

**PROPERTY & CASUALTY INSURERS**

COMPANY NAME: \_\_\_\_\_ NAIC Company Code: \_\_\_\_\_

Contact: \_\_\_\_\_ Telephone: \_\_\_\_\_

REQUIRED FILINGS IN THE STATE OF: UTAH Filings Made During the Year 2010

(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				
<b>I. NAIC FINANCIAL STATEMENTS</b>								
1		Annual Statement (8 1/2" x 14")	2	EO	xxx	3/1	NAIC	See Notes E, F & L
1.1		Printed Investment Schedule detail (Pages E01-E27)	2	EO	xxx	3/1	NAIC	
2		Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	See Note M
3		Protected Cell Annual Statement	2	0	xxx	3/1	NAIC	
4		Combined Annual Statement (8 1/2" x 14")	2	EO	xxx	5/1	NAIC	
<b>II. NAIC SUPPLEMENTS</b>								
10		Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	
11		Actuarial Opinion Summary	2	N/A	xxx	3/15	Company	See Note O
12		Bail Bond Supplement	2	EO	xxx	3/1	NAIC	
13		Combined Insurance Expense Exhibit	2	EO	xxx	5/1	NAIC	
14		Credit Insurance Experience Exhibit	2	EO	xxx	4/1	NAIC	
15		Exceptions to Reinsurance Attestation Supplement	2	N/A	xxx	3/1	Company	
16		Financial Guaranty Insurance Exhibit	2	EO	xxx	3/1	NAIC	
17		Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
18		Insurance Expense Exhibit	2	EO	xxx	4/1	NAIC	
19		Long Term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	
20		Management Discussion & Analysis	2	EO	xxx	4/1	Company	
21		Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	
22		Medicare Part D Coverage Supplement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
23		Premiums Attributed to Protected Cells Exhibit	2	EO	xxx	3/1	NAIC	
24		Reinsurance Attestation Supplement	2	EO	xxx	3/1	Company	
25		Reinsurance Summary Supplemental	2	EO	xxx	3/1	NAIC	
26		Risk-Based Capital Report	2	EO	xxx	3/1	NAIC	
27		Schedule SIS	2	N/A	N/A	3/1	NAIC	
28		Statement of Actuarial Opinion	2	EO	xxx	3/1	Company	
29		Supplement A to Schedule T	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
30		Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	
31		Trusteed Surplus Statement		EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
<b>III. ELECTRONIC FILING REQUIREMENTS</b>								
50		Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
51		March .PDF Filing	xxx	1	xxx	3/1	NAIC	
52		Risk-Based Capital Electronic Filing	xxx	1	N/A	3/1	NAIC	
53		Risk-Based Capital .PDF Filing	xxx	1	N/A	3/1	NAIC	
54		Combined Annual Statement Electronic Filing	xxx	1	xxx	5/1	NAIC	
55		Combined Annual Statement .PDF Filing	xxx	1	xxx	5/1	NAIC	
56		Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
57		Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
58		Quarterly Statement Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
59		Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
60		June .PDF Filing	xxx	1	xxx	6/1	NAIC	
<b>IV. AUDITED FINANCIAL STATEMENTS</b>								
71		Accountants Letter of Qualifications	2	EO	N/A		Company	
72		Audited Financial Statements	2	EO	xxx	6/1	Company	
73		Audited Financial Statements Exemption Affidavit	0	N/A	N/A		Company	
74		Independent CPA	0	N/A	N/A		Company	
75		Notification of Adverse Financial Condition	2	N/A	N/A		Company	
76		Report of Significant Deficiencies in Internal Controls	2	N/A	N/A		Company	
77		Request for Exemption to File	1	N/A	N/A		Company	
78		Request to File Consolidated Audited Annual Statements	1	N/A	N/A		Company	
<b>V. STATE REQUIRED FILINGS</b>								
101		Filings Checklist (with Column 1 completed)	1	0	0	3/1	State	
102		State Filing Fees	1	0	1	1/31	State	See Note P
103		Utah Accident & Health Survey	1	xxx	1	3/1	State	See Note N
104		Holding Company Registration Form B & C	2	0	0	5/1	State	

\*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC 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.

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

		<b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>	
A	Required Filings Contact Person:		
		Financial Statements	Dan Applegarth (801)538-9509 <a href="mailto:dapplegarth@utah.gov">dapplegarth@utah.gov</a>
B	Mailing Address:		Utah Insurance Department State Office Building, Rm 3110 Salt Lake City, Utah 84114-6901
C	Mailing Address for Filing Fees:		Same as above
D	Mailing Address for Premium Tax Payments:		K. Ray Hammond (801)297-3540 <a href="mailto:khammond@utah.gov">khammond@utah.gov</a> Utah State Tax Commission 210North 1950West Salt Lake City, Utah 84134
E	Delivery Instructions:		All <b>hardcopy</b> filings must be postmarked no later than the indicated due date. If the due date falls on a weekend or holiday, then the deadline is extended to the next business day.
F	Late Filings:		Foreign company electronic filings will be deemed filed based on the date received by the NAIC. Domestic hardcopy filings will be deemed filed based on the postmark date.
G	Original Signatures:		Required for domestic companies.
H	Signature/Notarization/Certification:		Required for domestic companies.
I	Amended Filings:		To be submitted with cover letter and jurat page signed by top two officers.
J	Exceptions from normal filings:  <i>Extensions and/or exemptions do apply to premium tax and fees</i>		Requests for extensions for a period of 30 days or less beyond the regular due date or exemptions, from filing the annual statement only, will not be required providing the domiciliary state has granted the extension or exemption and notified the NAIC. Extensions beyond 30 days will require

			written request for extension prior to expiration of the initial 30 day period, and domiciliary approval.
	K	Bar Codes (State or NAIC)	Not Required.
	L	Signed Jurat	Domestics-Original Signature, Notarization/Certification required.
	M	Quarterly Financial Statements	Domestics must file two printed statements.
	N	Utah Accident & Health Survey	All insurers who have accident & health business in Utah are required to file this survey (see our website for more).
	O	Actuarial Opinion Summary	This filing is required. However, it is considered confidential and will not be made available to the public.
	P	State Filing Fees	See the Fee Schedule shown in Utah Administrative Code R590-102-5
		<b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>	

**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 include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes 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. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

**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 (E) 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 (EX4) 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.