

TITLE COMPANIES

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: OHIO 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	State			
I. NAIC FINANCIAL STATEMENTS								
	1	Annual Statement (8 1/2" x 14")	AFF	EO	0	3/1	NAIC	M,Z
	1.1	Printed Investment Schedule detail (Pages E01-E27)	AFF	EO	0	3/1	NAIC	M,Z
	2	Quarterly Financial Statement (8 1/2" x 14")	AFF	EO	0	5/15, 8/15, 11/15	NAIC	M,Z
II. NAIC SUPPLEMENTS								
	11	Actuarial Opinion	AFF	EO	0	3/1	Company	M,Z
	12	Investment Risk Interrogatories	AFF	EO	0	4/1	NAIC	M,Z
	13	Management Discussion & Analysis	AFF	EO	0	4/1	Company	M,Z
	14	Schedule SIS	1	N/A	N/A	3/1	NAIC	M,N
	15	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	M,N
	16	Supplemental Schedule of Business Written By Agency	AFF	EO	0	4/1	NAIC	M,N,Z
	17	Request For Exemption From Filing Actuarial Opinion	1	N/A	0	12/1/12	Company	
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	AFF	EO		6/1	Company	K,M,Z
INS7166	73	Audited Financial Reports Exemption Affidavit	1	N/A	N/A		State****	K
	74	Communication of Internal Control Related Matters Noted in Audit	1	N/A	N/A	8/1	Company	
	75	Independent CPA (change)	1	N/A	N/A		Company	
	76	Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1	Company	
	77	Notification of Adverse Financial Condition	1	N/A	N/A	6/1	Company	
INS7160	78	Request for Exemption From Filing Audited Financial Statements	1	N/A	N/A	1/31	Company	
	79	Relief from the five-year rotation requirement for lead audit partner	1	EO	N/A	3/1	Company	
	80	Relief from the one-year cooling off period for independent CPA	1	EO	N/A	3/1	Company	
	81	Relief from the Requirements for Audit Committees	1	EO	N/A	3/1	Company	
V. STATE REQUIRED FILINGS***								
INS7004	100	Application for Renewal of Certificate of Authority	1	0	1	3/1	State****	
	101	Signed Jurat	1	0	0	3/1,4/1,5/1, 5/15, 8/15, 11/15	NAIC	M,N
INS7147	104	Foreign Premium Tax Return- DO NOT File Hardcopy	0	0	EO	3/1	State****	Z
INS7143	105	Domestic Franchise Tax Return- DO NOT File Hardcopy	EO	0	0	3/1	State****	Z
INS7240	108	Electronic Filing Authenticity Affidavit	1	0	0	3/1,4/1,5/1,5/15, 6/1,8/15,11/15	State****	M,N
INS7214	102	Domestic Insurance Tax Summary to Treasurer of State*****	1	0	0	3/1	State****	E
INS7215	103	Foreign Insurance Tax Summary to Treasurer of State*****	0	0	1	3/1	State****	E
INS7140	104	Business Tax Credit (If applicable) – DO NOT FILE HARDCOPY	EO	0	EO	3/1	State****	Z
INS7150	105	Computation of Deposit (Domestic Title)	1	0	0	3/1	State****	N
INS7151	106	Computation of Deposit (Domestic Title and Trust)	1	0	0	3/1	State****	N
INS7152	107	Computation of Deposit (Foreign Title)	0	0	1	3/1	State****	N
INS7062	108	Internet & Diskette Submissions to NAIC	INFO	INFO	INFO	Informational Only	State****	S
INS7186	109	Actuarial Option Exemption Affidavit	1	0	0	3/1	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.

If "EO" appears in this column, the filing is Electronic Only filing – **DO NOT FILE HARDCOPY.**

If "AFF" appears in this column, Ohio requires an affidavit on form INS7240.

****If Form Source is NAIC, the form should be obtained from the appropriate vendor.**

*****Generally, Notes A through L apply to all filings.**

******These forms may be downloaded at www.insurance.ohio.gov under “ODI Forms”.**

*******Do NOT file with the Ohio Department of Insurance. File Only with the Ohio Treasurer of State.**

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
A	Required Filings Contact Person:		Kelly Maynard (614) 728-1753 or kelly.maynard@insurance.ohio.gov
B	Mailing Address for Annual and Quarterly Filings:		Ohio Department of Insurance Office of Risk Assessment 50 West Town Street, 3rd Floor Columbus, OH 43215
C	<u>Mailing Address for Premium & Franchise Tax Returns:</u> NONE. Electronic filing only. DO NOT file hardcopy with the Department of Insurance. DO NOT send tax payments to the Department of Insurance		<u>NONE.</u> DO NOT Mail Tax Returns. Electronic filing only.
D	Mailing Address for Filing Fees: DO NOT send checks for filing fees. You will be billed when due. Do not mail tax returns. Do not send tax checks to the Department of Insurance.		
E	Premium Tax Payments: (New Requirement) MUST BE PAID VIA ACH credit or ACH debit If you have any questions about this process, you may contact the Ohio Treasurer of State’s office directly at 614-752-8484 or view the FAQ’s from the following web address http://eft.tos.ohio.gov/#/FaqView .		MUST BE PAID VIA ACH credit or ACH debit The website to register for ACH Payment is: http://eft.tos.ohio.gov/DownloadPage.aspx
F	Delivery Instructions:		All filings must be physically received by the due date. If the due date falls on a weekend or holiday, the due date is the next business day.
G	Late Filings:		Statutory penalties apply to required filings received after their due dates or not filed.
H	Original Signatures:		Original signatures are required on all filings that require signatures. See Note M and Electronic Filing Authenticity Affidavit (Ohio Form INS7240).
I	Signature/Notarization/Certification:		Principal officers are required to sign Quarterly and Annual Statement Jurat Pages. See Annual Statement Instructions and Ohio Form INS7240.
J	Amended Filings:		Contact taxes@insurance.ohio.gov for tax amendment forms. Amendments must be accompanied by an explanation and documentation. Original signature requirements apply.
K	Exceptions from normal filings:		All companies must include a copy of any extension or exemption granted by their state of domicile.

L	Bar Codes (State or NAIC):	Please refer to the Appendix of the NAIC Annual Statement Instructions and Ohio form INS7213 for instructions.
M	Signed Jurat:	Domestic insurers must attach signed, notarized Jurat with Affidavit (INS7240). No Jurat required of foreign insurers. Do not file hardcopy Annual or Quarterly Statements.
N	NONE Filings:	Must be submitted. Please see NAIC Annual Statement Instructions for Supplemental Interrogatories.
O	Filings new, discontinued or modified materially since last year:	A “#” on the Checklist denotes a new filing
P	All Foreign Insurers: DO NOT FILE Certificate of Valuation.	Please file a copy of Certificate of Compliance and Certificate of Deposit as issued by the state of domicile.
Q	Statement of Compliance with Rule 3901-8-07 and 3901-6-02:	Every insurer subject to Rules 3901-8-07 and/or 3901-6-02 must file a statement of compliance with Ohio insurance laws as implemented and interpreted by these Rules on Company letterhead. No form.
R	Protected Cell Annual Statement:	File only if applicable. No need to file with Ohio if “None.”
S	State instructions and filing information:	These items are available for instructional purposes only. The forms content is to be used as a guide only.
T	Actuarial Opinion Summary (Property & Casualty only):	To be filed as a confidential document pursuant to ORC §3903.77(E).
U	HIC line of business licensees only:	DO NOT file <u>unless</u> Certificate of Authority (“COA”) is for a health insuring corporation (“HIC”) under ORC Chapter 1751, or if your “non-HIC” COA specifically lists authority for a HIC line of business.
V	IRIS Response:	ONLY required if 4 or more IRIS Ratio failures.
Z	Hard Copy Filings:	DO NOT file hardcopy with Ohio if “NONE”, “AFF”, “EO” or “0” is indicated in column 4 (domestic or foreign).

**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 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.