

**LIFE, ACCIDENT AND HEALTH/ FRATERNAL INSURERS**

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

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

REQUIRED FILINGS IN THE STATE OF: Illinois Filings Made During the Year 2022

**FRATERNAL COS. BEGIN FILING LIFE/FRATERNAL STMT. EFFECTIVE WITH FIRST QUARTER 2019**

**SEE NOTE REGARDING COVID 19 PANDEMIC SPECIAL INSTRUCTIONS**

(1) Check-list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) APPLICABLE NOTES
			Domestic		Foreign /Alien State		
			State	NAIC			
		<b>I. NAIC FINANCIAL STATEMENTS</b>					
	1	Annual Statement (8 ½"x14")	2	EO	xxx	3/1	A thru O, T, V, X, Z
	1.1	Printed Investment Schedule detail (Pages E01-E29)	2	EO	xxx	3/1	A thru O, T, V
	2	Quarterly Financial Statement (8 ½" x 14")	1	EO	xxx	5/15, 8/15, 11/15	A,B,E thru O, R
	3	Separate Accounts Annual Statement (8 ½"x14")	2	EO	xxx	3/1	A thru O, T, V
		<b>II. NAIC SUPPLEMENTS</b>					
	11	Accident & Health Policy Experience Exhibit	xxx	EO	xxx	4/1	A,B,E,F,I,M,O
	12	Credit Insurance Experience Exhibit	xxx	EO	xxx	4/1	A,B,E,F,I,M,O
	13	Health Care Receivables Supplement	xxx	EO	xxx	3/1	A,B,E,F,I,M,O
	14	Life, Health & Annuity Guaranty Association Assessable Premium Exhibit, Parts 1 and 2	xxx	EO	xxx	4/1	A,B,E,F,I,M,O
	15	Long-term Care Experience Reporting Forms	xxx	EO	xxx	4/1	A,B,E,F,I,M,O
	16	Management Discussion & Analysis	1	EO	xxx	4/1	A,B,E,F,I,Q,U
	17	Medicare Supplement Insurance Experience Exhibit	xxx	EO	xxx	3/1	A,B,E,F,I,M,O
	18	Medicare Part D Coverage Supplement	xxx	EO	xxx	3/1, 5/15, 8/15, 11/15	A,B,E,F,I,J,M,O
	19	Risk-Based Capital Report ( <b>bound or stapled</b> )	1	EO	xxx	3/1	A,B,E,F,I,J,M,O,R,T
	20	Schedule SIS	1	N/A	xxx	3/1	A,B,E,F,I,J,M,O
	21	Supplemental Compensation Exhibit	2	N/A	xxx	3/1	A,B,E,F,I,M,O,R
	22	Supplemental Health Care Exhibit (Parts 1, 2 and 3)	xxx	EO	xxx	4/1	A,B,E,F,I,M,O
	23	Supplemental Health Care Exhibit's Allocation Report	xxx	EO	xxx	4/1	A,B,E,F,I,M,O
	24	Supplemental Investment Risk Interrogatories	xxx	EO	xxx	4/1	A,B,E,F,I,M,O
	25	Supplemental Schedule O	xxx	EO	xxx	3/1	A,B,E,F,I,M,O
	26	Supplemental Term and Universal Life Insurance Reinsurance Exhibit	xxx	EO	xxx	4/1	A,B,E,F,I,M,O
	27	Trusted Surplus Statement	xxx	EO	xxx	3/1, 5/15, 8/15, 11/15	A,B,E,F,I,M,O
	28	Variable Annuities Supplement	xxx	EO	xxx	4/1	A,B,E,F,I,M,O
	29	VM 20 Reserves Supplement	xxx	EO	xxx	3/1	A,B,E,F,I,M,O
	30	Workers' Compensation Carve-Out Supplement	xxx	EO	xxx	3/1	A,B,E,F,I,M,O
		<b>Actuarial Related Items</b>					
	31	Actuarial Certification regarding use 2001 Preferred Class Table	xxx	EO	xxx	3/1	
	32	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	xxx	EO	xxx	3/1	
	33	Actuarial Memorandum Related to Universal Life with Secondary Guarantee Policies required by Actuarial Guideline XXXVIII 8D	EO	N/A	xxx	4/30	A
	34	Actuarial Opinion	1	EO	xxx	3/1	A
	35	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	xxx	EO	xxx	3/1	
	36	Actuarial Opinion on Synthetic Guaranteed Investment Contracts	xxx	EO	xxx	3/1	
	37	Actuarial Opinion on X-Factors	xxx	EO	xxx	3/1	

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**REQUIRED FILINGS IN THE STATE OF:**     *Illinois*     **Filings Made During the Year 2022**

(1) Check-list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) APPLICABLE NOTES
			Domestic		Foreign /Alien		
			State	NAIC	State		
	38	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation	EO	EO	xxx	3/1	A
	39	Request for Life PBR Exemption (formerly Companywide Exemption)	EO	N/A	xxx	Director 7/1 NAIC 8/15	A,Y
	40	Executive Summary of the PBR Actuarial Report	EO	N/A	xxx	4/1	A,Y
	41	Life Summary of the PBR Actuarial Report	EO	N/A	xxx	4/1	A,Y
	42	Variable Annuities Summary of the PBR Actuarial Report	EO	N/A	xxx	4/1	A,Y
	43	PBR Actuarial Report (provide upon request)	NA	N/A	xxx	4/1	
	44	RAAIS required by <i>Valuation Manual</i>	EO	N/A	xxx	4/1	A
	45	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV	xxx	EO	xxx	3/1,5/15, 8/15, 11/15	
	46	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV	xxx	EO	xxx	3/1,5/15, 8/15, 11/15	
	47	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)	xxx	EO	xxx	3/1,5/15, 8/15, 11/15	
	48	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)	xxx	EO	xxx	3/1,5/15, 8/15, 11/15	
	49	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI	xxx	EO	xxx	3/1,5/15, 8/15, 11/15	
	50	RBC Certification required under C-3 Phase I	xxx	EO	xxx	3/1	
	51	RBC Certification required under C-3 Phase II	xxx	EO	xxx	3/1	
	52	Statement on non-guaranteed elements - Exhibit 5 Int. #3	xxx	EO	xxx	3/1	
	53	Statement on par/non-par policies – Exhibit 5 Int. 1&2	xxx	EO	xxx	3/1	
		<b>III. ELECTRONIC FILING REQUIREMENTS</b>					
	61	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	O
	62	March .PDF Filing	xxx	EO	xxx	3/1	O
	63	Risk-Based Capital Electronic Filing	xxx	EO	N/A	3/1	O
	64	Risk-Based Capital .PDF Filing	xxx	EO	N/A	3/1	O
	65	Separate Accounts Electronic Filing	xxx	EO	xxx	3/1	O
	66	Separate Accounts .PDF Filing	xxx	EO	xxx	3/1	O
	67	Supplemental Electronic Filing	xxx	EO	xxx	4/1	O
	68	Supplemental .PDF Filing	xxx	EO	xxx	4/1	O
	69	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15,8/15,11/15	O
	70	Quarterly .PDF Filing	xxx	EO	xxx	5/15,8/15,11/15	O
	71	June PDF filing	xxx	EO	xxx	6/1	O

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			Domestic		Foreign /Alien State		
			State	NAIC			
		<b>IV. AUDITED FINANCIAL STATEMENTS</b>					
	81	Accountants Letter of Qualifications	1	EO	N/A	6/1	A,B,E,F,I,J,Q,W
	82	Audited Financial Reports	1	EO	N/A	6/1	A,B,E,F,I,J,Q,W,Z
	83	Audited Financial Reports Exemption Affidavit	N/A	N/A	N/A	6/1	A,B,E,F,I,J,Q,W
	84	Communication of Internal Control Related Matters Noted in Audit ( <b>Internal Control Letter</b> )	1	EO	N/A	8/1	A,B,E,F,I,J,Q,W
	85	Independent CPA (appointment or change)	1	N/A	N/A		A,B,E,F,I,J,Q,W
	86	Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1	A,B,E,F,I,J,Q,W
	87	Notification of Adverse Financial Condition	1	N/A	N/A	< 5th business day after notice received	A,B,E,F,I,J,Q,W
	88	Relief from the five-year rotation requirement for lead audit partner	1	EO	N/A	12/1	A,B,E,F,I,J,Q,W
	89	Relief from the one-year cooling off period for independent CPA	1	EO	N/A	3/1	A,B,E,F,I,J,Q,W
	90	Relief from the Requirements for Audit Committees	1	EO	N/A	3/1	A,B,E,F,I,J,Q,W
	91	Request for Exemption to File Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	<b>5/21</b>	A,B,E,F,I,J,Q,W
	92	Request for Exemption to File Annual Audited Financial Report	1	N/A	N/A	<b>5/21</b>	A,B,E,F,I,J,Q,W
	93	Supplemental Schedule of Assets and Liabilities	1	EO	N/A	6/1	A,B,E,F,I,J,Q,W
		<b>V. STATE REQUIRED FILINGS***</b>					
	101	Corporate Governance Annual Disclosure***	EO	0	N/A	6/1	A,B,E,I,M,Q
	102	Filings Checklist (with Column 1 completed)	N/A	0	N/A	3/1	A,B,E,I,M,P
	103	Form B-Holding Company Registration Statement (If Applicable)	1	0	N/A	5/1	A,B,C,E,F,G,I,J,Q
	103.1	Annual Form C Filing (If Applicable)	1	0	N/A	5/1	A,B,C,E,F,G,I,J,Q,S
	104	Form F-Enterprise Risk Report**** (If Applicable)	1	0	N/A	5/1	A,B,C,E,F,G,I,J,Q,S
	105	ORSA*****	1	0	N/A		B
	106	Privilege & Retaliatory Tax Statement	1	0	1	3/15	A,B,D,E,F,P,Z,C1
	106.1	Privilege & Retaliatory Tax Quarterly Estimates	1	0	1	4/15, 6/15, 9/15, 12/15	A,B,D,E,F,P,Z,C1
	107	State Filing Fees – Annual Statement Filing Fee	1	0	N/A	Upon Receipt of Invoice 2/1	A,B,C,E,F,P
	107.1	State Filing Fees – Certificate of Authority Renewal Fee	0	0	1	Upon Receipt of Invoice 2/1	A,B,C,E,F,P
	107.2	Financial Regulation Fee	1	0	1	Upon Receipt of Invoice 6/30	A,B,C,E,F,P
	108	Signed Jurat	1	0	xxx	3/1	L
	109	Certificate of Compliance	N/A	0	1	3/1	A,B,E,I,M,N,P,Z
	110	Certificate of Deposit	N/A	0	1	3/1	A,B,E,I,M,N,P,Z, D1
	111	Certificate of Valuation	N/A	0	0		No longer required.
	112	Form 141.3 – Management Contracts Supplement	1	N/A	N/A	3/1	A,B,E,I,M,P
	113	Section 126.20 Investment Supplement	1	N/A	N/A	3/1	A,B,E,I,M,P
	114	Section 131.2 Investment Supplement	1	N/A	N/A	3/1	A,B,E,I,M,P
	115	Reserve Affidavit & Three Year Reserve Comparison	EO	N/A	N/A	3/1	A
	116	Illinois Business Page (if not already filed within the annual statement)	1	EO	xxx	3/1	A,B,E,I,M,O,X
	117	Par/Non Par Exhibit	1	N/A	N/A	5/1	A,B,E,I,M,P,B1

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			Domestic State	Foreign /Alien State		

\*If XXX appears in this column, Illinois 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 not required. EO (electronic only filing).

\*\*\*For those states that have adopted the NAIC Corporate Governance Annual Disclosure Model Act, an annual disclosure is required of all insurers or insurance groups by June 1. The Corporate Governance Annual Disclosure 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 if filed at the insurance group level. 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 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 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. 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 if filed at the insurance group level. 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)

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**General Instructions  
For Companies to Use Checklist**

**Please Note:** Illinois' instructions for companies to file with the NAIC are included in this Checklist. The NAIC will not be sending their own checklist this year.

**Electronic filing is intended to include filing via the Internet or via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC. Companies are not required to file hard copy filings with the NAIC.**

**Column (1) (Checklist)**

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when submitting information to the state. **Illinois does not require this checklist to be filed in Illinois.**

**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 (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.**

**Please Note:** All Alien Companies will be considered as Foreign companies for this checklist.

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**Column (5) (Due Date)**

Indicates the date on which the company must file the form.

**Column (6) (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.

**Line 85**

Please reference 50 Ill. Admin. Code 925 regarding any appointment or change in Independent CPA.