

LIFE, ACCIDENT AND HEALTH/FRATERNAL INSURERS

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

Required Filings in the State Of: Pennsylvania Filings Made During the Year **2024**

PENNSYLVANIA DOMESTIC FILERS:

Electronic filings are requested for all required filing documents. Further:

1. Filings which are submitted to the NAIC are considered to be simultaneously filed with the PA Commissioner and are not to be submitted again to the PA Department nor to the NAIC. The NAIC filing satisfies the requirement for these submissions.
2. All* financial filings for PA Life, Accident & Health/Fraternal insurers which are not otherwise submitted to the NAIC are to be emailed to:

RA-IN-Life-Frtrnl-Titl@pa.gov

3. Emailed filings are to be in PDF format.
 - a. ZIP files cannot be accepted through the firewall, please do not send. Encrypted files can be accepted and are preferable over a secured portal process.
 - b. The email subject line should begin with the NAIC code followed by the legal entity name.
 - c. Filing emails to PA should include only a single legal entity and not combine filers.
 - d. The document file name for each item should begin with the NAIC code and a brief document description. (i.e., 55555 Biz Plan)

***NOTE:** Filers using Gain Compliance have a reporting feature to submit state specific filings through a zip submission process directly to the NAIC.

4. Hard copy filings are optional, and a copy can be sent to **ATTN:** Administration, PA Insurance Department, 1326 Strawberry Square, Harrisburg, PA 17120.
5. The scanned documents submitted should reflect the appropriate wet signatures and notary requirement. A scanned copy of the original signature is permitted.
6. Filing fees will be invoiced by the Department with remittance instructions, please do not include payment with a hardcopy filing. A scan of payment can be included with the electronic filing.
7. Questions can be emailed to the Company’s assigned analyst, supervisor, or submitted to RA-IN-ANALYSIS@PA.gov

FOREIGN/ALIEN FILERS: – Filings which are submitted to the NAIC are considered to be simultaneously filed with the PA Commissioner and are not to be submitted again to the PA Department nor to the NAIC. The NAIC filing satisfies the requirement for these submissions.

(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 ½”x14”)	EO	EO	EO	3/1	NAIC	A - M, R
	1.1	Printed Investment Schedule detail (Pages E01-E29)	EO	EO	EO	3/1	NAIC	
	2	Quarterly Financial Statement (8 ½” x 14”)	EO	EO	EO	5/15, 8/15, 11/15	NAIC	A – M, R
	3	Separate Accounts Annual Statement (8 ½”x14”)	EO	EO	EO	3/1	NAIC	
		II. NAIC SUPPLEMENTS						

(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			
	11	Accident & Health Policy Experience Exhibit	EO	EO	N/A	4/1	NAIC	
	12	Credit Insurance Experience Exhibit	EO	EO	N/A	4/1	NAIC	
	13	Health Supplement	EO	EO	N/A	3/1	NAIC	
	14	Life, Health & Annuity Guaranty Association Assessable Premium Exhibit, Parts 1 and 2	EO	EO	N/A	4/1	NAIC	
	15	Long-term Care Experience Reporting Forms	EO	EO	N/A	4/1	NAIC	
	16	Management Discussion & Analysis	EO	EO	N/A	4/1	Company	
	17	Market Conduct Annual Statement Premium Exhibit for Year	EO	EO	N/A	3/1	NAIC	
	18	Medicare Supplement Insurance Experience Exhibit	EO	EO	N/A	3/1	NAIC	
	19	Medicare Part D Coverage Supplement	EO	EO	N/A	3/1, 5/15, 8/15, 11/15	NAIC	
	20	Risk-Based Capital Report	EO	EO	N/A	3/1	NAIC	
	21	Schedule SIS	EO	N/A	N/A	3/1	NAIC	
	22	Supplemental Compensation Exhibit	EO	N/A	N/A	3/1	NAIC	O
	23	Supplemental Health Care Exhibit (Parts 1 and 2)	EO	EO	N/A	4/1	NAIC	
	24	Supplemental Investment Risk Interrogatories	EO	EO	N/A	4/1	NAIC	
	25	Supplemental Schedule O	EO	EO	N/A	3/1	NAIC	
	26	Supplemental Term and Universal Life Insurance Reinsurance Exhibit	EO	EO	N/A	4/1	NAIC	
	27	Trusteed Surplus Statement	EO	EO	N/A	3/1, 5/15, 8/15, 11/15	NAIC	
	28	Variable Annuities Supplement	EO	EO	N/A	4/1	NAIC	
	29	VM 20 Reserves Supplement	EO	EO	N/A	3/1	NAIC	
	30	Workers' Compensation Carve-Out Supplement	EO	EO	N/A	3/1	NAIC	
		Actuarial Related Items						
	31	Actuarial Certification regarding use 2001 Preferred Class Table	EO	EO	N/A	3/1	Company	
	32	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	EO	EO	N/A	3/1	Company	
	33	Actuarial Memorandum Related to Universal Life with Secondary Guarantee Policies required by Actuarial Guideline XXXVIII 8D	EO	N/A	N/A	4/30	Company	
	34	Actuarial Opinion	EO	EO	N/A	3/1	Company	
	35	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	EO	EO	N/A	3/1	Company	
	36	Actuarial Opinion on Synthetic Guaranteed Investment Contracts	EO	EO	N/A	3/1	Company	
	37	Actuarial Opinion on X-Factors	EO	EO	N/A	3/1	Company	
	38	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation	EO	EO	N/A	3/1	Company	
	39	Request for Life PBR Exemption (formerly called the Company-wide Exemption)	EO	EO	N/A	Commissioner 7/1 NAIC 8/15	Company	CC
	40	Executive Summary of the PBR Actuarial Report	See Valuation Filing Instructions	N/A	N/A	4/1	Company	U
	41	Life Summary of the PBR Actuarial Report	See Valuation Filing Instructions	N/A	N/A	4/1	Company	U
	42	Variable Annuities Summary of the PBR Actuarial Report	See Valuation Filing Instructions	N/A	N/A	4/1	Company	U
	43	PBR Actuarial Report	See Valuation Filing Instructions	N/A	N/A		Company	U
	44	RAAIS required by <i>Valuation Manual</i>	EO	N/A	N/A	4/1	Company	Q
	45	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV	EO	EO	N/A	3/1, 5/15, 8/15, 11/15	Company	
	46	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV	EO	EO	N/A	3/1, 5/15, 8/15, 11/15	Company	
	47	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)	EO	EO	N/A	3/1, 5/15, 8/15, 11/15	Company	

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			Domestic		Foreign			
			State	NAIC	State			
	48	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)	EO	EO	N/A	3/1,5/15, 8/15, 11/15	Company	
	49	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI	EO	EO	N/A	3/1,5/15, 8/15, 11/15	Company	
	50	RBC Certification required under C-3 Phase I	EO	EO	N/A	3/1	Company	
	51	RBC Certification required under C-3 Phase II	EO	EO	N/A	3/1	Company	
	52	Statement on non-guaranteed elements - Exhibit 5 Int. #3	EO	EO	N/A	3/1	Company	
	53	Statement on par/non-par policies – Exhibit 5 Int. 1&2	EO	EO	N/A	3/1	Company	
		III. ELECTRONIC FILING REQUIREMENTS						
	61	Annual Statement Electronic Filing	N/A	EO	N/A	3/1	NAIC	
	62	March .PDF Filing	N/A	EO	N/A	3/1	NAIC	
	63	Risk-Based Capital Electronic Filing	N/A	EO	N/A	3/1	NAIC	
	64	Risk-Based Capital .PDF Filing	N/A	EO	N/A	3/1	NAIC	
	65	Separate Accounts Electronic Filing	N/A	EO	N/A	3/1	NAIC	
	66	Separate Accounts .PDF Filing	N/A	EO	N/A	3/1	NAIC	
	67	Supplemental Electronic Filing	N/A	EO	N/A	4/1	NAIC	
	68	Supplemental .PDF Filing	N/A	EO	N/A	4/1	NAIC	
	69	Quarterly Statement Electronic Filing	N/A	EO	N/A	5/15, 8/15, 11/15	NAIC	
	70	Quarterly .PDF Filing	N/A	EO	N/A	5/15, 8/15, 11/15	NAIC	
	71	June .PDF Filing	N/A	EO	N/A	6/1	NAIC	
		IV. AUDIT/INTERNAL CONTROL RELATED REPORTS						
	81	Accountants Letter of Qualifications	EO	EO	N/A	6/1	Company	S
	82	Audited Financial Reports	EO	EO	N/A	6/1	Company	S
	83	Audited Financial Reports Exemption Affidavit	N/A	N/A	N/A		Company	S
	84	Communication of Internal Control Related Matters Noted in Audit	EO	EO	N/A	8/1	Company	S
	85	Independent CPA (change)	EO	N/A	N/A		Company	S
	86	Management’s Report of Internal Control Over Financial Reporting	EO	N/A	N/A	8/1	Company	S
	87	Notification of Adverse Financial Condition	EO	N/A	N/A		Company	S
	88	Relief from the five-year rotation requirement for lead audit partner	EO	EO	N/A	3/1	Company	S
	89	Relief from the one-year cooling off period for independent CPA	EO	EO	N/A	3/1	Company	S
	90	Relief from the Requirements for Audit Committees	EO	EO	N/A	3/1	Company	S
	91	Request for Exemption to File Management’s Report of Internal Control Over Financial Reporting	EO	N/A	N/A		Company	S
		V. STATE REQUIRED FILINGS						
	101	Certificate of Compliance	N/A	N/A	N/A		State	X
	102	Certificate of Deposit	N/A	N/A	N/A		State	X
	103	Certificate of Valuation	N/A	N/A	N/A		State	
	104	Corporate Governance Annual Disclosure	EO	N/A	N/A	6/1	Company	BB
	105	Filings Checklist (with Column 1 completed)	N/A	N/A	N/A		State	
	106	Form B-Holding Company Registration Statement	EO	N/A	N/A	3/31	Company	T
	107	Form F-Enterprise Risk Report ****	EO	N/A	N/A	3/31	Company	T
	108	ORSA	EO	N/A	N/A		Company	AA
	109	Premium Tax Do Not file with the Insurance Department	See Note D	N/A	See Note D		State	D
	110	State Filing Fees	1	N/A	1	Invoiced	State	C
	111	Signed Jurat	EO	N/A	EO	3/1	NAIC	G, H, I, M
	112	ORSA Summary Report Notice of Filing	EO	N/A	N/A	6/1	Company	AA
	113	Accountant’s “Awareness” Letter	EO	N/A	N/A		Company	S
	114	Exemption from Prohibited Non-Auditing Services	EO	N/A	N/A	6/1	Company	S
	115	Request for Extension to Filing	EO	N/A	N/A	5/21	Company	S
	116	Biographical Affidavits	EO	N/A	N/A		NAIC	V
	117	Certificate of Advertising Compliance	EO	N/A	EO	3/1	Company	W
	118	Changes in Governance	EO	N/A	EO		Company	Y
	119	Notification of Address Changes	EO	N/A	EO		NAIC	Z

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			Domestic		Foreign			
			State	NAIC	State			
	120	Annual Valuation Filing	EO	N/A	N/A		Company	U
	121	Legal Entity Grid	EO	N/A	N/A	7/1	NAIC	T
	122	Group Capital Calculation	EO	N/A	N/A	PA has not yet adopted		

LEGEND:

- N/A:** The filing is not required in Pennsylvania for the filer type. It may be required by the domiciliary state.
- EO:** Electronic Only filing. Filings submitted to the NAIC satisfy Pennsylvania’s filing requirement. Property 7 Casualty filings which are not otherwise submitted to the NAIC are to be emailed to Pennsylvania at RA-IN-LIFE-FRTRNL-TITL@PA.gov - In the alternative to EO for non-NAIC submitted documents, 2 hardcopies may be mailed to the Department.
- NAIC:** Form Source is the NAIC authorized vendor.

NOTES:

- Pennsylvania has adopted the NAIC Corporate Governance Annual Disclosure Model (“CGAD”) and annual disclosure is required of all insurers or insurance groups by June 1. The CGAD is a state filing and is not submitted to the NAIC. Note however, when prepared at the Group level, the CGAD is only required to be filed with the Group’s lead state but may also be submitted to Pennsylvania.
- Pennsylvania requires an annual Form F filing by Holding Company Groups. Consistent with the Form B filing requirements, the Form F is a state filing only and is not filed with the NAIC. Note: Form F is only required to be filed with the Group’s lead state but may also be submitted to Pennsylvania.
- Pennsylvania has adopted the NAIC’s Risk Management and Own Risk and Solvency Assessment Model Act (“ORSA”). The ORSA report is required annually by insurers and insurance groups meeting the established premium threshold established for the filing year. The ORSA is a state filing and is not submitted to the NAIC. Note however, when prepared at the Group level, the ORSA is only required to be filed with the Group’s lead state but may also be submitted to Pennsylvania. ORSA filers are to notify the Department of the expected filing date by June 1 (pursuant to 40 P.S. § 991.2605). and the filings are requested to be submitted no later than October 1.
- Refer to the 2022 NAIC *Annual Statement Instructions* and the 2023 NAIC *Quarterly Statement Instructions* for further guidance or contact the Company’s assigned PID analyst for further clarification.

		NOTES AND INSTRUCTIONS (A-M, R APPLY TO ALL FILINGS)	
	A	Required Domestic Filings Contact Person: Required Foreign Filings Contact Person:	Life Companies Financial Analysis Division E-Mail : RA-IN-ANALYSIS@PA.gov <u>Company Licensing Division</u> <u>E-mail : RA-IN-COMPANYLICENSE@PA.GOV</u>
	B	Domestic Insurer Mailing Address:	State: Life Insurance Companies ATTN: Administration 1100 Walnut Street, Suite 1500 Pennsylvania Insurance Department 1326 Strawberry Square Harrisburg, PA 17120 NAIC: NAIC Data Base Kansas City, MO 64106-2197 Phone: 816.783.8600
	:		

			<p>State: Company Licensing Division-for any questions or for filings not submitted to the NAIC E-mail : RA-IN-COMPANYLICENSE@PA.gov</p>
	C	Filing Fees:	<p>NOTE: Invoices will be issued electronically no later than March 31, 2023, to the contact on record detailing the applicable annual statement/license renewal fees. Please do not remit payment in advance of the invoice.</p> <p>There is a \$750 Annual Statement filing fee. The invoice for Foreign/Alien companies will have an additional \$100 fee for renewal of the Certificate of Authority.</p> <p>The Certificates of Authority for foreign insurers are not mailed but can be printed at any time by the Company. Annual renewal invoices will contain instructions for on-line printing of the foreign insurer’s renewed Certificate of Authority.</p> <p style="text-align: center;">Questions regarding the filing fees: Company Licensing Division Phone at 717.787.2735 E-Mail: RA-IN-COMPANYLICENSE@PA.GOV</p>
	D	Mailing Address for Premium Tax Payments:	<p>Premium tax filings are not processed by the Insurance Department. Rather, these are to be mailed to the address below:</p> <p style="text-align: center;">PA Department of Revenue 327 Walnut Street Floor 12 PO Box 280407 Harrisburg, PA 17128-2005</p> <p>See: http://www.revenue.pa.gov or submit questions to: https://revenue-pa.custhelp.com/</p> <p>Note: Receipt of filing with the PA Department of Revenue does not satisfy filing requirements of the Insurance Department. Filings received by the Department after March 1, may be penalized as authorized by law. 40 P.S. § 443(e)(1) and 40 P.S. § 991.1410 – not to exceed \$200 per day.</p>
	E	Submission Instructions:	<p>All filings must be electronically submitted to the NAIC or to the email account RA-IN-LIFE-FRTRNL-TITL@PA.gov on or prior to the indicated due date. If the due date is on a weekend or holiday, the due date is extended to the next business day.</p>
	F	Late Filings:	<p>Late filings will be penalized as authorized by law. 40 P.S. § 443(e)(1) and 40 P.S. § 991.1410 – not to exceed \$200 per day.</p>
	G	Original Signatures:	<p>A scanned copy of the original signature is permitted. Filings may not carry stamped facsimile signatures.</p>
	H	Signature/Notarization / Certification:	<p>The following three officers, or a person(s) performing similar functions, of Pennsylvania domiciled insurers are required to certify on the Jurat Page, Quarterly and Annual Financial Statements filed with Pennsylvania Insurance Department, NAIC and other states:</p> <p style="text-align: center;">1) Chief Executive Officer</p>

			<p>2) Chief Financial Officer 3) Corporate Secretary</p> <ul style="list-style-type: none"> • If the Company does not utilize the above titles, please notify the Financial Analysis Division and explain how the positions of the individuals signing the financial statement perform similar functions to a CEO (President), CFO (Treasurer) or Secretary. • Individuals performing the duties of both CFO and Secretary must sign separately under each title. • Appropriate notarization is required. • The name and address of any consulting person or organization who participated in the preparation of the annual statement must be noted on the Jurat Page of the statement. • PA has no requirements that individuals must be listed in the “Other” category. <p>Foreign/Alien Insurers: If your domestic state accepts less than three signatures on the Jurat Page, please provide proof of this with your submission to PA.</p>
	I	Amended Filings:	<ul style="list-style-type: none"> • Domestic company amended items must be filed with Pennsylvania and the NAIC. Amendments are to be filed along with a letter of explanation for each amended item and a statement as to what impact the amendments had on the year end Risk Based Capital Report. Only the amended pages should be filed. • If any amendments are determined by the company to impact the results of the RBC calculation as reported on the Five-Year Historical page of the annual statement, then a revised RBC report must be filed along with an amended Five- Year Historical page with Pennsylvania and the NAIC. • A new Jurat page completed in all respects, must accompany all amendments. Signature requirements for the original filing noted above in Notes G and H should be followed for any amendment.
	J	Exceptions from normal filings:	Please note that there is no provision in the insurance laws of Pennsylvania that permit granting an extension for the filing of the annual or quarterly statements.
	K	Bar Codes (State or NAIC):	Required for PA and NAIC filings. Please follow the instructions in the NAIC <i>Annual Statement Instructions</i> .
	L	NONE Filings:	Blank items, i.e., schedules, interrogatory responses, supplemental compensation exhibit or Notes to the Financial Statements will not be considered properly filed. If no entries are to be made, write “None”, “Not Applicable” or “No Changes” to complete the item in accordance with the NAIC <i>Annual and Quarterly Statement Instructions</i> .
	M	Vendors for Blanks	The NAIC provides a list of vendors of annual, quarterly and risk-based capital software vendors at: http://www.naic.org/industry_filing_participation_vendors.htm The Department does not endorse or promote any individual private software vendor.

O	Supplemental Compensation Exhibit	<p>Part 1, Part 2, and Part 3 follow the NAIC <i>Annual Statement Instructions</i>. Part 2 modification ONLY for Pennsylvania domestic insurers that are licensed in Pennsylvania and are required to file the Supplemental Compensation Exhibit.</p> <p>Insurers shall disclose the compensation of:</p> <ol style="list-style-type: none"> 1. The chief executive officer, 2. Up to four additional persons, regardless of amount, in the following sequence: <ol style="list-style-type: none"> a. Remaining officers whose compensation is not limited to a de minimis fee for attendance at meetings of the board of directors, b. Non-officer employees whose compensation exceeds \$100,000 annually. <p>Omission of filing this exhibit, or filing this exhibit marked NONE is not acceptable.</p>
Q	Regulatory Asset Adequacy Issues Summary	<p>Domestic Insurers: In addition to the Statement of Actuarial Opinion filed with the annual financial statements on or before March 1 each year, Pennsylvania requires the filing of a Regulatory Asset Adequacy Issues Summary (RAAIS) by April 1. Details of the RAAIS may be found in VM-30 of the NAIC <i>Valuation Manual</i>. The RAAIS will be maintained Confidential, should be clearly marked as such, and provided in a separate document from the Statement of Actuarial Opinion.</p> <p>Foreign/Alien Insurers: The RAAIS is not required to be filed with Pennsylvania.</p>
R	Resources Available from NAIC	Detailed guidance on accessing various resources available from the NAIC to assist in filing accurate statements can be found at Accounting and Reporting Resources .
S	Audit/Internal Control Related Reports	Notes related to Section IV have been consolidated into a separate memo found under Companies (a drop-down near top right), Filing Requirements, Life, Accident & Health, and then select Audit/Internal Control Related Reports .
T	Annual & Other Holding Company Requirements	Companies subject to the Holding Company Registration Act can find forms on the Department's website at Holding Company Related Forms.
U	Annual Valuation Filing	Detailed guidance to assist companies that report reserve liabilities on their annual statement can be found at Life Company Valuation Filing Instructions or at Fraternal Valuation Filing Instructions
V	Biographical Affidavits: Bio Form	<p>All pages of the NAIC biographical affidavit are to be completed. Incomplete affidavits will be considered unfiled. All bios should be updated for current officers and directors at the time any of the information changes.</p> <p>Bios for domestic companies must be filed with a wet signature scan and kept current for officers and directors.</p> <p>For domestic companies, the Department requires original bios to be filed for all officers and directors listed on Jurat page:</p> <ul style="list-style-type: none"> • When a new officer or director is named. • When the information of any current officer and/or director changes. • When the last bio filed with the Department is five years old. <p>UCAA Form 11 (naic.org)</p>

			Foreign/Alien Filers: Bios are not to be filed if these are submitted to the state of domicile.
	W	Certificate of Advertising Compliance	<p>Companies required to file an annual statement shall also file a Certificate of Advertising pursuant to 31 Pa. Code § 51.5, stating that the advertisements disseminated by the Company complied with or were made to comply in all respects with provisions of PA insurance laws and regulations. The Certificate must be executed by an authorized officer of the company.</p> <p>The Pennsylvania Insurance Department does not dictate a required form. Companies should submit their Certificates of Advertising Compliance on Company authorized letterhead. Certificates should be sent directly to:</p> <p style="text-align: center;">Email: RA-IN-Life-Frtrnl-Titl@pa.gov</p>
	X	Certificates of Compliance and Deposit	<p>Domestic insurers may request Certificates of Compliance. Domestic insurers with securities on deposit with the Commonwealth of Pennsylvania may request Certificates of Deposit. The cost is \$20 per certificate. The Department requires payment in advance in the form of a check payable to the “Commonwealth of Pennsylvania.” The Department will not invoice for the certificates. A cover letter should accompany the payment and include the following details:</p> <ul style="list-style-type: none"> • Company name • NAIC number • Certificate type(s) requested • Number of certificates requested • Date that you would like the certificates prepared “as of” (note: the date of receipt of the request will be used by the Department unless another date acceptable to the Department is requested by the company) • Mailing address for the certificates <p style="text-align: center;">Requests should be sent to: Company Licensing Division Pennsylvania Insurance Department 1345 Strawberry Square Harrisburg, PA 17120 Or call the Company Licensing Division at 717.787.2735</p>
	Y	Changes in Governance	<p>Changes made during the year in the bylaws or Articles of Incorporations are to be submitted via email to:</p> <p style="text-align: center;">RA-IN-COMPANYLICENSE@PA.gov</p> <p style="text-align: center;">Or mailed to:</p> <p style="text-align: center;">Company Licensing Division Pennsylvania Insurance Department 1345 Strawberry Square Harrisburg, PA 17120 Phone: 717.787-2735</p> <p>There is a filing fee of \$300 for restating or amending the Articles of Incorporation, no filing fee for changes to the bylaws. Note that amendments to the Articles of Incorporation require the prior approval of the Insurance Department (i.e. Name Change, recapitalization, etc.). Amended bylaws of some domestic Insurers</p>

			require prior approval of the Insurance Department pursuant to 40 P.S. § 991.2422(b) and 40 Pa. C.S.A. § 6328.
	Z	Notification of Address Changes	Changes the Statutory Home Office or Mailing Address, require submission of the applicable NAIC UCAA Form (2c or 14) https://www.naic.org/industry_ucaa.htm and filed electronically through the UCAA system.
	AA	ORSA	ORSA filers are to notify the Department of the expected filing date by June 1 (pursuant to 40 P.S. § 991.2605), and filings are requested to be received no later than October 1. For guidance in preparing the ORSA, see the “ORSA Guidance Manual” on the NAIC website.
	BB	Corporate Governance Annual Disclosure (CGAD)	The PA CGAD filing due date is June 1. https://www.insurance.pa.gov/Companies/FilingRequire/Documents/CGAD%20posted%20to%20website.pdf
	CC	Request for Life PBR Exemption (formerly called the Company-wide Exemption)	Consistent with Section 7142 of the Pennsylvania Standard Valuation Law, the Department continues to require the annual filing of a Life PBR Statement of Exemption Form from any domestic entity seeking an exemption from PBR for life insurance policies acquired in the current calendar year.

**General Instructions
For Companies to Use Checklist**

Pennsylvania’s instructions for companies to file with the NAIC are included in this Checklist. Electronic Filing is intended to be filing(s) submitted to the NAIC via the NAIC Internet Filing Site. Companies are not required to file these same documents separately with PA, nor are hard copy filings required.

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.

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

Please note the Department requests electronic filings. In the alternative, two hardcopies can be accepted.

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” indicating the source of the filing Form. In the case of “Company”, the filer is to develop the form based upon the current state requirements and/or 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.