

FOREIGN SURPLUS LINES INSURERS

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: LOUISIANA Filings Made During the Year 2010

(1) Check-list	(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				
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 1/2" x 14")	0	EO	xxx	3/1	NAIC	A, B, E-O
	1.1	Printed Investment Schedule detail (Pages E01-E27)	0	EO	xxx	3/1	NAIC	A, B, E-O
	2	Quarterly Financial Statement (8 1/2" x 14")	0	EO	xxx	5/15, 8/15, 11/15	NAIC	A, B, E-O
	3	Protected Cell Annual Statement	0	0	xxx	3/1	NAIC	A, B, E-O
	4	Combined Annual Statement (8 1/2" x 14")	0	EO	xxx	5/1	NAIC	A, B, E-O
		II. NAIC SUPPLEMENTS						
	10	Accident & Health Policy Experience Exhibit	0	EO	xxx	4/1	NAIC	A, B, E-O
	11	Actuarial Opinion Summary	0	N/A	xxx	3/15	Company	A, B, E-O
	12	Bail Bond Supplement	2	EO	xxx	3/1	NAIC	A, B, E-O
	13	Combined Insurance Expense Exhibit	0	EO	xxx	5/1	NAIC	A, B, E-O
	14	Credit Insurance Experience Exhibit	0	EO	xxx	4/1	NAIC	A, B, E-O
	15	Exceptions to Reinsurance Attestation Supplement	0	N/A	xxx	3/1	Company	A, B, E-O
	16	Financial Guaranty Insurance Exhibit	0	EO	xxx	3/1	NAIC	A, B, E-O
	17	Investment Risk Interrogatories	0	EO	xxx	4/1	NAIC	A, B, E-O
	18	Insurance Expense Exhibit	0	EO	xxx	4/1	NAIC	A, B, E-O
	19	Long Term Care Experience Reporting Forms	0	EO	xxx	4/1	NAIC	A, B, E-O
	20	Management Discussion & Analysis	0	EO	xxx	4/1	Company	A, B, E-O
	21	Medicare Supplement Insurance Experience Exhibit	0	EO	xxx	3/1	NAIC	A, B, E-O
	22	Medicare Part D Coverage Supplement	0	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	A, B, E-O
	23	Premiums Attributed to Protected Cells Exhibit	0	EO	xxx	3/1	NAIC	A, B, E-O
	24	Reinsurance Attestation Supplement	0	EO	xxx	3/1	Company	A, B, E-O
	25	Reinsurance Summary Supplemental	0	EO	xxx	3/1	NAIC	A, B, E-O
	26	Risk-Based Capital Report	0	EO	xxx	3/1	NAIC	A, B, E-O
	27	Schedule SIS	0	N/A	N/A	3/1	NAIC	A, B, E-O
	28	Statement of Actuarial Opinion	0	EO	xxx	3/1	Company	A, B, E-O
	29	Supplement A to Schedule T	0	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	A, B, E-O
	30	Supplemental Compensation Exhibit	0	N/A	N/A	3/1	NAIC	A, B, E-O
	31	Trusteed Surplus Statement	0	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	A, B, E-O
		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	Risk-Based Capital Electronic Filing	xxx	1	N/A	3/1	NAIC	
	53	Risk-Based Capital .PDF Filing	xxx	1	N/A	3/1	NAIC	
	54	Combined Annual Statement Electronic Filing	xxx	1	xxx	5/1	NAIC	
	55	Combined Annual Statement .PDF Filing	xxx	1	xxx	5/1	NAIC	
	56	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	57	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	58	Quarterly Statement Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	59	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	60	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
		IV. AUDITED FINANCIAL STATEMENTS						
	71	Accountants Letter of Qualifications	0	N/A	N/A	6/1	Company	A, B, E, F, I, J, K, O
	72	Audited Financial Statements	0	EO	1	6/1	Company	A, B, E, F, I, J, K, O
	73	Audited Financial Statements Exemption Affidavit	0	N/A	1	5/22	Company	A, B, E, F, I, J, K, O
	74	Independent CPA	0	N/A	N/A	6/1	Company	A, B, E, F, I, J, K, O
	75	Notification of Adverse Financial Condition	0	N/A	1	6/1	Company	A, B, E, F, I, J, K, O
	76	Report of Significant Deficiencies in Internal Controls	0	N/A	1	6/1	Company	A, B, E, F, I, J, K, O
	77	Request for Exemption to File	0	N/A	1	5/22	Company	A, B, E, F, I, J, K, O
	78	Request to File Consolidated Audited Annual Statements	0	N/A	1	5/22	Company	A, B, E, F, I, J, K, O
		V. STATE REQUIRED FILINGS						
	101	Certificate of Compliance	0	0	1	3/1	State	A, B, E, F, O
	102	Certificate of Deposit	0	0	1	3/1	State	A, B, E, F, O
	103	Filings Checklist (with Column 1 completed)	0	0	1	3/1, 5/15, 8/15, 11/15	State	A, B, E-O
	104	Annual Fee *** See Form 1262.1 ***	0	0	1	3/1	State	C, D, E, F
	105	Producer Production Report (Form 1262.1)	0	0	1	4/15	State	C, D, E, F
	106	Signed Jurat	xxx	xxx	1	3/1, 5/15, 8/15, 11/15	NAIC	A, B, E-O
	107	Holding Company Registration Statement (Forms B & C)	0	N/A	N/A	4/30	Company	A, B, E-O

*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.

	NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
A	Required Filings Contact Person:	Stewart Guerin (225) 219-3929 sguerin@ldi.state.la.us
B	Mailing Address:	Louisiana Department of Insurance P.O. Box 94214 Baton Rouge, LA 70804-9214 Attn: Administrative Services
C	Mailing Address for Filing Fees: *** Filing Fees are included in the Producer Production Report (Form 1262.1) ***	See Note D below
D	Mailing Address for Annual Fee Payments: (Questions regarding premium taxes, or filing fees, should be directed to Tommy Coco, (225) 342-1012, tcoco@ldi.state.la.us)	Louisiana Department of Insurance P.O. Box 94214 Baton Rouge, LA 70804-9214 Attn: Tax Division
E	Delivery Instructions:	All filings must be <u>postmarked</u> no later than the indicated due date. All items must be delivered through the US Postal Service in accordance with LDOI Rule No. 12. If the due date falls on a weekend or holiday, the deadline is extended to the next business day.
F	Late Filings:	All filings not delivered in accordance with Note E above will be considered late, and may be subject to regulatory action including fines and/or suspension.
G	Original Signatures:	Foreign companies should follow the NAIC Annual Statement Instructions.
H	Signature/Notarization/Certification:	Signatures of at least two principal officers are required for Annual and Quarterly Statement filings.
I	Amended Filings:	Amended items must be filed within 10 days of their amendment, along with an explanation of the amendments. If there are signature requirements for the original filing, same should be followed for any amendment.
J	Exceptions from normal filings:	Foreign companies shall supply a written copy of any exemption or extension received by its state of domicile at least 10 days prior to the filing due date to receive such from Louisiana.
K	Bar Codes (State or NAIC):	Not Applicable
L	Signed Jurat:	In lieu of Annual and Quarterly Statement filings, foreign companies shall submit a signed Jurat Page.
M	NONE Filings:	“NONE” Filings are not required.
N	Filings new, discontinued or modified materially since last year:	No longer required: <i>Forms 119 & 330</i> <i>Stop Loss Worksheet</i>
O	Physical Street Address:	1702 North Third Street Baton Rouge, LA 70802

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

The *Supplemental .PDF Filing* is the .pdf file for all supplemental schedules and exhibits due April 1.

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

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

The *Combined Annual Statement Electronic Filing* includes the required pages of the combined annual statement and the combined Insurance Expense Exhibit.

The *Combined Annual Statement .PDF Filing* is the .pdf file for the Combined annual statement data and the combined Insurance Expense Exhibit.

The *June .PDF Filing* is the .pdf file for the Audited Financial Statements.

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. 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.