

## TITLE COMPANIES

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

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

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

(1) Checklist	(2) Line #	(3) REQUIRED FILING FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
<b>I. NAIC FINANCIAL STATEMENTS</b>								
	1	Annual Statement (8 1/2" x 14")	1	EO	xxx	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E27)	1	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	1	EO	xxx	5/15, 8/15, 11/15	NAIC	
<b>II. NAIC SUPPLEMENTS</b>								
	11	Actuarial Opinion	1	EO	xxx	3/1	Company	
	12	Investment Risk Interrogatories	1	EO	xxx	4/1	NAIC	
	13	Management Discussion & Analysis	1	EO	xxx	4/1	Company	
	14	Schedule SIS	1	N/A	N/A	3/1	NAIC	
	15	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	
	16	Supplemental Schedule of Business Written By Agency	1	N/A	xxx	4/1	NAIC	
<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	1	EO	N/A	6/1	Company	
	82	Audited Financial Reports	1	EO		6/1	Company	
	83	Audited Financial Reports Exemption Affidavit	1	N/A	N/A		Company	
	84	Communication of Internal Control Related Matters Noted in Audit	1	EO	N/A	8/1	Company	
	85	Independent CPA (change)	1	N/A	N/A		Company	
	86	Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1	Company	
	87	Notification of Adverse Financial Condition	1	N/A	N/A		Company	
	88	Request for Exemption to File	1	N/A	N/A		Company	
	89	Relief from the five-year rotation requirement for lead audit partner	1	EO	N/A	3/1	Company	
	90	Relief from the one-year cooling off period for independent CPA	1	EO	N/A	3/1	Company	
	91	Relief from the Requirements for Audit Committees	1	EO	N/A	3/1	Company	
<b>V. STATE REQUIRED FILINGS***</b>								
	101	Filings Checklist (with Column 1 completed)		0			State	
	102	State Filing Fees		0			State	
	103	Form B-Holding Company Registration Statement		0			Company	
	104	Form F-Enterprise Risk Report ***		0			Company	
	105	ORSA ****		0			Company	
	106	Signed Jurat	xxx	0			NAIC	
	107	Certificate of Compliance	0	0	1	3/31	State	
	108	Certificate of Deposit	0	0	1	3/31	State	P
	109	Premium tax	1	0	1	3/31	State	
	110	Certificate of Investment in Puerto Rico Securities	1	0	1	3/31	State	Q
	111	State Page for Puerto Rico	1	0	1	3/31	NAIC	S
	112	Employment Survey ("Numero de Empleos Directos e Generados en Puerto Rico")	1	0	1	3/31	State	X
	113	Filings Checklist (with Column 1 Completed)	1	0	1	3/31	NAIC	

(1) Checklist	(2) Line #	(3) REQUIRED FILING FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
	114	Annual Report of Contingent Commissions Paid to General Agents and Authorized Representatives	1	0	1	3/31	State	X
	115	Preliminary Report of Unclaimed Funds due as December 31 of the previous year	1	0	1	3/31	State	AA
	116	Final Report of Unclaimed Funds and payment of those funds that ceased to do unclaimed	1	0	1	3/31	State	AA
	117	Application for Certificate of Authority Renewal	1	0	1	3/31	State	See general instructions on the form
	118	Relación de Accionistas	1	0	1	3/31	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 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)

	<b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>	
A	Required Filings Contact Person:	Sugeil M. Díaz Serrano (787) 304-8686 ext. 6604 <a href="mailto:sdiaz@ocs.gobierno.pr">sdiaz@ocs.gobierno.pr</a>
B	Mailing Address:	Office of the Commissioner of Insurance of Puerto Rico:  <b>B5 Tabonuco Street Suite 216 PMB 356 Guaynabo, PR 00968-3029</b>  If using UPS or FEDEX delivery services, please sent to:  <b>GAM Tower Urb. Caparra Hills Ind. Park 2 Tabonuco Street Suite 400 (Floor 4) Guaynabo, PR 00968-3020</b>
C	Mailing Address for Filing Fees:	N/A
D	Mailing Address for Premium Tax Payments:	Office of the Commissioner of Insurance of Puerto Rico B5 Tabonuco Street Suite 216 PMB 356 Guaynabo, PR 00968-3029
E	Delivery Instructions:	All required filings must be physically received no later than the due date. If due date fall on weekend or holiday, then the deadline is extended to the next business day. Postmark date does not constitute received date.  Those forms allowed to be filed electronically must be sent to the e-mail address specified in the corresponding note and instruction included within this checklist. Electronic form filing must also comply with the established due dates.
F	Late Filings:	The Commissioner might issue an order imposing fines due to late filing. This rule applies to every document.
G	Original Signatures:	Original signatures required on all filings that require signatures. Electronic signature is required on all documents sent by electronic mail.
H	Signature/Notarization/Certification:	Notarized signatures are required for President, Secretary and Treasurer.
I	Amended Filings:	
J	Exceptions from normal filings:	
K	Bar Codes (State or NAIC):	

	L	Signed Jurat:	
	M	NONE Filings:	
	N	Filings new, discontinued or modified materially since last year:	Non domestic insurers are required to file the NAIC State Page for Puerto Rico and the Affidavit of Filing and Financial Statement Attestation in lieu of financial statement hardcopy in Puerto Rico (See Note O)
	P	Certificate of Deposit	A Certificate of Deposit should be a certification of funds on deposit for the protection of all policyholders.  Foreign Insurers domiciled in a State which has reciprocity agreement with Puerto Rico, must instead submit to this Office, a .PDF copy of their qualified funds deposited in their State of Domicile. (see Note B).
	Q	Certification of Investments in Puerto Rico	A hard copy or an electronic version can be sent, along with the official company seal and all required signatures (see Note G).  If sending an electronic version, please label it OCS_CI_2009 and send to this Office. (see Note B).
	R	Foreign Company Filings	As a general rule, Foreign companies are required to file hard copies of statements only to the mailing address specified in Note B.  In some cases, Foreign P&C insurers can opt for Alternative Filing as a substitute for hard copies. Forms that qualify for alternative filing are: the Report of Medical Professional Liability Claims, Report of Reinsurance Assumed from PR Domestic Insurers and the Employment Survey. Please, read form instructions for electronic mailing instructions and details.
	S	State Page for Puerto Rico	Foreign insurers authorized to do business in Puerto Rico and exempted from filing a hard copy of their annual statements in our Office, instead they must file a hard copy of the NAIC State Page for Puerto Rico.
	T	Annual Statement	Foreign insurers organized in the United States, or with port of entry in one of the states of the United State, do not have to submit to this Office the hard copy and electronic filing of the annual statement.  Foreign insurers organized in the United

			<p>States, or with port of entry in one of the states of the United States, do not have to submit to this Office the hard copy and electronic filing of the annual statement.</p> <p>Foreign insurers not organized in the United States that do not file electronically to the NAIC, must submit a hardcopy of their annual statements. All such foreign insurers that elect to file an annual statement pertaining only to their United States business, must also include detailed information regarding their Puerto Rico affairs and transactions.</p>
	W	Employment Survey (“Número de Empleos Directos Generados en Puerto Rico”)	CN-2014-169-AF
	X	Annual Report of Contingent Commissions Paid to General Agents and Authorized Representatives.	Only applies to domestic and foreign insurers authorized in Property and Casualty. (See general instructions included within the form AP-R84-2009).
	AA	Report of Unclaimed Funds due as of December 31 of the previous year	All Domestic and Foreign Insurers.

**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 (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 (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.

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