

TITLE COMPANIES

COMPANY NAME: _____ **NAIC Company Code:** _____
Contact: _____ **Telephone:** _____
REQUIRED FILINGS IN THE STATE OF: ARIZONA **Filings Made During the Year** 2012

(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 State	NAIC	Foreign State			
I. NAIC FINANCIAL STATEMENTS								
	1	Annual Statement (8 1/2" x 14")		EO	xxx	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E27)		EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")		EO	xxx	5/15, 8/15, 11/15	NAIC	
II. NAIC SUPPLEMENTS								
	11	Actuarial Opinion		EO	xxx	3/1	Company	
	12	Investment Risk Interrogatories		EO	xxx	4/1	NAIC	
	13	Management Discussion & Analysis		EO	N/A	3/1	Company	
	14	Schedule SIS		N/A	xxx	3/1	NAIC	
	15	Supplemental Compensation Exhibit		N/A	N/A	3/1	NAIC	
	16	Supplemental Schedule of Business Written By Agency		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 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		EO	N/A	6/1	Company	
	72	Audited Financial Reports		EO	xxx	6/1	Company	
	73	Audited Financial Reports Exemption Affidavit		N/A	N/A	6/1	Company	
	74	Communication of Internal Control Related Matters Noted in Audit		N/A	N/A	8/1	Company	
	75	Independent CPA (change)		N/A	N/A	6/1	Company	
	76	Management's Report of Internal Control Over Financial Reporting		N/A	N/A	8/1	Company	
	77	Notification of Adverse Financial Condition		N/A	N/A	6/1	Company	

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			Domestic State	NAIC	Foreign State			
	78	Request for Exemption to File		N/A	N/A	Prior to 6/1	Company	
	79	Relief from the five-year rotation requirement for lead audit partner		EO	N/A	3/1	Company	
	80	Relief from the one-year cooling off period for independent CPA		EO	N/A	3/1	Company	
	81	Relief from the Requirements for Audit Committees		EO	N/A	3/1	Company	
		V. STATE REQUIRED FILINGS						
	101	Certificate of Disclosure Form E-178		0	1	3/1	State	A, E, F, N, O
		Form B and C Insurance Holding Company System Registration Statement		0	N/A	3/31 Domestic	State	
	102	Retaliatory Tax Report Form E-TITLE and Payment	0	0	1	4/15 or 10/15 with a filed extension	State	D, E, F, N
	103	Signed Jurat		0	xxx	3/1	NAIC	
	104	State Filing Fees with Form E-ANNUALFEES		0	1	3/1	State	C, E, F, N
	105	Title Companies Filing Checklist Form E-NAIC.Title (Pages 1 and 2 Only of this form with Column 1 and page 2 contact information completed)		0	1	3/1	State	A, B, E, F

*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.

PREPARED BY: (must complete PRINT OR TYPE CLEARLY)

NAME & TITLE

COLLECT/TOLL-FREE PHONE NUMBER

E-MAIL ADDRESS

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NOTES AND INSTRUCTIONS (A-M APPLY TO ALL FILINGS)		
A	Required Filings Contact Person:	Tony McCormack Administrative Assistant III Phone: (602) 364-3245 OR E-mail address: AMccormack@azinsurance.gov
B	Mailing Address:	Arizona Department of Insurance ATTN: Financial Affairs Division Financial Affairs Division 2910 North 44 th Street, Suite 210 Phoenix, Arizona 85018-7269
C	Mailing Address for Annual Filing Fees: Due March 1	Arizona Department of Insurance ATTN: Insurance Tax Unit 2910 North 44 th Street, Suite 210 Phoenix, Arizona 85018-7269 Annual fee amounts are specified in Form E-ANNUALFEES , which can be obtained from our web site: http://www.azinsurance.gov/taxunit/index.html ALSO SEE NOTE N
D	Premium Tax Payments: <u>Retaliatory Tax Due Dates:</u> 4/15 or 10/15 if you file an extension with the Arizona Department of Revenue for your corporate income tax report.	Arizona Department of Insurance ATTN: Insurance Tax Unit 2910 North 44 th Street, Suite 210 Phoenix, Arizona 85018-7269 <u>Contact Person:</u> Susan Yepez (602) 364-3997 E-mail address: SYepez@azinsurance.gov Use Form E-TITLE , which can be obtained from our web site: http://www.azinsurance.gov/taxunit/index.html ALSO SEE NOTE N
E	Delivery Instructions:	All packages must bear U.S. postmark or courier pick-up date. If due date is a weekend or holiday, deadline is next business day.

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F	Late Filings: License will be summarily suspended if renewal fee is not paid when due or if financial condition is unknown due to failure to file annual statement.	Up to \$25.00 per day – Annual Statement, Annual Fees, Actuarial Opinion, Management, Discussion and Analysis or Audited Financial Report. Up to \$25.00 per day – Certificate of Disclosure Form E-178. Up to \$100.00 per day – Quarterly Statements. We use the USPS postmark or courier pick-up date as the date filed.
G	Original Signatures:	Foreign companies should follow NAIC Annual Statement Instructions.
H	Signature/Notarization/Certification:	NOTARIZED SIGNATURES <u>MUST</u> BE OF AT LEAST TWO (2) OF YOUR EXECUTIVE OFFICERS, <u>WHO ARE LISTED ON YOUR JURAT PAGE.</u>
I	Amended Filings:	<u>Must</u> be filed within 10 days with explanation. Signature requirements apply.
J	Exceptions from normal filings:	<u>EXEMPTIONS:</u> Annual Statement filing exemption – NONE. Audited Financial Report exemptions use NAIC Annual Statement Instructions. Must be filed at least 10 days prior to due date. <u>EXTENSIONS:</u> Approved for a catastrophic event only. <u>FOREIGN:</u> <u>Must</u> provide a copy of an exemption/extension letter from your state of domicile prior to the filing due date.
K	Bar Codes (State or NAIC)	Use NAIC Annual Statement instructions.
L	Signed Jurat	Not required to be filed with us.
M	NONE Filings:	Every page of the annual statement must be included in sequential page number order. All State forms <u>must</u> be completed or stamped <u>“None”</u> if there are no entries on the form, and returned as instructed.
N	Filings new, discontinued, or modified materially since last year:	YOU MAY ELECTRONICALLY FILE AND PAY TAXES AND FEES VIA THE NAIC OPTins SYSTEM.
O	Certificate of Disclosure Form E-178	The form should be <u>directed immediately</u> to your EXECUTIVE OFFICERS OR DIRECTORS <u>WHO ARE LISTED ON THE JURAT PAGE</u> for notarized original signatures. <u>Incomplete certificates will not be accepted</u> and may result in statutory penalty of \$25 per day.

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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 include filing via the Internet or filing 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 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 all annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The **March .PDF Filing** is the .pdf file for the annual statement, detail for investment schedules and all supplements due March 1.

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

The **Supplemental .PDF Filing** is the .pdf file for all supplements due April 1.

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

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

The **June .PDF Filing** is the .pdf file for the Audited Financial Statements and Accountants Letter of Qualifications.

Column (4) (Number of Copies)

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX4) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5) (Due Date)

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

Column (6) (Form Source)

This column contains one of three words: "NAIC," "State," or "Company," If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing instructions (generally, on its web site). If this column contains "Company," the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7) (Applicable Notes)

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.