



STATE OF CONNECTICUT

INSURANCE DEPARTMENT

December 7, 2012
Bulletin Number FS-4-12

TO: ANNUAL STATEMENT CONTACT PERSON OF ALL INSURANCE COMPANIES, FRATERNAL BENEFIT SOCIETIES AND HEALTH CARE CENTERS AUTHORIZED TO DO BUSINESS IN THE STATE OF CONNECTICUT.

SUBJECT: 2012 ANNUAL STATEMENT

Section 38a-53(a) of the Connecticut General Statutes requires that each domestic insurance company or health care center shall, annually, on or before the first day of March, submit to the commissioner, and electronically to the National Association of Insurance Commissioners ("NAIC"), a true and complete report, prepared in accordance with the NAIC Annual Statement Instructions Handbook and following those accounting procedures and practices prescribed by the NAIC Accounting Practices and Procedures Manual. The securities owned by each such entity must be valued in accordance with those standards promulgated by the NAIC's Capital Markets and Investment Analysis Office. An electronically filed report in accordance with section 38a-53a that is timely submitted to the NAIC does not exempt a domestic insurance company or health care center from timely filing a true and complete paper copy with the commissioner.

Section 38a-53(b) of the Connecticut General Statutes requires that each foreign insurance company shall, annually, on or before the first day of March, submit to the commissioner, by electronically filing with the NAIC, a true and complete report, prepared in accordance with the NAIC Annual Statement Instructions Handbook and following those accounting procedures and practices prescribed by the NAIC Accounting Practices and Procedures Manual. An electronically filed report in accordance with section 38a-53a that is timely submitted to the NAIC is deemed to have been submitted to the commissioner in accordance with this section.

Each of the addressed entities will also be required to report their financial condition on a quarterly basis during 2013, to this Department in the same manner as noted above. The format to be used is the 2012 edition of the quarterly blank adopted by the NAIC for the 2013 reporting year. Statements are due 45 days subsequent to the end of each quarter:

March 31, 2013	May 15, 2013
June 30, 2013	August 15, 2013
September 30, 2013	November 15, 2013

Section 38a-53a of the Connecticut General Statutes requires that each of the addressed corporations shall file an electronic copy of its Annual Statement and Quarterly Statements to the NAIC's Support Services Office.

The appropriate filing checklist to be completed and submitted with each Financial Statement filed with this Department and the NAIC must be down loaded from the Department's website at www.ct.gov/cid for your particular company type as follows: **Fraternal Societies**, checklist, notes, general instructions; **Health Insurers**, checklist, notes, general instructions; **Life, Accident and Health Insurers**, checklist, notes, general instructions; **Property and Casualty Insurers**, checklist, notes, general instructions; and **Title Companies**, checklist, notes and general instructions.

All **DOMESTIC** insurers must attach a statement with respect to the physical location(s) of all invested assets owned by the company (held by the company or under custodial or safekeeping agreement in Connecticut or out of state) including those securities on deposit with governmental agencies and book entry securities. Assets held outside of the United States under custodial or sub-custodial agreements must be separately identified. Companies with separate account operations will be required to submit two Retention of Assets Statements, one for the general account and one for the separate accounts. A sample Retention of Assets Statement is attached for your reference.

All **DOMESTIC** companies must comply with the provisions of sections 38a-85 through 38a-89 of the Connecticut General Statutes, as amended by Public Act No. 12-139, and sections 38a-88-1 through 38a-88-12 of the Regulations of Connecticut State Agencies outlining the criteria which must be met to allow a domestic insurer to take credit either as an asset or deduction from a liability for ceded reinsurance. The list of licensed companies and approved reinsurers in Connecticut is located on the Department's website. Please note that this listing is updated on a quarterly basis.

If you have any questions on this or any of the enclosed documents, you may contact the Financial Regulation Division at (860) 297-3814 or ctinsdept.financial@ct.gov.

Thomas B. Leonardi
Insurance Commissioner

Insurance Company
Retention of Assets Statement
Physical Location of All Invested Assets

(Excludes Short-term Investments)(Other includes assets used in the ordinary course of business, such as letters of credit or funds held in trust to allow credit for reinsurance)

December 31, 2012

Refer to CT Bulletin FS-4-12 for additional information

<u>Invested Assets Owned by Company</u>	<u>Statement Value</u>	<u>Bonds Par Value</u> <u>Stocks Number of Shares</u>	<u>Indicate One:</u> C - Custodial Agreement D - Deposit; Gov't Agency H - Held by Company O - Other (specify) P - Pledged S - Sub-Custodial	<u>If C-Custodial Agreement or S-Sub-Custodial Agreement</u> Provide date of approval by Connecticut	<u>Physical Location</u> Provide Custodian or Sub- Custodian Name & Address as to where held both in the US and Non US.
Bonds:					
Total Bonds Page 2					
Common Stocks:					
Total Common Stocks Page 2					
Preferred Stocks:					
Total Preferred Stocks Page 2					
Other:					
Total Page 2					

FRATERNAL SOCIETIES

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: _____ Filings Made During the Year 2013

(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"x14")	2	EO	xxx	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E27)	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	
	3	Separate Accounts Annual Statement (8 1/2"x 14")	2	EO	xxx	3/1	NAIC	
II. NAIC SUPPLEMENTS								
	10	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	
	11	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	2	EO	xxx	3/1	Company	
	12	Actuarial Certification Related to Hedging required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	13	Actuarial Certification Related to Reserves required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	14	Actuarial Certification regarding use 2001 Preferred Class Table	2	EO	xxx	3/1	Company	
	15	Actuarial Opinion	2	EO	xxx	3/1	Company	
	16	Actuarial Opinion on X-Factors	2	EO	xxx	3/1	Company	
	17	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	2	EO	xxx	3/1	Company	
	18	Actuarial Opinion on Synthetic Guaranteed Investment Contracts	2	EO	xxx	3/1	Company	
	19	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation	2	EO	xxx	3/1	Company	
	20	Analysis of Annuity Operations by Lines of Business	2	EO	xxx	4/1	NAIC	
	21	Analysis of Increase in Annuity Reserves During Year	2	EO	xxx	4/1	NAIC	
	22	Financial Officer Certification Related to Clearly Defined Hedging Strategy required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	23	Health Care Exhibit (Parts 1, 2 and 3) Supplement	2	EO	xxx	4/1	NAIC	
	24	Health Care Exhibit's Allocation Report Supplement	0	EO	N/A	4/1	NAIC	
	25	Interest Sensitive Life Insurance Products Report	2	EO	xxx	4/1	NAIC	
	26	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	27	Long-term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	
	28	Management Certification that the Valuation Reflects Management's Intent required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	29	Management Discussion & Analysis	2	EO	xxx	4/1	Company	
	30	Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	
	31	Medicare Part D Coverage Supplement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	32	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	33	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	34	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	35	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	36	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)	2	EO	xxx	3/1, 5/15, 8/15, 11/15	Company	
	37	Risk-Based Capital Report	1	EO	xxx	3/1	NAIC	
	38	RBC Certification required under C-3 Phase I	1	EO	xxx	3/1	Company	
	39	RBC Certification required under C-3 Phase II	1	EO	xxx	3/1	Company	
	40	Statement on non-guaranteed elements – Exhibit 5 Int. #3	2	EO	xxx	3/1	Company	
	41	Statement on participating/non-participating policies – Exhibit 5, Inter. #1&2	2	EO	xxx	3/1	Company	
	42	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	"Q"
	43	Trusted Surplus Statement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
III. ELECTRONIC FILING REQUIREMENTS								
	50	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	

51	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
52	Risk-Based Capital Electronic Filing	xxx	EO	N/A	3/1	NAIC	
53	Risk-Based Capital .PDF Filing	xxx	EO	N/A	3/1	NAIC	
54	Separate Accounts Electronic Filing	xxx	EO	xxx	3/1	NAIC	
55	Separate Accounts .PDF Filing	xxx	EO	xxx	3/1	NAIC	
56	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
57	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
58	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15 & 11/15	NAIC	
59	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15 & 11/15	NAIC	
60	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	
	IV. AUDIT/INTERNAL CONTROL RELATED REPORTS						
71	Accountants Letter of Qualifications	1	EO	N/A	6/1	Company	
72	Audited Financial Reports	1	EO	xxx	6/1	Company	
73	Audited Financial Reports Exemption Affidavit	0	N/A	N/A	N/A	Company	
74	Communication of Internal Control Related Matters Noted in Audit – No unremediated material weaknesses	1	N/A	N/A	6/1	Company	
75	Communication of Internal Control Related Matters Noted in Audit – Unremediated material weaknesses	1	N/A	N/A	8/1	Company	
76	Independent CPA (change)	1	N/A	N/A	Within 5 business days of this event	Company	
77	Management’s Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1	Company	
78	Notification of Adverse Financial Condition	1	N/A	1	Within 5 business days of company notification	Company	
79	Request for Exemption to File	1	N/A	N/A	12/31	Company	
80	Relief from the five-year rotation requirement for lead audit partner	1	EO	xxx	3/1	Company	
81	Relief from the one-year cooling off period for independent CPA	1	EO	xxx	3/1	Company	
82	Relief from the Requirements for Audit Committees	1	EO	xxx	3/1	Company	
	V. STATE REQUIRED FILINGS***						
101	Filings Checklist (with Column 1 completed)	2	0	1	3/1, 5/15, 8/15, 11/15	State	“T”
102	Retention of Assets Statement	2	0	0	3/1	State	
103	Accident & Health Advertising Certificate of Compliance	2	0	1	3/1	Company	“O”
104	Holding Company Registration Statement Forms B,C & F	1	0	N/A	6/1	State	
105	Regulatory Asset Adequacy Issues Summary (RAAIS)	2	0	0	3/15	Company	“V”

*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.

		NOTES AND INSTRUCTIONS (A-N APPLY TO ALL FILINGS)	
A	Required Filings Contact Person:	Financial Analysis & Compliance Division (860) 297-3814 E-Mail – ctinsdept.financial@ct.gov	
B	Mailing Address:	Connecticut Insurance Department P.O. Box 816 Hartford, CT 06142-0816	EXPRESS/HAND DELIVERY: Connecticut Insurance Department 153 Market Street Hartford, CT 06103
C	Mailing Address for Filing Fees:	Same as above - Checks should be made payable to Treasurer, State of Connecticut. Department will invoice companies for appropriate fees; please do not send fees with annual/quarterly filings.	
D	Mailing Address for Premium Tax Payments:	Connecticut Department of Revenue Services P.O. Box 2990 Hartford, CT 06104-2990 (860) 541-3226	
E	Delivery Instructions:	<p>Domestic Company's filings sent by the United States Postal Service must be postmarked no later than the indicated due date. Filings sent by a private delivery service will be considered filed on the date physically received by the Department.</p> <p>Foreign Companies must submit an electronically filed report with the NAIC and any required hard copy submission to the Department by the Connecticut due date. Refer to Connecticut Bulletin FS-16-08.</p> <p>If the Connecticut due date falls on a Saturday and the statements are sent via the United States Postal Service they must be post marked no later than this date. If sent via private delivery service they are due to the Department on the prior Friday. If sent electronically to the NAIC they must be received by the Connecticut due date. Sunday due dates will automatically be the following Monday.</p>	
F	Late Filings:	Companies will be fined \$175 per day for a late annual statement or quarterly statement filing regardless of state of domicile approval.	
G	Original Signatures:	Original signatures are required on all filings from domestic companies. Foreign companies should follow the NAIC Annual Statement Instructions.	
H	Signature/Notarization/Certification:	The following officers are required to sign the annual/quarterly statements: President or Vice President, AND Secretary or Assistant Secretary Statements must also be notarized.	
I	Amended Filings:	Domestic companies are instructed to refer to Connecticut General Statute §38a-53a.	
J	Exceptions from normal filings:	Please follow the NAIC Annual Statement Instructions	
K	Bar Codes (State or NAIC):	Please follow the NAIC Annual Statement Instructions	
L	Signed Jurat:	Foreign companies filing electronically with the NAIC are not required to submit a hard copy.	
M	NONE Filings:	Please follow the NAIC Annual Statement Instructions	
N	Filings new, discontinued or modified materially since last year:	None of the filings have been discontinued since last year. New filing this year is the Holding Company Registration Statement Form F.	
O	Accident & Health Advertising Certificate of Compliance:	Companies are referred to §38a-819-18(B) of the Regulations of Connecticut State Agencies for further details. Certificates only required for companies reporting accident and health premiums.	
P	State Page – Quarterly Supplement Property & Casualty Companies:	Both domestic and foreign companies are required to file with each quarterly statement a hard copy of page 20 of the annual statement reflecting the quarterly data.	
Q	Supplemental Compensation Exhibit – Domestic Companies Only:	If Connecticut General Statute section 38a-69a(b) is applicable to your Company the exhibit will be held confidential if you attach an affidavit to a copy of the exhibit showing only the three most highly compensated officers attesting that the Company is a nonprofit insurer and has fewer than 150 employees. This affidavit and redacted exhibit will be available for public inspection.	
R	Separate Account Investment Certification – Domestic Companies Only:	Officer compliance certification with C.G.S. 38a-102c as it relates to separate account guarantees. Refer to C.G.S. section 38a-102(d).	
S	Actuarial Opinion Summary – Property & Casualty Companies:	This is a confidential filing and should be sent under separate cover.	
T	Filing Checklist:	A checklist with column I completed is required to be submitted with all required hard copy filings.	
U	Bail Bond Supplement - Property & Casualty Companies:	Supplement to be filed with State of Domicile and NAIC for reporting entities writing bail bond coverage.	
V	Regulatory Asset Adequacy Issues Summary (RAAIS) – Domestic Life and Fraternal Societies:	This is a confidential filing required by section 38a-78-9(a)(5) of the Regulations of Connecticut State Agencies and should be sent under separate cover.	
W	Director and Officer Supplement – Property & Casualty Companies:	Supplement to be filed with State of Domicile and NAIC for reporting entities writing director and officer insurance.	

**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 investments schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The *March .PDF Filing* is .pdf files 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 *Separate Accounts Electronic Filing* includes the separate accounts annual statement and investment schedule detail.

The *Separate Accounts .PDF Filing* is the .pdf file for the separate accounts annual statement and investment schedule detail.

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 (E) 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 website). 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.

HEALTH ENTITIES

COMPANY NAME: _____ NAIC Company Code: _____
 Contact: _____ Telephone: _____
 REQUIRED FILINGS IN THE STATE OF: CONNECTICUT Filings Made During the Year 2013

(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				
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 1/2"x14")	2	EO	xxx	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E27)	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	
		II. NAIC SUPPLEMENTS						
	10	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	
	11	Actuarial Opinion	2	EO	xxx	3/1	Company	
	12	Health Care Exhibit (Parts 1, 2 and 3) Supplement	2	EO	xxx	4/1	NAIC	
	13	Health Care Exhibit's Allocation Report Supplement	0	0	N/A	4/1	NAIC	
	14	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	15	Life Supplemental Data due March 1	2	EO	xxx	3/1	NAIC	
	16	Life Supp Statement non-guaranteed elements -Exh 5, Int. #3	2	EO	xxx	3/1	Company	
	17	Life Supp Statement on par/non-par policies - Exh 5 Int. 1&2	2	EO	xxx	3/1	Company	
	18	Life Supplemental Data due April 1	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	Property/Casualty Supplement due March 1	2	EO	xxx	3/1	NAIC	
	24	Property/Casualty Supplement due April 1	2	EO	xxx	4/1	NAIC	
	25	Risk-Based Capital Report	1	EO	xxx	3/1	NAIC	
	26	Schedule SIS	2	N/A	N/A	3/1	NAIC	
	27	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	"Q"
		III. ELECTRONIC FILING REQUIREMENTS						
	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	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	55	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	56	Quarterly Statement Electronic Filing	xxx	1	xxx	5/15,8/15,11/15	NAIC	
	57	Quarterly .PDF Filing	xxx	1	xzx	5/15, 8/15, 11/15	NAIC	
	58	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
		IV. AUDIT/INTERNAL CONTROL RELATED REPORTS						
	71	Accountants Letter of Qualifications	1	EO	N/A	6/1	Company	
	72	Audited Financial Reports	1	EO	xxx	6/1	Company	
	73	Audited Financial Reports Exemption Affidavit	0	N/A	N/A	N/A	Company	
	74	Communication of Internal Control Related Matters Noted in Audit - No unremediated material weaknesses	1	N/A	N/A	6/1	Company	
	75	Communication of Internal Control Related Matters Noted in Audit - Unremediated material weaknesses	1	N/A	N/A	8/1	Company	
	76	Independent CPA (change)		N/A	N/A	Within 5 business days of this event	Company	
	77	Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1	Company	
	78	Notification of Adverse Financial Condition	1	N/A	1	Within 5 business days of company notification	Company	
	79	Request for Exemption to File	1	N/A	N/A	12/31	Company	
	80	Relief from the five-year rotation requirement for lead audit partner	1	EO	xxx	3/1	Company	
	81	Relief from the one-year cooling off period for independent CPA	1	EO	xxx	3/1	Company	
	82	Relief from the Requirements for Audit Committees	1	EO	xxx	3/1	Company	
		V. STATE REQUIRED FILINGS						
	101	Filings Checklist (with Column 1 completed)	2	0	1	3/1, 5/15, 8/15, 11/15	State	"T"
	102	Retention of Asset Statement	2	0	0	3/1	State	
	103	Accident & Health Advertising Certificate of Compliance	2	0	1	3/1	Company	"O"
	104	Holding Company Registration Statement Forms B, C & F	1	0	N/A	6/1	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 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.

	NOTES AND INSTRUCTIONS (A-N APPLY TO ALL FILINGS)	
A	Required Filings Contact Person:	Financial Analysis & Compliance Division (860) 297-3814 E-Mail – ctinsdept.financial@ct.gov
B	Mailing Address:	Connecticut Insurance Department EXPRESS/HAND DELIVERY: P.O. Box 816 Connecticut Insurance Department Hartford, CT 06142-0816 153 Market Street Hartford, CT 06103
C	Mailing Address for Filing Fees:	Same as above - Checks should be made payable to Treasurer, State of Connecticut. Department will invoice companies for appropriate fees; please do not send fees with annual/quarterly filings.
D	Mailing Address for Premium Tax Payments:	Connecticut Department of Revenue Services P.O. Box 2990 Hartford, CT 06104-2990 (860) 541-3226
E	Delivery Instructions:	Domestic Company's filings sent by the United States Postal Service must be postmarked no later than the indicated due date. Filings sent by a private delivery service will be considered filed on the date physically received by the Department. Foreign Companies must submit an electronically filed report with the NAIC and any required hard copy submission to the Department by the Connecticut due date. Refer to Connecticut Bulletin FS-16-08. If the Connecticut due date falls on a Saturday and the statements are sent via the United States Postal Service they must be post marked no later than this date. If sent via private delivery service they are due to the Department on the prior Friday. If sent electronically to the NAIC they must be received by the Connecticut due date. Sunday due dates will automatically be the following Monday.
F	Late Filings:	Companies will be fined \$175 per day (\$100 per day for fraternal societies) for a late annual statement or quarterly statement filing regardless of state of domicile approval.
G	Original Signatures:	Original signatures are required on all filings from domestic companies. Foreign companies should follow the NAIC Annual Statement Instructions.
H	Signature/Notarization/Certification:	The following officers are required to sign the annual/quarterly statements: President or Vice President, AND Secretary or Assistant Secretary Statements must also be notarized.
I	Amended Filings:	Domestic companies are instructed to refer to Connecticut General Statute §38a-53a.
J	Exceptions from normal filings:	Please follow the NAIC Annual Statement Instructions
K	Bar Codes (State or NAIC):	Please follow the NAIC Annual Statement Instructions
L	Signed Jurat:	Foreign companies filing electronically with the NAIC are not required to submit a hard copy.
M	NONE Filings:	Please follow the NAIC Annual Statement Instructions
N	Filings new, discontinued or modified materially since last year:	None of the filings have been discontinued since last year. New filing this year is the Holding Company Registration Statement Form F.
O	Accident & Health Advertising Certificate of Compliance:	Companies are referred to §38a-819-18(B) of the Regulations of Connecticut State Agencies for further details. Certificates only required for companies reporting accident and health premiums.
P	State Page – Quarterly Supplement Property & Casualty Companies:	Both domestic and foreign companies are required to file with each quarterly statement a hard copy of page 20 of the annual statement reflecting the quarterly data.
Q	Supplemental Compensation Exhibit – Domestic Companies Only:	If Connecticut General Statute section 38a-69a(b) is applicable to your Company the exhibit will be held confidential if you attach an affidavit to a copy of the exhibit showing only the three most highly compensated officers attesting that the Company is a nonprofit insurer and has fewer than 150 employees. This affidavit and redacted exhibit will be available for public inspection.
R	Separate Account Investment Certification – Domestic Companies Only:	Officer compliance certification with C.G.S. 38a-102c as it relates to separate account guarantees. Refer to C.G.S. section 38a-102(d).
S	Actuarial Opinion Summary – Property & Casualty Companies:	This is a confidential filing and should be sent under separate cover.
T	Filing Checklist:	A checklist with column 1 completed is required to be submitted with all required hard copy filings.
U	Bail Bond Supplement - Property & Casualty Companies:	Supplement to be filed with State of Domicile and NAIC for reporting entities writing bail bond coverage.
V	Regulatory Asset Adequacy Issues Summary (RAAIS) – Domestic Life and Fraternal Societies:	This is a confidential filing required by section 38a-78-9(a)(5) of the Regulations of Connecticut State Agencies and should be sent under separate cover.
W	Director and Officer Supplement – Property & Casualty Companies:	Supplement to be filed with State of Domicile and NAIC for reporting entities writing director and officer insurance.

**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 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 Electronic Filing* includes the complete quarterly filing and the PDF files for all quarterly data.

The *Quarterly .PDF Filing* is the .pdf file 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 have chosen 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 the state 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.

LIFE, ACCIDENT AND HEALTH INSURERS

COMPANY NAME: _____ NAIC Company Code: _____
 Contact: _____ Telephone: _____
 REQUIRED FILINGS IN THE STATE OF: CONNECTICUT Filings Made During the Year 2013

(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"x14")	2	EO	xxx	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E27)	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	
	3	Separate Accounts Annual Statement (8 1/2"x14")	2	EO	xxx	3/1	NAIC	
		II. NAIC SUPPLEMENTS						
	10	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	
	11	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	2	EO	xxx	3/1	Company	
	12	Actuarial Certifications Related to Hedging required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	13	Actuarial Certification Related to Reserves required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	14	Actuarial Certification regarding use 2001 Preferred Class Table	2	EO	xxx	3/1	Company	
	15	Actuarial Opinion	2	EO	xxx	3/1	Company	
	16	Actuarial Opinion on X-Factors	2	EO	xxx	3/1	Company	
	17	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	2	EO	xxx	3/1	Company	
	18	Actuarial Opinion on Synthetic Guaranteed Investment Contracts	2	EO	xxx	3/1	Company	
	19	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation	2	EO	xxx	3/1	Company	
	20	Analysis of Annuity Operations by Lines of Business	2	EO	xxx	4/1	NAIC	
	21	Analysis of Increase in Annuity Reserves During Year	2	EO	xxx	4/1	NAIC	
	22	Credit Insurance Experience Exhibit	2	EO	xxx	4/1	NAIC	
	23	Financial Officer Certification Related to Clearly Defined Hedging Strategy required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	24	Health Care Exhibit (Parts 1, 2 and 3) Supplement	2	EO	xxx	4/1	NAIC	
	25	Health Care Exhibit's Allocation Report Supplement	0	EO	xxx	4/1	NAIC	
	26	Interest Sensitive Life Insurance Products Report	2	EO	xxx	4/1	NAIC	
	27	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	28	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit	2	EO	xxx	4/1	NAIC	
	29	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form	2	EO	xxx	4/1	NAIC	
	30	Long-term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	
	31	Management Certification that the Valuation Reflects Management's Intent required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	32	Management Discussion & Analysis	2	EO	xxx	4/1	Company	
	33	Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	
	34	Medicare Part D Coverage Supplement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	35	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	36	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	37	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	38	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	39	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	40	Risk-Based Capital Report	1	EO	xxx	3/1	NAIC	
	41	RBC Certification required under C-3 Phase I	1	EO	xxx	3/1	Company	
	42	RBC Certification required under C-3 Phase II	1	EO	xxx	3/1	Company	
	43	Schedule SIS	2	N/A	N/A	3/1	NAIC	
	44	Statement on non-guaranteed elements - Exhibit 5 Int. #3	2	EO	xxx	3/1	Company	
	45	Statement on par/non-par policies - Exhibit 5 Int. 1&2	2	EO	xxx	3/1	Company	
	46	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC "Q"	

47	Supplemental Schedule O	2	EO	xxx	3/1	NAIC	
48	Trusted Surplus Statement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
49	Workers' Compensation Carve Out Supplement	2	EO	xxx	3/1	NAIC	
III. ELECTRONIC FILING REQUIREMENTS							
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	Separate Accounts Electronic Filing	xxx	1	xxx	3/1	NAIC	
55	Separate Accounts .PDF Filing	xxx	1	xxx	3/1	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	
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS							
71	Accountants Letter of Qualifications	1	EO	N/A	6/1	Company	
72	Audited Financial Reports	1	EO	xxx	6/1	Company	
73	Audited Financial Reports Exemption Affidavit	0	N/A	N/A	N/A	Company	
74	Communication of Internal Control Related Matters Noted in Audit – No unremediated material weaknesses	1	N/A	N/A	6/1	Company	
75	Communication of Internal Control Related Matters Noted in Audit – Unremediated material weaknesses	1	N/A	N/A	8/1		
76	Independent CPA (change)	1	N/A	N/A	Within 5 business days of this event	Company	
77	Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1	Company	
78	Notification of Adverse Financial Condition	1	N/A	1	Within 5 business days of company notification	Company	
79	Request for Exemption to File	1	N/A	N/A	12/31	Company	
80	Relief from the five-year rotation requirement for lead audit partner	1	EO	xxx	3/1	Company	
81	Relief from the one-year cooling off period for independent CPA	1	EO	xxx	3/1	Company	
82	Relief from the Requirements for Audit Committees	1	EO	xxx	3/1	Company	
V. STATE REQUIRED FILINGS							
101	Filings Checklist (with Column 1 completed)	2	0	1	3/1, 5/15, 8/15, 11/15	State	"T"
102	Retention of Assets Statement	2	0	0	3/1	State	
103	Accident & Health Advertising Certificate of Compliance	2	0	1	3/1	Company	"O"
104	Holding Company Registration Statement Forms B, C & F	1	0	N/A	6/1	State	
105	Regulatory Asset Adequacy Issues Summary (RAAIS)	2	0	0	3/15	Company	"V"
106	Separate Account Investment Certification	2	0	0	3/1	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 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.

	NOTES AND INSTRUCTIONS (A-N APPLY TO ALL FILINGS)	
A	Required Filings Contact Person:	Financial Analysis & Compliance Division (860) 297-3814 E-Mail – ctinsdept.financial@ct.gov
B	Mailing Address:	Connecticut Insurance Department P.O. Box 816 Hartford, CT 06142-0816 EXPRESS/HAND DELIVERY: Connecticut Insurance Department 153 Market Street Hartford, CT 06103
C	Mailing Address for Filing Fees:	Same as above - Checks should be made payable to Treasurer, State of Connecticut. Department will invoice companies for appropriate fees; please do not send fees with annual/quarterly filings.
D	Mailing Address for Premium Tax Payments:	Connecticut Department of Revenue Services P.O. Box 2990 Hartford, CT 06104-2990 (860) 541-3226
E	Delivery Instructions:	Domestic Company's filings sent by the United States Postal Service must be postmarked no later than the indicated due date. Filings sent by a private delivery service will be considered filed on the date physically received by the Department. Foreign Companies must submit an electronically filed report with the NAIC and any required hard copy submission to the Department by the Connecticut due date. Refer to Connecticut Bulletin FS-16-08. If the Connecticut due date falls on a Saturday and the statements are sent via the United States Postal Service they must be post marked no later than this date. If sent via private delivery service they are due to the Department on the prior Friday. If sent electronically to the NAIC they must be received by the Connecticut due date. Sunday due dates will automatically be the following Monday.
F	Late Filings:	Companies will be fined \$175 per day (\$100 per day for fraternal societies) for a late annual statement or quarterly statement filing regardless of state of domicile approval.
G	Original Signatures:	Original signatures are required on all filings from domestic companies. Foreign companies should follow the NAIC Annual Statement Instructions.
H	Signature/Notarization/Certification:	The following officers are required to sign the annual/quarterly statements: President or Vice President, AND Secretary or Assistant Secretary Statements must also be notarized.
I	Amended Filings:	Domestic companies are instructed to refer to Connecticut General Statute §38a-53a.
J	Exceptions from normal filings:	Please follow the NAIC Annual Statement Instructions
K	Bar Codes (State or NAIC):	Please follow the NAIC Annual Statement Instructions
L	Signed Jurat:	Foreign companies filing electronically with the NAIC are not required to submit a hard copy.
M	NONE Filings:	Please follow the NAIC Annual Statement Instructions
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P	State Page – Quarterly Supplement Property & Casualty Companies:	Both domestic and foreign companies are required to file with each quarterly statement a hard copy of page 20 of the annual statement reflecting the quarterly data.
Q	Supplemental Compensation Exhibit – Domestic Companies Only:	If Connecticut General Statute section 38a-69a(b) is applicable to your Company the exhibit will be held confidential if you attach an affidavit to a copy of the exhibit showing only the three most highly compensated officers attesting that the Company is a nonprofit insurer and has fewer than 150 employees. This affidavit and redacted exhibit will be available for public inspection.
R	Separate Account Investment Certification – Domestic Companies Only:	Officer compliance certification with C.G.S. 38a-102c as it relates to separate account guarantees. Refer to C.G.S. section 38a-102(d).
S	Actuarial Opinion Summary – Property & Casualty Companies:	This is a confidential filing and should be sent under separate cover.
T	Filing Checklist:	A checklist with column 1 completed is required to be submitted with all required hard copy filings.
U	Bail Bond Supplement - Property & Casualty Companies:	Supplement to be filed with State of Domicile and NAIC for reporting entities writing bail bond coverage.
V	Regulatory Asset Adequacy Issues Summary (RAAIS) – Domestic Life and Fraternal Societies:	This is a confidential filing required by section 38a-78-9(a)(5) of the Regulations of Connecticut State Agencies and should be sent under separate cover.
W	Director and Officer Supplement – Property & Casualty Companies:	Supplement to be filed with State of Domicile and NAIC for reporting entities writing director and officer insurance.

**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 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 *Separate Accounts Electronic Filing* includes the separate accounts annual statement and investment schedule detail.

The *Separate Accounts .PDF Filing* is the .pdf file for the separate accounts annual statement and all investment schedule detail.

The *Supplemental Electronic Filing* includes all supplements due April 1, per the *Annual Statement Instructions*.

The *Supplement .PDF Filing* is the .pdf file for all supplemental schedules and exhibits 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. 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.

PROPERTY & CASUALTY INSURERS

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: CONNECTICUT Filings Made During the Year 2013

(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")	2	EO	xxx	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E27)	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	
	3	Protected Cell Annual Statement	2	0	xxx	3/1	NAIC	
	4	Combined Annual Statement (8 1/2" x 14")	1	EO	1	5/1	NAIC	
		II. NAIC SUPPLEMENTS						
	10	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	
	11	Actuarial Opinion	2	EO	xxx	3/1	Company	
	12	Actuarial Opinion Summary	2	N/A	N/A	3/15	Company	
	13	Bail Bond Supplement	2	EO	xxx	3/1	NAIC	
	14	Combined Insurance Expense Exhibit	1	EO	1	5/1	NAIC	
	15	Credit Insurance Experience Exhibit	2	EO	xxx	4/1	NAIC	
	16	Director and Officer Insurance Coverage Supplement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	17	Exceptions to Reinsurance Attestation Supplement	2	N/A	xxx	3/1	Company	
	18	Financial Guaranty Insurance Exhibit	2	EO	xxx	3/1	NAIC	
	19	Health Care Exhibit (Parts 1, 2 and 3) Supplement	2	EO	xxx	4/1	NAIC	
	20	Health Care Exhibit's Allocation Report Supplement	0	0	N/A	4/1	NAIC	
	21	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	22	Insurance Expense Exhibit	2	EO	xxx	4/1	NAIC	
	23	Long Term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	
	24	Management Discussion & Analysis	2	EO	xxx	4/1	Company	
	25	Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	
	26	Medicare Part D Coverage Supplement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	27	Premiums Attributed to Protected Cells Exhibit	2	EO	xxx	3/1	NAIC	
	28	Reinsurance Attestation Supplement	2	EO	xxx	3/1	Company	
	29	Reinsurance Summary Supplemental	2	EO	xxx	3/1	NAIC	
	30	Risk-Based Capital Report	1	EO	xxx	3/1	NAIC	
	31	Schedule SIS	2	N/A	N/A	3/1	NAIC	
	32	Supplement A to Schedule T	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	33	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	
	34	Trusteed Surplus Statement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
		III. ELECTRONIC FILING REQUIREMENTS						
	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	
		IV. AUDIT/INTERNAL CONTROL RELATED REPORTS						
	71	Accountants Letter of Qualifications	1	EO	N/A	6/1	Company	
	72	Audited Financial Reports	1	EO	xxx	6/1	Company	
	73	Audited Financial Reports Exemption Affidavit	0	N/A	N/A	N/A	Company	
	74	Communication of Internal Control Related Matters Noted in Audit – No unremediated material weaknesses	1	N/A	N/A	6/1	Company	
	75	Communication of Internal Control Related Matters Noted in Audit – Unremediated material weaknesses	1	N/A	N/A	8/1	Company	
	76	Independent CPA (change)	1	N/A	N/A	Within 5 business days of this event	Company	
	77	Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1	Company	

	78	Notification of Adverse Financial Condition	1	N/A	1	Within 5 business days of company notification	Company	
	79	Request for Exemption to File	1	N/A	N/A	12/31	Company	
	80	Request to File Consolidated Audited Annual Statements	1	N/A	N/A	12/31	Company	
	81	Relief from the five-year rotation requirement for lead audit partner	1	EO	xxx	3/1	Company	
	82	Relief from the one-year cooling off period for independent CPA	1	EO	xxx	3/1	Company	
	83	Relief from the Requirements for Audit Committees	1	EO	xxx	3/1	Company	
		V. STATE REQUIRED FILINGS						
	101	Filings Checklist (with Column 1 completed)	2	0	1	3/1, 5/15, 8/15, 11/15	State	"T"
	102	Retention of Assets Statement	2	0	0	3/1	State	
	103	Accident & Health Advertising Certificate of Compliance	2	0	1	3/1	Company	"O"
	104	Holding Company Registration Statement Form B, C & F	1	0	N/A	6/1	State	
	105	State Page	2	0	1	3/1,5/15, 8/15, 11/15	NAIC	"P"

*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.

	NOTES AND INSTRUCTIONS (A-N APPLY TO ALL FILINGS)	
A	Required Filings Contact Person:	Financial Analysis & Compliance Division (860) 297-3814 E-Mail – ctinsdept.financial@ct.gov
B	Mailing Address:	Connecticut Insurance Department P.O. Box 816 Hartford, CT 06142-0816 EXPRESS/HAND DELIVERY: Connecticut Insurance Department 153 Market Street Hartford, CT 06103
C	Mailing Address for Filing Fees:	Same as above - Checks should be made payable to Treasurer, State of Connecticut. Department will invoice companies for appropriate fees; please do not send fees with annual/quarterly filings.
D	Mailing Address for Premium Tax Payments:	Connecticut Department of Revenue Services P.O. Box 2990 Hartford, CT 06104-2990 (860) 541-3226
E	Delivery Instructions:	Domestic Company's filings sent by the United States Postal Service must be postmarked no later than the indicated due date. Filings sent by a private delivery service will be considered filed on the date physically received by the Department. Foreign Companies must submit an electronically filed report with the NAIC and any required hard copy submission to the Department by the Connecticut due date. Refer to Connecticut Bulletin FS-16-08. If the Connecticut due date falls on a Saturday and the statements are sent via the United States Postal Service they must be post marked no later than this date. If sent via private delivery service they are due to the Department on the prior Friday. If sent electronically to the NAIC they must be received by the Connecticut due date. Sunday due dates will automatically be the following Monday.
F	Late Filings:	Companies will be fined \$175 per day (\$100 per day for fraternal societies) for a late annual statement or quarterly statement filing regardless of state of domicile approval.
G	Original Signatures:	Original signatures are required on all filings from domestic companies. Foreign companies should follow the NAIC Annual Statement Instructions.
H	Signature/Notarization/Certification:	The following officers are required to sign the annual/quarterly statements: President or Vice President, AND Secretary or Assistant Secretary Statements must also be notarized.
I	Amended Filings:	Domestic companies are instructed to refer to Connecticut General Statute §38a-53a.
J	Exceptions from normal filings:	Please follow the NAIC Annual Statement Instructions
K	Bar Codes (State or NAIC):	Please follow the NAIC Annual Statement Instructions
L	Signed Jurat:	Foreign companies filing electronically with the NAIC are not required to submit a hard copy.
M	NONE Filings:	Please follow the NAIC Annual Statement Instructions
N	Filings new, discontinued or modified materially since last year:	None of the filings have been discontinued since last year. New filing this year is the Holding Company Registration Statement Form F.
O	Accident & Health Advertising Certificate of Compliance:	Companies are referred to §38a-819-18(B) of the Regulations of Connecticut State Agencies for further details. Certificates only required for companies reporting accident and health premiums.
P	State Page – Quarterly Supplement Property & Casualty Companies:	Both domestic and foreign companies are required to file with each quarterly statement a hard copy of page 20 of the annual statement reflecting the quarterly data.
Q	Supplemental Compensation Exhibit – Domestic Companies Only:	If Connecticut General Statute section 38a-69a(b) is applicable to your Company the exhibit will be held confidential if you attach an affidavit to a copy of the exhibit showing only the three most highly compensated officers attesting that the Company is a nonprofit insurer and has fewer than 150 employees. This affidavit and redacted exhibit will be available for public inspection.
R	Separate Account Investment Certification – Domestic Companies Only:	Officer compliance certification with C.G.S. 38a-102c as it relates to separate account guarantees. Refer to C.G.S. section 38a-102(d).
S	Actuarial Opinion Summary – Property & Casualty Companies:	This is a confidential filing and should be sent under separate cover.
T	Filing Checklist:	A checklist with column 1 completed is required to be submitted with all required hard copy filings.
U	Bail Bond Supplement - Property & Casualty Companies:	Supplement to be filed with State of Domicile and NAIC for reporting entities writing bail bond coverage.
V	Regulatory Asset Adequacy Issues Summary (RAAIS) – Domestic Life and Fraternal Societies:	This is a confidential filing required by section 38a-78-9(a)(5) of the Regulations of Connecticut State Agencies and should be sent under separate cover.
W	Director and Officer Supplement – Property & Casualty Companies:	Supplement to be filed with State of Domicile and NAIC for reporting entities writing director and officer insurance.

**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 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.

TITLE COMPANIES

COMPANY NAME: _____ NAIC Company Code: _____
 Contact: _____ Telephone: _____
 REQUIRED FILINGS IN THE STATE OF: CONNECTICUT Filings Made During the Year 2013

(1) Check -List	(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				
I. NAIC FINANCIAL STATEMENTS								
	1	Annual Statement (8 1/2" x 14")	2	EO	xxx	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E27)	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	
II. NAIC SUPPLEMENTS								
	11	Actuarial Opinion	2	EO	xxx	3/1	Company	
	12	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	13	Management Discussion & Analysis	2	EO	xxx	4/1	Company	
	14	Schedule SIS	2	N/A	N/A	3/1	NAIC	
	15	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	"Q"
	16	Supplemental Schedule of Business Written By Agency	2	EO	xxx	4/1	NAIC	
III. ELECTRONIC FILING REQUIREMENTS								
	50	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	51	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	52	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	53	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	54	Quarterly Statement Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	55	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	56	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
	71	Accountants Letter of Qualifications	1	EO	N/A	6/1	Company	
	72	Audited Financial Reports	1	EO	xxx	6/1	Company	
	73	Audited Financial Reports Exemption Affidavit	0	N/A	N/A	N/A	Company	
	74	Communication of Internal Control Related Matters Noted in Audit – No unremediated material weaknesses	1	N/A	N/A	6/1	Company	
	75	Communication of Internal Control Related Matters Noted in Audit – Unremediated material weaknesses	1	N/A	N/A	8/1	Company	
	76	Independent CPA (change)		N/A	N/A	Within 5 business days of this event	Company	
	77	Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1	Company	
	78	Notification of Adverse Financial Condition	1	N/A	1	Within 5 business days of company notification	Company	
	79	Request for Exemption to File	1	N/A	N/A	12/31	Company	
	80	Relief from the five-year rotation requirement for lead audit partner	1	EO	xxx	3/1	Company	
	81	Relief from the one-year cooling off period for independent CPA	1	EO	xxx	3/1	Company	
	82	Relief from the Requirements for Audit Committees	1	EO	xxx	3/1	Company	
V. STATE REQUIRED FILINGS								
	101	Filings Checklist (with Column 1 completed)	2	0	1	3/1, 5/15, 8/15, 11/15	State	"T"
	102	Retention of Assets Statement	2	0	0	3/1	State	
	103	Holding Company Registration Statement Form B, C & F	1	0	N/A	6/1	State	

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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.

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

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