

**TITLE COMPANIES (ver. 12-10-2019)**

COMPANY NAME: \_\_\_\_\_ NAIC Company Code: \_\_\_\_\_

Contact: \_\_\_\_\_ Telephone: \_\_\_\_\_

REQUIRED FILINGS IN THE STATE OF: New Mexico

Filings Made During the Year 2020

(1) Checklist	(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				
<b>I. NAIC FINANCIAL STATEMENTS</b>								
	1	Annual Statement (8 1/2" x 14")	NONE	EO	XXX	3/1	NAIC	B, C-L
	1.1	Investment Schedule detail (Pages E01-E29)	NONE	EO	XXX	3/1	NAIC	B, C-L
	2	Quarterly Financial Statement (8 1/2" x 14")	NONE	EO	XXX	5/15, 8/15, 11/15	NAIC	B, C-L
<b>II. NAIC SUPPLEMENTS</b>								
	11	Actuarial Opinion	NONE	EO	XXX	3/1	Company	B, C-L
	12	Investment Risk Interrogatories	NONE	EO	XXX	4/1	NAIC	B, C-L
	13	Management Discussion & Analysis	NONE	EO	XXX	4/1	Company	B, C-L
	14	Schedule SIS	NONE	N/A	N/A	3/1	NAIC	B, C-L
	15	Supplemental Compensation Exhibit	NONE	N/A	N/A	3/1	NAIC	B, C-L
	16	Supplemental Schedule of Business Written By Agency	NONE	N/A	XXX	4/1	NAIC	B, C-L
<b>III. ELECTRONIC FILING REQUIREMENTS</b>								
	61	Annual Statement Electronic Filing	NONE	EO	XXX	3/1	NAIC	B, C-L
	62	March .PDF Filing	NONE	EO	XXX	3/1	NAIC	B, C-L
	63	Supplemental Electronic Filing	NONE	EO	XXX	4/1	NAIC	B, C-L
	64	Supplemental .PDF Filing	NONE	EO	XXX	4/1	NAIC	B, C-L
	65	Quarterly Statement Electronic Filing	NONE	EO	XXX	5/15, 8/15, 11/15	NAIC	B, C-L
	66	Quarterly .PDF Filing	NONE	EO	XXX	5/15, 8/15, 11/15	NAIC	B, C-L
	67	June .PDF Filing	NONE	EO	XXX	6/1	NAIC	B, C-L
<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>								
	81	Accountants Letter of Qualifications	NONE	EO	N/A	6/1	Company	B, C-L
	82	Audited Financial Reports	NONE	EO	0	6/1	Company	B, C-L
	83	Audited Financial Reports Exemption Affidavit	NONE	N/A	N/A		Company	B, C-L
	84	Communication of Internal Control Related Matters Noted in Audit	NONE	N/A	N/A	8/1	Company	B, C-L
	85	Independent CPA (change)	NONE	N/A	N/A		Company	B, C-L
	86	Management's Report of Internal Control Over Financial Reporting	NONE	N/A	N/A	8/1	Company	B, C-L
	87	Notification of Adverse Financial Condition	NONE	N/A	N/A		Company	B, C-L
	88	Request for Exemption to File	NONE	N/A	N/A		Company	B, C-L
	89	Relief from the five-year rotation requirement for lead audit partner	NONE	EO	0	3/1	Company	B, C-L
	90	Relief from the one-year cooling off period for independent CPA	NONE	EO	0	3/1	Company	B, C-L
	91	Relief from the Requirements for Audit Committees	NONE	EO	0	3/1	Company	B, C-L
<b>V. STATE REQUIRED FILINGS***</b>								
	101	Corporate Governance Annual Disclosure***	Not Required - New Mexico has not adopted this NAIC model law.					
	102	Filings Checklist (with Column 1 completed)	Not Required - Retain this document for Company record.					
	103	Form B & C Holding Company Registration Statement	EO	0	0	4/15	Company	B, C-L
	104	Form F-Enterprise Risk Report ****	EO	0	0	9/15	Company	B, C-L
	105	ORSA *****	*****	0	0	9/1	Company	*****
	106	Signed Jurat	2	0	XXX	3/1	NAIC	J
	107	Title Insurance Agent's Statistical Report (ASR)	EO	NONE	AGENT	5/15	State website	M
	108	Title Insurance Underwriters Statistical Report with a copy of Schedule T from the Annual Statement Filing.	EO	NONE	1	5/15	State website	N
	109	Agreed Upon Procedures (AUP)	EO	NONE	0	5/15	State website	O
	110	Annual Statement Filing Fee	<p>The Examination Bureau will process the 2020 <b>Annual Statement Filing Fee</b>. Payment is required to be electronic (ACH/Wire) due by March 1, 2020. Invoices will be available on the web page January 2020 at the following link:</p> <p><a href="https://www.osi.state.nm.us/index.php/departments/compliance-division/examinations-bureau/">https://www.osi.state.nm.us/index.php/departments/compliance-division/examinations-bureau/</a></p> <p>Use the "Edit/Find" function to search and print your company's invoice at the web link using your NAIC CoCode.</p> <p>For ACH Banking Information please email Maria Soto at <a href="mailto:maria.soto@state.nm.us">maria.soto@state.nm.us</a></p> <p>If you have questions call Maria Soto at (505) 827-4390 or <a href="mailto:maria.soto@state.nm.us">maria.soto@state.nm.us</a></p>					

(1) Checklist	(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			
	111	Annual Continuation of Certificate of Authority	<p>Our Company Licensing Bureau will process the renewal of your <b>Certificate of Authority</b> and its filing fees which are currently paid by <b>Check</b> only.</p> <p>The <b>Certificate of Compliance, Certificate of Deposit, Contact Processing Form, Consent to Service of Process (Form 12)</b> and payment are required for renewal. Please follow the instructions for renewal of continuation of Certificate of Authority and payment found at the following link:</p> <p><a href="https://www.osi.state.nm.us/index.php/departments/compliance-division/company-licensing-bureau/">https://www.osi.state.nm.us/index.php/departments/compliance-division/company-licensing-bureau/</a></p> <p><b>Form 14 – Change of Mailing Address/Contact Notification Form</b> is required when notification information has changed. Direct this change by emailing the Contact Person, listed in Line 107-111, pertaining to the information being changed. If area Contact Person is not listed send to Ursula Almada, the contact person at Company Licensing Bureau at the below email.</p> <p>If you have question contact Ursula Almada, (505) 827-4524 or <a href="mailto:ursula.almada@state.nm.us">ursula.almada@state.nm.us</a>.</p>					
	112	Premium Tax Payment and Reporting	<p>On January 1, 2020 the New Mexico Office of Superintendent of Insurance will no longer be responsible for the collection of <b>Premium and Surtax, (Surplus Line, and Workman’s Comp included) Taxes</b>. The collection responsibility will be transferred to the New Mexico Taxation and Revenue Department (TRD) on January 1, 2020. TRD can be contacted at:</p> <p><a href="http://www.tax.newmexico.gov/">http://www.tax.newmexico.gov/</a></p>					
	113	Fraud Assessment	<p>The Fraud Bureau will process the <b>Annual Fraud Assessment Fees</b>. Payment is required to be electronic (ACH/Wire) due by September 1, 2020. Invoices will be available on the web page in July 2020 at the following link:</p> <p><a href="https://www.osi.state.nm.us/index.php/criminal-division/">https://www.osi.state.nm.us/index.php/criminal-division/</a></p> <p>Use the “Edit/Find” function to search and print your company’s invoice at the web link using your NAIC CoCode.</p> <p>For ACH Banking Information please email Leatrice Geckler at <a href="mailto:leatrice.geckler@state.nm.us">leatrice.geckler@state.nm.us</a>.</p> <p>If you have any questions contact Dawn Terrell at (505) 827-4456 or <a href="mailto:dawn.terrell@state.nm.us">dawn.terrell@state.nm.us</a> or Angelica Lucero at (505) 795-1755 or <a href="mailto:angelica.lucero@state.nm.us">angelica.lucero@state.nm.us</a>.</p>					
	114	Property and Casualty Filing Fees	<p>The Property &amp; Casualty Bureau will process the <b>Property &amp; Casualty Rate, Rule, and Form Annual Filing Fees</b>. Payment is required to be electronic (ACH/Wire) due by July 1, 2020. Invoices will be available on the web page in May 2020 at the following link:</p> <p><a href="https://www.osi.state.nm.us/index.php/insurers/property-casualty-filing/">https://www.osi.state.nm.us/index.php/insurers/property-casualty-filing/</a></p> <p>Use the “Edit/Find” function to search and print your company’s invoice at the web link using your NAIC CoCode.</p> <p>For ACH Banking Information please email Ashley Hernandez at <a href="mailto:ashley.hernandez@state.nm.us">ashley.hernandez@state.nm.us</a>.</p> <p>If you have any questions contact Ashley Hernandez at (505) 827-4593 or <a href="mailto:ashley.hernandez@state.nm.us">ashley.hernandez@state.nm.us</a></p>					
	115	Title Insurance Maintenance Assessment Fund	<p>The Title Bureau will process the <b>Title Insurance Maintenance Assessment Fund Fees</b>. Payment is required to be electronic (ACH/Wire) due by July 1, 2020. Invoices will be mailed to the company’s contacts.</p> <p><a href="https://www.osi.state.nm.us/index.php/departments/title/">https://www.osi.state.nm.us/index.php/departments/title/</a></p> <p>Use the “Edit/Find” function to search and print your company’s invoice at the web link using your NAIC CoCode.</p> <p>For ACH Banking Information please email Mickey VanCuren at <a href="mailto:mickey.vancuren@state.nm.us">mickey.vancuren@state.nm.us</a>.</p> <p>If you have any questions contact Mickey VanCuren at (505) 827-4536 or <a href="mailto:mickey.vancuren@state.nm.us">mickey.vancuren@state.nm.us</a></p>					

\*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](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](http://www.naic.org/public_lead_state_report.htm)

\*\*\*\*\* The New Mexico Office of Superintendent of Insurance (OSI) requires preparation 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. The ORSA shall be reviewed by the OSI pursuant the confidentiality statutes afforded in 59A-4-11(B). 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](http://www.naic.org/public_lead_state_report.htm)**

		<b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>	
	A	Required Filings Contact Person:	<b>See Lines 109-115 for Contact Information</b>
	B	Mailing Address: <b>Examination Bureau</b>	Filings 1 through 108, <b>Financial Filings and Supplements for Domestic Companies</b> which require the filing of hard copies:  Office of Superintendent of Insurance <b>Examination Bureau Room 440</b> Attn: Maria Soto P.O. Box 1689 Santa Fe, NM 87504-1689  <b>Payments are payable by electronic payment (ACH/Wire) Only.</b>
	B (1)	Mailing Address: <b>Company Licensing</b>	Filing 110 above, renewal of <b>Certificate of Authority (COA)</b> ; documents and <b>CHECKS ONLY</b> for renewal of COA:  Office of Superintendent of Insurance <b>Company Licensing Bureau Room 439</b> Attn: Ursula Almada P.O. Box 1689 Santa Fe, NM 87504-1689  <b>Payments are payable by Check Only.</b>
	B (2)	Mailing Address: <b>Property &amp; Casualty Bureau</b>	Filings 111, <b>Property &amp; Casualty Rate, Rule and Form Annual Filing Fees</b> :  Office of Superintendent of Insurance <b>Property &amp; Casualty Bureau Room</b> Attn: Ashley Hernandez P.O. Box 1689 Santa Fe, NM 87504-1689  <b>Payments are payable by electronic payment (ACH/Wire) Only.</b>
	B (3)	Mailing Address: <b>Title Bureau</b>	<b>Title Insurance Maintenance Assessment Fund</b>  Office of Superintendent of Insurance <b>Title Bureau Room 431</b> Attn: Mickey VanCuren P.O. Box 1689 Santa Fe, NM 87504-1689  <b>Payments are payable by electronic payment (ACH/Wire) Only.</b>
		<b>Letter (C-L) Apply to Financial Statement Filings 1 through 108</b>	
	C	Delivery Instructions:	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 to 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.
	D	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.
	E	Original Signatures:	Follow NAIC instructions when providing signatures and notary/certification
	F	Signature/Notarization/Certification:	Follow NAIC instructions when providing signatures and notary/certification.
	G	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.
	H	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.
	I	Bar Codes (State or NAIC):	New Mexico does not use Bar Codes but NAIC does. Please refer to NAIC filing requirements.
	J	Signed Jurat:	A signed and witnessed Jurat page is required for domestic companies. It shall be submitted with each of the two hard copies and one electronic copy of the Annual and Quarterly Financial Statement Filing.
	K	NONE Filings:	Follow NAIC filing requirements
	L	Filings new, discontinued or modified materially since last year:	<ol style="list-style-type: none"> <li>1. See yellow highlight on Checklists for new filings.</li> <li>2. Do not sending Checklist with each filing.</li> <li>3. Send 1 hard copy of Audit Report - New Mexico domicile Companies only.</li> <li>4. Electronic Payments Only for Annual Statement Fee and Premium Tax.</li> </ol>
	M	Title Insurance Agent's Statistical Report (ASR)	See State web page at the following link for forms and instructions:  <a href="https://www.osi.state.nm.us/index.php/departments/title/">https://www.osi.state.nm.us/index.php/departments/title/</a>
	N	Title Insurance Underwriters Statistical Report (USR) with a copy of Schedule T from the Annual Statement Filing.	See State web page at the following link for forms and instructions:  <a href="https://www.osi.state.nm.us/index.php/departments/title/">https://www.osi.state.nm.us/index.php/departments/title/</a>
	O	Agreed Upon Procedures (AUP)	See State web page at the following link for forms and instructions:  <a href="https://www.osi.state.nm.us/index.php/departments/title/">https://www.osi.state.nm.us/index.php/departments/title/</a>

**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 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 (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 (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.

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