

**TITLE COMPANIES**

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

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

REQUIRED FILINGS IN THE STATE OF: LOUISIANA Filings Made During the Year 2017

(1) Check- List	(2) Lin e #	(3) REQUIRED FILING 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	A-O
	1.1	Printed Investment Schedule detail (Pages E01-E27)	2	EO	xxx	3/1	NAIC	A-O
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	A-O
<b>II. NAIC SUPPLEMENTS</b>								
	11	Actuarial Opinion	2	EO	xxx	3/1	Company	A-O
	12	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	A-O
	13	Management Discussion & Analysis	2	EO	xxx	4/1	Company	A-O
	14	Schedule SIS	2	N/A	N/A	3/1	NAIC	A-O
	15	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	A-O
	16	Supplemental Schedule of Business Written By Agency	2	N/A	N/A	4/1	NAIC	A-O
<b>III. ELECTRONIC FILING REQUIREMENTS</b>								
	61	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	62	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	63	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
	64	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
	65	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	66	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	67	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	
<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>								
	81	Accountants Letter of Qualifications	2	EO	N/A	6/1	Company	A-O
	82	Audited Financial Reports	2	EO	xxx	6/1	Company	A-O
	83	Audited Financial Reports Exemption Affidavit	0	N/A	N/A	5/20	Company	A-O
	84	Communication of Internal Control Related Matters Noted in Audit	2	EO	N/A	8/1	Company	A-O
	85	Change in Independent CPA	2	N/A	N/A	Within 5 Days of Chg	Company	A-O
	86	Management's Report of Internal Control Over Financial Reporting	2	N/A	N/A	8/1	Company	A-O
	87	Notification of Adverse Financial Condition	2	N/A	N/A	6/1	Company	A-O
	88	Request for Exemption to File	1	N/A	N/A	5/20	Company	A-O
	89	Relief from the five-year rotation requirement for lead audit partner	1	EO	N/A	3/1	Company	A-O
	90	Relief from the one-year cooling off period for independent CPA	1	EO	N/A	3/1	Company	A-O
	91	Relief from the Requirements for Audit Committees	1	EO	N/A	3/1	Company	A-O
<b>V. STATE REQUIRED FILINGS</b>								
	101	Filings Checklist (with Column 1 completed)	1	0	0	3/1, 5/15, 8/15, 11/15	State	A-O
	102	State Filing Fees & Premium Taxes ( <i>See Note D</i> )	1	0	1	3/1, 4/15, 7/15, 10/15	State	A-O, Q
	103	Holding Company Registration Statement (Forms B, & C)	1	0	N/A	4/30	Company	A-O
	104	Form F-Enterprise Risk Report ***	1	0	N/A	4/30	Company	A-O
	105	ORSA **** ( <i>See Note U</i> )	1	0	N/A	12/1	Company	A-O, U
	106	Signed Jurat, <b>Foreign only</b> ( <i>See Note L</i> )	xxx	0	0	Not Applicable	NAIC	A-O
	107	Detailed Listing of Investments w/Code Citations	1	0	0	3/1	Company	A-O
	108	Certificate of Deposit ( <i>See Note P</i> )	0	0	1	3/1	State	A-O, P
	109	Anti-Fraud Plan Annual Summary/Statistical Report	1	0	1	Due between 1/1 & 4/1	State	A-O, R
	110	Certificate of Compliance ( <i>See Note S</i> )	0	0	1	3/1	State	A-O, S
	111	Corporate Governance Annual Disclosure ( <i>See Note T</i> )	1	0	N/A	6/1	Company	A-O, T

\*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 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](http://www.naic.org/public_lead_state_report.htm)

\*\*\*\*For those states that have adopted the NAIC updated 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. Consistent with the Form B filing requirements, 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. For more information on lead states, see the following NAIC URL: [http://www.naic.org/public\\_lead\\_state\\_report.htm](http://www.naic.org/public_lead_state_report.htm)

NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)				
A	Required Filings Contact Person:	Stewart Guerin (225) 219-3929 <a href="mailto:sguerin@ldi.la.gov">sguerin@ldi.la.gov</a>		
B	Mailing Address:	<table border="1"> <tr> <td><b>MAILING</b> Louisiana Department of Insurance Administrative Services P. O. Box 94214 Baton Rouge, LA 70804-9214</td> <td><b>PHYSICAL</b> Louisiana Department of Insurance Administrative Services 1702 North 3rd Street Baton Rouge, LA 70802</td> </tr> </table>	<b>MAILING</b> Louisiana Department of Insurance Administrative Services P. O. Box 94214 Baton Rouge, LA 70804-9214	<b>PHYSICAL</b> Louisiana Department of Insurance Administrative Services 1702 North 3rd Street Baton Rouge, LA 70802
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C	Mailing Address for Filing Fees (Electronic Filing):	<i>\$1,000 Filing Fee, included in the Premium Tax Return (e-file). See Note D below</i>		
D	Mailing Address for Premium Tax Payments (Electronic Filing):	<p><i>The Annual Premium Tax Statement (Form 1061) and Annual Municipal Premium &amp; Tax Report (Form 1076) should be filed online through the LDI's Industry Access Portal:</i></p> <p><a href="https://ia.ldi.state.la.us/IndustryAccess/">https://ia.ldi.state.la.us/IndustryAccess/</a></p> <p><i>These forms are no longer available on our website to download and send by mail.</i></p> <p><i>Questions regarding premium taxes, or filing fees, should be directed to Tommy Coco, (225) 342-1012, <a href="mailto:tcoco@ldi.la.gov">tcoco@ldi.la.gov</a></i></p>		
E	Delivery Instructions:	All filings must be <b>postmarked</b> no later than the indicated due date. If the due date falls on a weekend or holiday, the deadline is extended to the next business day.		
F	Late Filings:	All filings not delivered in accordance with Note E above will be considered late, and may be subject to regulatory action including fines and/or suspension.		
G	Original Signatures:	Original signatures required on all filings from <b>Domestic</b> companies. <b>Foreign</b> companies should follow the NAIC Annual Statement Instructions.		
H	Signature/Notarization/Certification:	Signatures of at least two principal officers are required for Annual and Quarterly Statement filings, which should be original signatures, manually signed by the appropriate corporate officers, have the corporate seal affixed thereon where appropriate, and be properly notarized.		
I	Amended Filings:	Amended items must be filed within 10 days of their amendment, along with an explanation of the amendments. If there are signature requirements for the original filing, same should be followed for any amendment.		
J	Exceptions from normal filings:	<b>Foreign</b> companies shall supply a written copy of any exemption or extension received by its state of domicile at least 10 days prior to the filing due date to receive such from Louisiana. <b>Domestic</b> companies shall apply at least 10 days prior to the original due date.		
K	Bar Codes (State or NAIC):	Not Applicable		
L	Signed Jurat: (Foreign)	Not Applicable		
M	NONE Filings:	"NONE" Filings are not required.		
N	Filings new, discontinued or modified materially since last year:	None		
O	Physical Street Address:	1702 North Third Street Baton Rouge, LA 70802		

P	Certificate of Deposit (Electronic Filing):  ***Change in process from prior years***	Insurers shall submit a Certificate of Deposit issued by the insurer's domiciliary state (dated no earlier than 12/31/2016) to the following email address: <a href="mailto:statutorydeposits@ldi.la.gov">statutorydeposits@ldi.la.gov</a>  <i>Questions regarding statutory deposits should be directed to Ashley Murphy, (225) 342-1259, <a href="mailto:amurphy@ldi.la.gov">amurphy@ldi.la.gov</a></i>
Q	Reduction of tax when certain investments are made in Louisiana	For those insurers taking such a credit on its Louisiana premium taxes under LRS 22:832, evidence of a qualifying Louisiana investment may be established by a deposit receipt, bank statement, a letter, or other written documentation from the depository institution verifying that funds were deposited in Louisiana (Upon request). File Form 1068C at the address listed in Note D above.
R	Anti-Fraud Plan (Electronic Filing):	Effective 1/1/2011, every insurer and HMO is required to file an anti-fraud plan with the Commissioner under LRS 22:572.1. Subsequent to the initial filing, each insurer or HMO is required to annually file both a supplemental report and an annual summary report. Please see <a href="#">Advisory Letter #2010-02</a> for further information.  <b>LDI "Industry Access Portal, Anti-Fraud Plans Module"</b> <a href="https://ia.lds.state.la.us/IndustryAccess/">https://ia.lds.state.la.us/IndustryAccess/</a> (Questions regarding anti-fraud plan related filings should be directed to Mike Calamari, (225) 219-9759, <a href="mailto:mcalamari@ldi.la.gov">mcalamari@ldi.la.gov</a> )
S	Certificate of Compliance (Electronic Filing):  ***Change in process from prior years***	Each insurer shall electronically submit a Certificates of Compliance from its domiciliary state to the following email address: <a href="mailto:administrativeservices@ldi.la.gov">administrativeservices@ldi.la.gov</a> . This is not a new filing, however, it appears to have been omitted from prior year's checklists.
T	Corporate Governance Annual Disclosure:	<a href="#">Act No. 304</a> of the 2015 Louisiana Regular Legislative Session requires the submission of a Corporate Governance Annual Disclosure.  Please contact Stewart Guerin with any questions, (225) 219-3929, <a href="mailto:sguerin@ldi.la.gov">sguerin@ldi.la.gov</a>
U	ORSA Summary Report:	<a href="#">Act No. 196</a> of the 2015 Louisiana Regular Legislative Session requires certain insurers to file an ORSA Summary Report.  Please contact Stewart Guerin with any questions, (225) 219-3929, <a href="mailto:sguerin@ldi.la.gov">sguerin@ldi.la.gov</a>

**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. 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 the annual statement, detail for investment schedules and all supplements due March 1.

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 supplements due April 1.

The *Quarterly Electronic Filing* includes the quarterly statement data.

The *Quarterly .PDF Filing* is the .pdf for quarterly statement data.

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 (generally, on its web site). 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.