

Risk Retention Groups

Required Filings In The State Of: *Washington*

Filings Made During the Year 2019

(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")						
	1.1	Printed Investment Schedule detail (Pages E01-E27)						
	2	Quarterly Financial Statement (8 1/2" x 14")						
	3	Protected Cell Annual Statement						
	4	Combined Annual Statement (8 1/2" x 14")						
II. NAIC SUPPLEMENTS								
	11	Accident & Health Policy Experience Exhibit						
	12	Actuarial Opinion			XXX	set by domestic regulator	Company	O
	13	Actuarial Opinion Summary						
	14	Bail Bond Supplement						
	15	Combined Insurance Expense Exhibit						
	16	Credit Insurance Experience Exhibit						
	17	Cybersecurity and Identity Theft Insurance Coverage Supplement						
	18	Director and Officer Insurance Coverage Supplement						
	19	Financial Guaranty Insurance Exhibit						
	20	Insurance Expense Exhibit						
	21	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit						
	22	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form						
	23	Long-Term Care Experience Reporting Forms						
	24	Management Discussion & Analysis						
	25	Medicare Part D Coverage Supplement						
	26	Medicare Supplement Insurance Experience Exhibit						
	27	Premiums Attributed to Protected Cells Exhibit						
	28	Reinsurance Attestation Supplement						
	29	Exceptions to Reinsurance Attestation Supplement						
	30	Reinsurance Summary Supplemental						
	31	Risk-Based Capital Report						
	32	Schedule SIS						
	33	Supplement A to Schedule T						
	34	Supplemental Compensation Exhibit						
	35	Supplemental Health Care Exhibit (Parts 1, 2 and 3)						
	36	Supplemental Health Care Exhibit's Allocation Report Supplement						
	37	Supplemental Investment Risk Interrogatories						
	38	Supplemental Schedule for Reinsurance Counterparty Reporting Exception – Asbestos and Pollution Contracts						
	39	Trusteed Surplus Statement						
III. ELECTRONIC FILING REQUIREMENTS								
	61	Annual Statement Electronic Filing						
	62	March .PDF Filing						
	63	Risk-Based Capital Electronic Filing						
	64	Risk-Based Capital .PDF Filing						
	65	Combined Annual Statement Electronic Filing						
	66	Combined Annual Statement .PDF Filing						
	67	Supplemental Electronic Filing						
	68	Supplemental .PDF Filing						
	69	Quarterly Statement Electronic Filing						
	70	Quarterly .PDF Filing						
	71	June .PDF Filing						
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
	81	Accountants Letter of Qualifications						
	82	Audited Financial Reports			XXX	set by domestic regulator	Company	O
	83	Audited Financial Reports Exemption Affidavit						
	84	Communication of Internal Control Related Matters Noted in Audit						

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			Domestic		Foreign			
			State	NAIC	State			
	85	Designation of Independent CPA (change)						
	86	Management's Report of Internal Control Over Financial Reporting						
	87	Notification of Adverse Financial Condition						
	88	Relief from the five-year rotation requirement for lead audit partner						
	89	Relief from the one-year cooling off period for independent CPA						
	90	Relief from the Requirements for Audit Committees						
	91	Request to File Consolidated Audited Annual Statements						
	92	Request for Exemption to File Management's Report of Internal Control Over Financial Reporting						
		V. STATE REQUIRED FILINGS***						
	101	Corporate Governance Annual Disclosure***						
	102	Filings Checklist (with Column I completed)						
	103	Form B-Holding Company Registration Statement						
	104	Form F-Enterprise Risk Report ****						
	105	ORSA *****						
	106	Premium Tax			EO	3/1	State	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. 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:	ASFI@oic.wa.gov or 360-725-7200
B	Electronic Filing Address:	The commissioner will access the actuarial opinion and audited financial statements from the electronic filings made with the NAIC.
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 due date and extensions are set by the domestic regulator.
G	Original Signatures:	Foreign: Contact your domestic regulator.
H	Signature/Notarization/Certification:	Set by the domestic regulator and NAIC Annual Statement Instructions.
I	Amended Filings:	File with the NAIC.
J	Exceptions from normal filings:	The filing date (and any extension) is set by the domestic regulator.
K	Bar Codes (State or NAIC):	Set by the domestic regulator.
L	Signed Jurat:	not applicable
M	NONE Filings:	not applicable
N	Filings new, discontinued or modified materially since last year:	None
O	What to file:	<p>Only the tax filing and fee payment.</p> <p>We do not require an annual statement, signed Jurat, or request for filing extensions.</p> <p>The commissioner will access the actuarial opinion and audited financial statements from the electronic filings made with the NAIC.</p>

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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.