

MEXICAN CASUALTY INSURERS (10-23-2018)

Pursuant to 59S-40-1 through 9 NMSA 1978

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: _____ Filings Made During the Year 2019

YELLOW INDICATES NEW FORMS ADDED AND RENUMBERING

(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" x 14")	1	NONE	NONE	3/1	NAIC	A-M
	1.1	Printed Investment Schedule detail (Pages E01-E27)	1	NONE	NONE	3/1	NAIC	A-M
	2	Quarterly Financial Statement (8 ½" x 14")	1	NONE	NONE	5/15, 8/15, 11/15	NAIC	A-M
	3	Protected Cell Annual Statement	1	NONE	NONE	3/1	NAIC	A-M
	4	Combined Annual Statement (8 ½" x 14")	1	NONE	NONE	5/1	NAIC	A-M
II. NAIC SUPPLEMENTS								
	11	Accident & Health Policy Experience Exhibit	1	NONE	NONE	4/1	NAIC	A-M
	12	Actuarial Opinion	1	NONE	NONE	3/1	Company	A-M
	13	Actuarial Opinion Summary	1	NONE	NONE	3/15	Company	A-M
	14	Bail Bond Supplement	1	NONE	NONE	3/1	NAIC	A-M
	15	Combined Insurance Expense Exhibit	1	NONE	NONE	5/1	NAIC	A-M
	16	Credit Insurance Experience Exhibit	1	NONE	NONE	4/1	NAIC	A-M
	17	Cybersecurity and Identity Theft Insurance Coverage Supplement	1	NONE	NONE	4/1	NAIC	A-M
	18	Director and Officer Insurance Coverage Supplement	1	NONE	NONE	3/1, 5/15, 8/15, 11/15	NAIC	A-M
	19	Financial Guaranty Insurance Exhibit	1	NONE	NONE	3/1	NAIC	A-M
	20	Insurance Expense Exhibit	1	NONE	NONE	4/1	NAIC	A-M
	21	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit	1	NONE	NONE	4/1	NAIC	A-M
	22	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form	1	NONE	NONE	4/1	NAIC	A-M
	23	Long-Term Care Experience Reporting Forms	1	NONE	NONE	4/1	NAIC	A-M
	24	Management Discussion & Analysis	1	NONE	NONE	4/1	Company	A-M
	25	Medicare Part D Coverage Supplement	1	NONE	NONE	3/1, 5/15, 8/15, 11/15	NAIC	A-M
	26	Medicare Supplement Insurance Experience Exhibit	1	NONE	NONE	3/1	NAIC	A-M
	27	Premiums Attributed to Protected Cells Exhibit	1	NONE	NONE	3/1	NAIC	A-M
	28	Reinsurance Attestation Supplement	1	NONE	NONE	3/1	Company	A-M
	29	Exceptions to Reinsurance Attestation Supplement	1	NONE	NONE	3/1	Company	A-M
	30	Reinsurance Summary Supplemental	1	NONE	NONE	3/1	NAIC	A-M
	31	Risk-Based Capital Report	1	NONE	NONE	3/1	NAIC	A-M
	32	Schedule SIS	1	NONE	NONE	3/1	NAIC	A-M
	33	Supplement A to Schedule T	1	NONE	NONE	3/1, 5/15, 8/15, 11/15	NAIC	A-M
	34	Supplemental Compensation Exhibit	1	NONE	NONE	3/1	NAIC	A-M
	35	Supplemental Health Care Exhibit (Parts 1, 2 and 3)	1	NONE	NONE	4/1	NAIC	A-M
	36	Supplemental Health Care Exhibit's Allocation Report Supplement	1	NONE	NONE	4/1	NAIC	A-M
	37	Supplemental Investment Risk Interrogatories	1	NONE	NONE	4/1	NAIC	A-M
	38	Supplemental Schedule for Reinsurance Counterparty Reporting Exception – Asbestos and Pollution Contracts	1	NONE	NONE	3/1	NAIC	A-M
	39	Trusteed Surplus Statement	1	NONE	NONE	3/1, 5/15, 8/15, 11/15	NAIC	A-M

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			Domestic		Foreign			
			State	NAIC	State			
III. ELECTRONIC FILING REQUIREMENTS								
	61	Annual Statement Electronic Filing	1	NONE	NONE	3/1	NAIC	A-M
	62	March .PDF Filing	1	NONE	NONE	3/1	NAIC	A-M
	63	Risk-Based Capital Electronic Filing	1	NONE	NONE	3/1	NAIC	A-M
	64	Risk-Based Capital .PDF Filing	1	NONE	NONE	3/1	NAIC	A-M
	65	Combined Annual Statement Electronic Filing	1	NONE	NONE	5/1	NAIC	A-M
	66	Combined Annual Statement .PDF Filing	1	NONE	NONE	5/1	NAIC	A-M
	67	Supplemental Electronic Filing	1	NONE	NONE	4/1	NAIC	A-M
	68	Supplemental .PDF Filing	1	NONE	NONE	4/1	NAIC	A-M
	69	Quarterly Statement Electronic Filing	1	NONE	NONE	5/15, 8/15, 11/15	NAIC	A-M
	70	Quarterly .PDF Filing	1	NONE	NONE	5/15, 8/15, 11/15	NAIC	A-M
	71	June .PDF	1	NONE	NONE	6/1	NAIC	A-M
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
	81	Accountants Letter of Qualifications	1	NONE	NONE	6/1	Company	A-M
	82	Audited Financial Reports	1	NONE	NONE	6/1	Company	A-M
	83	Audited Financial Reports Exemption Affidavit	1	NONE	NONE		Company	A-M
	84	Communication of Internal Control Related Matters Noted in Audit	1	NONE	NONE	8/1	Company	A-M
	85	Independent CPA (change)	1	NONE	NONE		Company	A-M
	86	Management's Report of Internal Control Over Financial Reporting	1	NONE	NONE	8/1	Company	A-M
	87	Notification of Adverse Financial Condition	1	NONE	NONE		Company	A-M
	88	Relief from the five-year rotation requirement for lead audit partner	1	NONE	NONE	3/1	Company	A-M
	89	Relief from the one-year cooling off period for independent CPA	1	NONE	NONE	3/1	Company	A-M
	90	Relief from the Requirements for Audit Committees	1	NONE	NONE	3/1	Company	A-M
	91	Request to File Consolidated Audited Annual Statements	1	NONE	NONE		Company	A-M
	92	Request for Exemption to File Management's Report of Internal Control Over Financial Reporting	1	NONE	NONE		Company	A-M
V. STATE REQUIRED FILINGS								
	101	Corporate Governance Annual Disclosure***	***	NONE	NONE	6/1	Company	***
	102	Filings Checklist (with Column 1 completed)	0	NONE	NONE	0	State	
	103	Form B-Holding Company Registration Statement	1	NONE	NONE	4/15	Company	A-M
	104	Form C-Holding Company Registration Statement	1	NONE	NONE	4/15	Company	A-M
	105	Form F-Enterprise Risk Report ****	1	NONE	NONE	9/15	Company	A-M
	106	ORSA *****	1	NONE	NONE	9/1	Company	A-M
	109	Signed Jurat	2	NONE	NONE	3/1	NAIC	L
	107	Annual Statement Filing Fee	\$200	0	\$200	3/1	State website	C
	108	Annual Continuation of Certificate of Authority					State website	C
	109	Premium Tax Payment and Reporting					State website	D
	110	Fraud Assessment					State website	C
	111	Property and Casualty Filing Fees					State website	C

*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.

***For those states that have adopted the NAIC Corporate Governance Annual Disclosure Model Act, an annual disclosure is required of all insurers or insurance groups by June 1. The Corporate Governance Annual Disclosure is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state if filed at the insurance group level. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm.

**** New Mexico Office of Superintendent of Insurance has adopted the NAIC updated Holding Company Model Act, a Form F filing which is required annually by holding company groups. Refer to Section 59A-37 and NMAC 13.2.2.7. Consistent with the Form B filing requirements, the Form F is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is

intended to be submitted to the lead state. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm

***** The New Mexico Office of Superintendent of Insurance requires filing of the Risk Management and Own Risk and Solvency Assessment Model Act (ORSA) Summary Report pursuant to Section 59A-4-3 and 59A-5-29 for companies with written premiums in excess of 1 billion dollars. For those states that have adopted the NAIC updated ORSA, a summary report is required annually by insurers and insurance groups above a specified premium threshold. Consistent with the Form B filing requirements. The ORSA Summary Report is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state if filed at the insurance group level. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Filings Contact Person: Go to State web page the following link: https://www.osi.state.nm.us/Examinations/examinationscontacus.aspx	Examination Bureau Mark Jordan 505- 827-4655 mark.jordan@state.nm.us
	B	Mailing Address: Go to State web page the following link: https://www.osi.state.nm.us/Examinations/examinationscontacus.aspx	Office of Superintendent of Insurance Examination Bureau Room 440 Attn: Mark Jordan P.O. Box 1689 Santa Fe, NM 87504-1689
	C	Mailing Address for Filing Fees:	<p>2018 Annual Statement Filing Fee Invoices are due by March 1 2016. Invoices shall be available on our web page in February 2019. Use the “Edit/Find” function to search for your company’s invoice at the web link using you NAIC CoCode. Print the invoice and follow the electronic payment instructions. Both the invoices and the instructions can be found at the following link:</p> <p>https://www.osi.state.nm.us/Examinations/index.aspx</p> <p>Filing fees and instructions for renewal or continuation of Certificate of Authority are found at the following link:</p> <p>https://www.osi.state.nm.us/CompanyLicensing/renewalinfo.aspx</p> <p>Filing fees and instructions payment of Fraud Assessment are found at the following link:</p> <p>https://www.osi.state.nm.us/FraudBureau/InsuranceFraud.aspx</p> <p>For instructions for payment of Property and Casualty Filing Fees go to the following link:</p> <p>https://www.osi.state.nm.us/PropertyCasualty/index.aspx</p>
	D	Mailing Address for Premium Tax Payments:	Follow this link to our web page for all information in regard to Premium Taxes: https://www.osi.state.nm.us/FinancialAudit/index.aspx

E	Delivery Instructions:	<p>All hard copy filings must bear U.S. postmark or courier service pick-up date no later than the indicated due date. New Mexico domestic company electronic filing must be received by the contact person no later than the indicated due date. Electronic (PDF) versions of filings shall be sent by email. If file is too large send through email send to your FTP site and provide instructions by email to the contact person so they can download filing. Do not send Zip files. They will be blocked by our firewall. Use the following delivery address:</p> <p>Office of Superintendent of Insurance Examination Bureau Room 440 Attn: Mark Jordan 1120 Paseo de Peralta Santa Fe, NM 87501</p>
F	Late Filings:	The superintendent may grant for good cause, on or before March 1, a reasonable extension of time for filing the annual statement. Send all requests for filing extensions to the Examination Bureau contact before the due date of the filed item.
G	Original Signatures:	Follow NAIC instructions when providing signatures and notary/certification
H	Signature/Notarization/Certification:	Follow NAIC instructions when providing signatures and notary/certification.
I	Amended Filings:	Amended items must be filed within 10 days of their amendment, along with an explanation of what, why filing was amended. Signature requirements for amendments are the same as for the original filing.
J	Exceptions from normal filings:	The superintendent may grant for good cause, on or before March 1, a reasonable extension of time for filing the annual statement. Send all requests for filing extensions to the Examination Bureau contact before the due date of the filed item.
K	Bar Codes (State or NAIC):	New Mexico does not use Bar Codes but NAIC does. Please refer to NAIC filing requirements.
L	Signed Jurat:	The Jurat is required for domestic companies only and is to be submitted with the Annual and Quarterly Financial Statement Filing.
M	NONE Filings:	Follow NAIC filing requirements

	N	Filings new, discontinued or modified materially since last year:	<ol style="list-style-type: none"> 1. See yellow highlight on Checklists for new filings. 2. Do not sending Checklist with each filing. 3. Send 1 hard copy of Audit Report - New Mexico domicile Companies only. 4. Electronic Payments Only for Annual Statement Fee and Premium Tax.

**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 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 *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 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 (EX) 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 (EX) 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.

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