data
R	Internal Control Documents	File these as soon as they’re issued , but no later than 60 days after the filing of the audited financial statements.

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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

Companies may use the checklist to submit to a state, if the state requests it (**not requested**).

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.

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