

HEALTH ENTITIES

COMPANY NAME: _____ NAIC Company Code: _____
 Contact: _____ Telephone: _____
 REQUIRED FILINGS IN THE STATE OF: **IDAHO** Filings Made During the Year 2016

(1) Checklist	(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	See Notes, E,F,G,H&L
	1.1	Printed Investment Schedule detail (Pages E01-E27)	2	EO	XXX	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	XXX	5/15, 8/15, 11/15	NAIC	See Note O
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	2	EO	XXX	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	2	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	
III. ELECTRONIC FILING REQUIREMENTS								
	60	Annual Statement Electronic Filing	xxx	EO	XXX	3/1	NAIC	
	61	March .PDF Filing	xxx	EO	XXX	3/1	NAIC	
	62	Risk-Based Capital Electronic Filing	xxx	EO	N/A	3/1	NAIC	
	63	Risk-Based Capital .PDF Filing	xxx	EO	N/A	3/1	NAIC	
	64	Supplemental Electronic Filing	xxx	EO	XXX	4/1	NAIC	
	65	Supplemental .PDF Filing	xxx	EO	XXX	4/1	NAIC	
	66	Quarterly Statement Electronic Filing	xxx	EO	XXX	5/15, 8/15, 11/15	NAIC	
	67	Quarterly .PDF Filing	xxx	EO	XXX	5/15, 8/15, 11/15	NAIC	
	68	June .PDF Filing	xxx	EO	XXX	6/1	NAIC	
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
	81	Accountants Letter of Qualifications	2	EO	N/A	6/1	Company	
	82	Audited Financial Reports	2	EO	XXX	6/1	Company	
	83	Audited Financial Reports Exemption Affidavit	0	N/A	N/A		Company	
	84	Communication of Internal Control Related Matters Noted in Audit	2	N/A	N/A	8/1	Company	
	85	Independent CPA (change)	2	N/A	N/A		Company	
	86	Management's Report of Internal Control Over Financial Reporting	2	N/A	N/A	8/1	Company	
	87	Notification of Adverse Financial Condition	2	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	2	EO	XXX	3/1	Company	
	90	Relief from the one-year cooling off period for independent CPA	2	EO	XXX	3/1	Company	
	91	Relief from the Requirements for Audit Committees	2	EO	XXX	3/1	Company	

V. STATE REQUIRED FILINGS***							
101	Certificate of Compliance	0	0	1	3/1	State	See Note P
102	Certificate of Deposit	0	0	1	3/1	State	See Note Q
103	Filings Checklist (with Column 1 completed)	0	0	0	3/1	State	
104	Premium Tax	1	0	1	3.1	State	See Note R
105	State Filing Fees	1	0	1	3/1	State	See Note R
106	Signed Jurat	2	0	1	3/1	NAIC	See Note L
104	Annual Small Group and Individual Assessment Base Survey for Licensed Disability Insurers	1	0	1	3/1	State	See Note S
105	Grievance System Description, Grievance Report, and Annual Disclosure IF company is licensed for Disability-Including Managed Care OR Disability-Managed Care Only and specifically requested by the Director	1	0	1	3/1	Company	See Note T
106	Investment Limitations Analysis (Idaho Domestic Only)	2	0	0	3/1	State	See Note U
107	Business Plan (Idaho Domestic Only)	2	0	0	5/1	Company	See Note U

*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

NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)		
A	Required Filings Contact Person:	
	Financial Statements:	Carol Anderson (208) 334-4309 carol.anderson@doi.idaho.gov
	Premium Taxes & Continuation Fees:	Kathy Miller (208) 334-4282 kathy.miller@doi.idaho.gov
	Annual Small Group and Individual Assessment Base Survey:	Scott Frost (208) 334-4277 scott.frost@doi.idaho.gov
B	Mailing Address:	Street Address: Idaho Department of Insurance 700 West State Street 3 rd Floor Boise, ID 83720-0043 Mailing Address: Idaho Department of Insurance PO Box 83720 Boise, ID 83720-0043
C	Mailing Address for Filing Fees:	Same as Above
D	Mailing Address for Premium Tax Payments:	Same as Above
E	Delivery Instructions:	All <u>hardcopy</u> filings must be postmarked no later than the indicated due date. If the due date falls on a weekend or holiday, then the deadline is extended to the next business day.
F	Late Filings:	Foreign company electronic filings will be deemed filed based on the date the NAIC marks the filing as received. Electronic filings that are initially rejected due to validation errors and subsequently marked received when accepted by the NAIC may be subject to late filing penalties. Foreign company filings submitted to the Department in lieu of being filed electronically with the NAIC, will be deemed filed based on the postmark. Domestic hardcopy filings will be deemed filed based on the postmark date. Companies will be fined \$25.00 per day for a late filing.
G	Original Signatures:	Required for domestic companies. Not Required for foreign companies.
H	Signature/Notarization/Certification:	Required for domestic companies. Not Required for foreign companies.
I	Amended Filings:	2 copies required for domestic companies. Not Required for foreign companies.

J	<p>Exceptions from normal filings:</p> <p>Extensions and/or Exemptions do not apply to premium tax and fees.</p>	<p>For annual statement filings, requests for extensions for a period of 30 days or less beyond the regular due date or exemptions will not be required provided the domiciliary state has granted the extension or exemption and notified the NAIC. Extensions beyond 30 days will require written request for extension prior to expiration of the initial 30 day period, and domiciliary approval. Foreign insurers need not file extension or exemption requests for quarterly filings.</p>
K	Bar Codes (State or NAIC):	Not Required
L	<p>Signed Jurat:</p> <p>Foreign Companies Submit copy of Jurat page with annual filing only. Do not file quarterly Jurat pages.</p>	<p>Domestics – Original Signature, Notarization/Certification required. FOREIGN COMPANIES – submit copy of Jurat page with the annual filing only. Do not file the Quarterly Jurat.</p>
M	NONE Filings:	See NAIC Annual Statement Instructions for Supplemental Interrogatories.
N	Filings new, discontinued or modified materially since last year:	Foreign Companies no longer required to file Amended Filings.
O	<p>Quarterly Financial Statements:</p> <p>Domestics-File two printed statements and any attachments Foreign – Do not file quarterly statements or Jurat pages</p>	<p>Domestics must file two printed statements. Foreign companies are NOT required to file Quarterly Financial Statements or their Jurat Page.</p>
P	Certificate of Compliance – Foreign Insurers:	Most current Certificate MUST BE PROVIDED with the March 1 filings , even if state of domicile issues Certificate after the March 1 due date. Certificate must be an original ; copies will not be accepted.
Q	Certificate of Deposit – Foreign Insurers	Most current Certificate MUST BE PROVIDED with the March 1 filings , even if state of domicile issues Certificate after the March 1 due date. Certificate must be an original ; copies will not be accepted.
R	Premium Tax and State Filing Fees (Continuation Fees):	<p>Companies have the option to file these two items electronically through</p>  <p>http://www.doi.idaho.gov/company/filing_requirements.aspx</p>

S	<p>Annual Small Group and Individual Assessment Base Survey for Licensed Disability Insurers. THIS MUST BE FILED ELECTRONICALLY. PLEASE READ FILING INSTRUCTIONS http://www.doi.idaho.gov/company/filing_requirements.aspx</p>	<p>Annual Small Group and Individual Assessment Base Survey for Licensed Disability Insurers. THIS MUST BE FILED ELECTRONICALLY. PLEASE READ FILING INSTRUCTIONS http://www.doi.idaho.gov/company/filing_requirements.aspx</p>
T	<p>Managed Care Reporting</p> <p>Grievance System Description, Grievance Report, and Annual Disclosure are no longer required unless requested by the Director.</p> <p>See our website for additional information on these filings. http://www.doi.idaho.gov/company/grievance.aspx</p>	<p>See Idaho Code §41-3914 for Annual Disclosure and §41-3918 for Grievance System Report.</p>
U	<p>Investment Limitations Analysis and Business Plan</p>	<p>These two items are also listed with other requirements on the Domestic Memorandum “Required Filings This Year” emailed to the Company each year.</p>

**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 (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 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.

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