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| Corporate Records:1. Any amendments to the Articles of Incorporation or Bylaws since last examination.  |
| 2. Stock register, Stock Stub Book, and narrative description of concentration of ownership and ultimate controlling person(s) if not obvious from stock register/stub book. |
| 3. Minutes of **all** meetings held by shareholders, board, and committees appointed by the board during the examination period.  |
| 4. List of all functioning Committees together with their purpose and membership (if not easily determined by reading minutes). |
| 5. Investment Policy (and whether documented in minutes or part of policy and procedures manual or a stand-alone document approved by the board). |
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| Management and Control:6. List of Board of Directors as of examination date and their other business affiliations including positions held in both affiliated and non-affiliated companies. |
| 7. List of officers serving as of examination date and other business affiliations including positions held in both affiliated and non-affiliated companies. |
| 8. If changes have been made to officers and directors subsequent to the examination date, provide other business affiliations of new officers and directors. |
| 9. Provide a copy of your Conflict-of-Interest Procedure and evidence of its approval by the Board. Provide completed conflict of interest disclosure statements for each year being examined. |
| 10. Provide a list of any and all management or service agreements in effect during and subsequent to the examination period to which the Company was or is a party. Please include effective dates. This list should include all affiliated agreements. |
| 11. Provide evidence that each director serving as of the examination date filed with the secretary of the corporation a written acceptance of his/her trust. |
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| Fidelity Bond and Other Insurance12. Provide a copy of the declaration page of all policies of insurance for which the Company is a named insured. Provide evidence that the policies were/are in force by showing proof of payment of premium. |
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| Market Conduct13. Provide a list of policy forms in use. |
| 14. Provide a copy of your complaint register (if voluminous, provide access.) |
| 15. Provide samples of your advertising and sales materials. |
| 16. Provide an overview of the Company’s plan for putting business on the books. |
| Reinsurance17. Provide a copy of all reinsurance contracts in effect during the examination period. |
| Deposits18. Provide name and address of the bank or trust and account number for your statutory or special deposits. |
| 19. Provide name, address, and account numbers for all bank and custodial accounts. |
| Accounts and Records20. Provide a copy of all custodial/safekeeping agreements with banks/trust companies. |
| Background Materials21. Provide an organization chart for the holding company, for the company, and for the accounting department. |
| 22. Provide job descriptions and resumes for key officers/staff.  |
| 23. Provide a list of internal audit reports issued during the exam period. |
| 24. Complete Exhibit B, Examination Planning Questionnaire (you may reference above items where appropriate.) |
| Narratives:25. Provide a narrative description of your marketing system and agency operations. Include agents’ authority to bind. |
| 26. Provide a narrative description for the following areas:* Underwriting methods/practices. Provide a copy of underwriting guides in use.
* Accounting processes and systems.
* Premium
* Claims
* Investments
* Cash
* Accounts payable
* Reinsurance
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| 27. Provide a copy of your trial balance for all years under review, and a copy of the general ledger for the most recent year.  |
| 28. Provide your most recent unclaimed property reports.  |
| 29. Provide a description of your process for allocating premium and municipal taxes. As well as copies of the most recently filed statements.  |