



**DEPARTMENT OF INSURANCE
STATE OF ARIZONA**

Financial Affairs Division - Compliance Section
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**AUDITED FINANCIAL REPORT INTERNAL CONTROL FILINGS TRANSMITTAL FORM
DUE **AUGUST 1****

GENERAL INSTRUCTIONS:

In addition to your Audited Financial Report, you are required to file with us, additional documents regarding internal controls that are prepared in accordance with the **NAIC Annual Financial Reporting Model Regulation**.

THIS TRANSMITTAL FORM MUST BE COMPLETED AND ATTACHED TO THE INTERNAL CONTROL DOCUMENTS REQUIRED TO BE FILED WITH US BY **AUGUST 1**, for identification and recording purposes:

1. **Communication of Internal Control Related Matters Noted in an Audit** – If no unremediated material weaknesses were noted, your communication must so state.
2. **Management’s Report of Internal Control Over Financial Reporting** – Must comply with Section 16 of the NAIC Annual Financial Reporting Model Regulation.

SPECIAL INSTRUCTION FOR COMPANIES FILING CONSOLIDATED REPORTS:

Each company in the group must separately file a copy of each internal control document due **August 1 with a transmittal Form E-AFR.IC attached** to receive credit for the filings, because copies must be retained in each Annual Statement filed with us.

A **penalty fee of up to \$25 per day** may be assessed for any part of your annual audited financial report that is filed late. ARS § 20-223.

IMPORTANT – ENTER THE CALENDAR YEAR OF THE ATTACHED FILING: _____

Enter the NAIC Number, name and domicile of the company whose audited financial report internal control filings are attached.

NAIC NO.	COMPLETE COMPANY NAME	DOMICILE

Check the boxes that apply to the attachments:

- Communication of Internal Control Related Matters Noted in an Audit
 CHECK THIS BOX IF **NO UNREMIEDIATED MATERIAL WEAKNESSES WERE NOTED**
- Management’s Report of Internal Control Over Financial Reporting

_____ Type or Print Name and Title Phone (toll free, if available)

E-mail address: _____