

HEALTH ENTITIES (rev. 10/19/2021)

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: New Mexico Filings Made During the Year 2022

(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 1/2"X14")	2	EO		3/1	NAIC	B & C-L
	1.1	Printed Investment Schedule detail (Pages E01-E29)	EO	EO	xxx	3/1	NAIC	B & C-L
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	B & C-L
		II. NAIC SUPPLEMENTS						
	11	Accident & Health Policy Experience Exhibit	EO	EO	xxx	4/1	NAIC	B & C-L
	12	Actuarial Opinion	EO	EO	xxx	3/1	Company	B & C-L
	13	Life Supplemental Data due March 1	EO	EO	xxx	3/1	NAIC	B & C-L
	14	Life Supplemental Data due April 1	EO	EO	xxx	4/1	NAIC	B & C-L
	15	Life Supp Statement non-guaranteed elements – Exh 5, Int. #3	EO	EO	xxx	3/1	Company	B & C-L
	16	Life Supp Statement on par/non-par policies – Exh 5 Int. 1&2	EO	EO	xxx	3/1	Company	B & C-L
	17	Life, Health & Annuity Guaranty Association Assessable Premium Exhibit, Parts 1 & 2.	EO	EO	xxx	4/1	NAIC	B & C-L
	18	Long-Term Care Experience Reporting Forms	EO	EO	xxx	4/1	NAIC	B & C-L
	19	Management Discussion & Analysis	EO	EO		4/1	Company	B & C-L
	20	Medicare Part D Coverage Supplement	EO	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	B & C-L
	21	Medicare Supplement Insurance Experience Exhibit	EO	EO	xxx	3/1	NAIC	B & C-L
	22	Risk-Based Capital Report	EO	EO		3/1	NAIC	B & C-L
	23	Schedule SIS	EO	N/A	N/A	3/1	NAIC	B & C-L
	24	Supplemental Compensation Exhibit	EO	N/A	N/A	3/1	NAIC	B & C-L
	25	Supplemental Health Care Exhibit (Parts 1, 2 and 3)	EO	EO	xxx	4/1	NAIC	B & C-L
	26	Supplemental Health Care Exhibit's Allocation Report	EO	EO	xxx	4/1	NAIC	B & C-L
	27	Supplemental Investment Risk Interrogatories	EO	EO	xxx	4/1	NAIC	B & C-L
		III. ELECTRONIC FILING REQUIREMENTS						
	61	Annual Statement Electronic Filing	EO	EO	xxx	3/1	NAIC	B & C-L
	62	March .PDF Filing	EO	EO	xxx	3/1	NAIC	B & C-L
	63	Risk-Based Capital Electronic Filing	EO	EO	N/A	3/1	NAIC	B & C-L
	64	Risk-Based Capital .PDF Filing	EO	EO	N/A	3/1	NAIC	B & C-L
	65	Supplemental Electronic Filing	EO	EO	xxx	4/1	NAIC	B & C-L
	66	Supplemental PDF Filing	EO	EO	xxx	4/1	NAIC	B & C-L
	67	Quarterly Statement Electronic Filing	EO	EO	xxx	5/15, 8/15, 11/15	NAIC	B & C-L
	68	Quarterly .PDF Filing	EO	EO	xxx	5/15, 8/15, 11/15	NAIC	B & C-L
	69	June .PDF Filing	EO	EO	xxx	6/1	NAIC	B & C-L
		IV. AUDIT/INTERNAL CONTROL RELATED REPORTS						
	81	Accountants Letter of Qualifications	EO	EO	N/A	6/1	Company	B & C-L
	82	Audited Financial Reports	EO	EO		6/1	Company	B & C-L
	83	Audited Financial Reports Exemption Affidavit	EO	N/A	N/A		Company	B & C-L
	84	Communication of Internal Control Related Matters Noted in Audit	EO	EO	N/A	8/1	Company	B & C-L
	85	Independent CPA (change)	EO	N/A	N/A		Company	B & C-L
	86	Management's Report of Internal Control Over Financial Reporting	EO	N/A	N/A	8/1	Company	B & C-L

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			Domestic		Foreign			
			State	NAIC	State			
	87	Notification of Adverse Financial Condition	EO	N/A	N/A		Company	B & C-L
	88	Relief from the five-year rotation requirement for lead audit partner	EO	EO	N/A	3/1	Company	B & C-L
	89	Relief from the one-year cooling off period for independent CPA	EO	EO	N/A	3/1	Company	B & C-L
	90	Relief from the Requirements for Audit Committees	EO	EO	N/A	3/1	Company	B & C-L
	91	Request for Exemption to File Management's Report of Internal Control Over Financial Reporting	EO	N/A	N/A		Company	B & C-L
		V. STATE REQUIRED FILINGS						
	101	Corporate Governance Annual Disclosure***	EO	EO	xxx	6/1	Company	B & C-L
	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	0	9/1	Company	B & C-L
	106	Premium Tax	N/A	0	0	N/A	State	111
	107	State Filing Fees	\$200	0	\$200	3/1	State	109-114
	108	Signed Jurat	2	0	xxx	3/1	NAIC	J
	109	Group Capital Calculation		0				
	110	Annual Statement Filing Fee	<p>The Company Licensing Bureau will process the 2022 Annual Statement File Fee. Payments can be made via Check, ACH or Wire. Payments are due on or before March 1, 2022. Invoices will be available January 2022, on the Examinations Bureau webpage and the Company Licensing Bureau webpage, which can be found at</p> <p>https://anlstmt.osi.state.nm.us/ or</p> <p>If you have any questions, you may contact Ursula Almada at (505) 827-4524 or at company.licensing@state.nm.us.</p>					
	111	Annual Continuation of Certificate of Authority	<p>The Company Licensing Bureau will process the 2022 Certificate of Authority Renewal. Payments can be made via Check, ACH or Wire. Payments are due on or before March 1, 2022. Invoices will be available January 2022 on the Company Licensing Bureau webpage, which can be found at https://www.osi.state.nm.us/.</p> <p>Requested documents for the COA renewals can be found on the Company Licensing Bureau webpage under Renewals.</p> <p>If you have any questions, you may contact Ursula Almada at (505) 827-4524 or at company.licensing@state.nm.us.</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 Premium and Surtax, (Surplus Line, and Workman's Comp included) Taxes. 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>http://www.tax.newmexico.gov/</p>					

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			Domestic		Foreign			
			State	NAIC	State			
	113	Fraud Assessment	<p>The Fraud Bureau will process the Annual Fraud Assessment Fees. Payment is required to be electronic (ACH/Wire) due by September 1, 2022. Invoices will be available on the web page in July 2022 (invoices will NOT be mailed) at the following link:</p> <p>https://fraud-assessment.osi.state.nm.us/</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>NOTE: Payments for the Fraud Assessment Fees can be made ACH or Wire ONLY. The ACH/Wire instructions can be found on the Fraud Bureau’s webpage.</p> <p>For any questions, please email Roberta Baca at Robert.Baca@state.nm.us or Angelica Lucero at Angelica.Lucero@state.nm.us</p>					
	114	Property and Casualty Filing Fees	<p>The Property & Casualty Bureau will process the Property & Casualty Rate, Rule, and Form Annual Filing Fees. Payment is required to be electronic (ACH/Wire) due by July 1, 2022. Invoices will be available on the web page in May 2022 at the following link:</p> <p>https://www.osi.state.nm.us</p> <p>Use the “Edit/Find” function to search and print your company’s invoice at the web link using your NAIC Co-Code.</p> <p>For ACH Banking Information please email Melissa Robertson at Melissa.Robertson@state.nm.us.</p> <p>If you have any questions, contact Melissa Robertson at (505) 827-4552 or Melissa.Robertson@state.nm.us</p>					
	115	Title Insurance Maintenance Assessment Fund	<p>The Title Bureau will process the Title Insurance Maintenance Assessment Fund Fees. Payment is required to be electronic (ACH/Wire) due by July 1, 2022. Invoices will be emailed to the company’s contacts.</p> <p>For ACH Banking Information please email Mickey VanCuren at mickey.vancuren@state.nm.us.</p> <p>If you have any questions, contact Mickey VanCuren at (505) 827-4536 or mickey.vancuren@state.nm.us</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.

****For those states that have adopted the NAIC updated Holding Company Model Act, a Form F filing is required annually by holding company groups. 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

******For those states that have adopted the NAIC Risk Management and Own Risk and Solvency Assessment Model Act, a summary report is required annually by insurers and insurance groups above a specified premium threshold. 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:	See Lines 110-115 for Contact Information
	B	<p>Mailing Address: Examination Bureau for Financial Filings and Supplements for Domestic Companies</p> <p>Company Licensing Bureau for ONLY Annual Statement Filing Fees</p>	<p>Filings 1 through 109, Financial Filings and Supplements for Domestic Companies which require the filing of hard copies:</p> <p>Office of Superintendent of Insurance Examination Bureau Room 440 Attn: Joel Bengo P.O. Box 1689 Santa Fe, NM 87504-1689</p> <p>Filings 110, Annual Statement Filing Fees</p> <p>Office of Superintendent of Insurance Attn: Company Licensing Bureau P.O. Box 1689 Santa Fe, NM 87504-1689</p> <p>NOTE: Payments for the Annual Statement Filing Fee can be made via Check, ACH or Wire. The ACH/Wire instructions can be found on the Company Licensing Bureau’s webpage under renewals.</p> <p>If you have any questions, you may contact Ursula Almada at (505) 827-4524 or at company.licensing@state.nm.us.</p>
	B(1)	Mailing Address: Company Licensing Bureau	<p>Filing 111, Annual Certificate of Authority (COA) Fees</p> <p>Renewals for the Certificate of Authority (COA), please mail or email the requested documents to:</p> <p>Office of Superintendent of Insurance Attn: Company Licensing Bureau P O Box 1689 Santa Fe, New Mexico 87504-1689</p> <p>or</p> <p>Office of Superintendent of Insurance Attn: Company Licensing Bureau 1120 Paseo De Peralta Santa Fe, New Mexico 87501</p> <p>company.licensing@state.nm.us</p> <p>NOTE: Payments for the Certificate of Authority Renewal Fee can be made via check, ACH or Wire. The ACH/Wire instructions will be found on the Company Licensing Bureau’s webpage under renewals.</p>

			If you have any questions, you may contact Ursula Almada at (505) 827-4524 or at company.licensing@state.nm.us .
	B(2)	Mailing Address: Property & Casualty Bureau	<p>Filings 114, Property & Casualty Rate, Rule and Form Annual Filing Fees:</p> <p>Office of Superintendent of Insurance Property & Casualty Bureau Attn: Melissa Robertson P.O. Box 1689 Santa Fe, NM 87504-1689</p> <p>NOTE: Payments are payable by electronic payment (ACH/Wire) Only. The ACH/Wire Instructions can be found on the Property & Casualty Bureau's webpage.</p>
	B(3)	Mailing Address: Title Bureau	<p>Filings 115, Title Insurance Maintenance Assessment Fund</p> <p>Office of Superintendent of Insurance Title Bureau Room 431 Attn: Mickey VanCuren P.O. Box 1689 Santa Fe, NM 87504-1689</p> <p>NOTE: Payments are payable by electronic payment (ACH/Wire) Only. The ACH/Wire instructions can be found on the Title Bureau's webpage.</p>
Letter (C-L) Apply to Financial Statement Filings 1 through 109			
	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:	1. <u>Do not</u> send Checklist Filing 102 above, with each filing.
	J	Filing Payments:	Electronic Payments Only for Fraud Assessments, Title and Property & Casualty Filing Fees.

**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 Electronic Filing*** includes the complete quarterly filing and the PDF files for all quarterly data.

The ***Quarterly.PDF Filing*** is the .pdf file 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 have chosen 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 the state 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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