



STATE OF TENNESSEE  
 DEPARTMENT OF COMMERCE AND INSURANCE  
 Financial Affairs Section / Analytical Unit 0576  
 500 James Robertson Parkway, 10th Floor  
 Nashville, Tennessee 37243-1132  
 (615) 741-1670

**LIFE, ACCIDENT AND HEALTH/FRATERNAL INSURERS**

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

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

REQUIRED FILINGS IN THE STATE OF: TENNESSEE Filings Made During the Year 2024

**FRATERNAL COMPANIES BEGIN FILING LIFE/FRATERNAL STATEMENT EFFECTIVE WITH FIRST QUARTER, 2019.**

(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				
<b>I. NAIC FINANCIAL STATEMENTS</b>								
	1	Annual Statement (8 1/2"x14")	EO	EO	Jurat Only – Note L	3/1	NAIC	A-C, E-P, Y
	1.1	Printed Investment Schedule detail (Pages E01-E29)	EO	EO	xxx	3/1	NAIC	A
	2	Quarterly Financial Statement (8 1/2" x 14")	EO	EO	xxx	5/15, 8/15, 11/15	NAIC	A, B, E-O, W, Z
	3	Separate Accounts Annual Statement (8 1/2"x14")	EO	EO	xxx	3/1	NAIC	A
<b>II. NAIC SUPPLEMENTS</b>								
	11	Accident & Health Policy Experience Exhibit	EO	EO	xxx	4/1	NAIC	Q
	12	Credit Insurance Experience Exhibit	EO	EO	xxx	4/1	NAIC	R
	13	Health Supplement	EO	EO	xxx	3/1	NAIC	
	14	Life, Health & Annuity Guaranty Association Assessable Premium Exhibit, Parts 1 and 2	EO	EO	xxx	4/1	NAIC	
	15	Long-term Care Experience Reporting Forms	EO	EO	xxx	4/1	NAIC	
	16	Management Discussion & Analysis	EO	EO	xxx	4/1	Company	A
	17	Market Conduct Annual Statement Premium Exhibit for Year	EO	EO	xxx	3/1	NAIC	N
	18	Medicare Supplement Insurance Experience Exhibit	EO	EO	xxx	3/1	NAIC	
	19	Medicare Part D Coverage Supplement	EO	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	20	Risk-Based Capital Report	EO	EO	xxx	3/1	NAIC	
	21	Schedule SIS	EO	N/A	N/A	3/1	NAIC	
	22	Supplemental Compensation Exhibit	EO	N/A	N/A	3/1	NAIC	
	23	Supplemental Health Care Exhibit (Parts 1 and 2)	EO	EO	xxx	4/1	NAIC	
	24	Supplemental Investment Risk Interrogatories	EO	EO	xxx	4/1	NAIC	
	25	Supplemental Schedule O	EO	EO	xxx	3/1	NAIC	
	26	Supplemental Term and Universal Life Insurance Reinsurance Exhibit	EO	EO	xxx	4/1	NAIC	
	27	Trusted Surplus Statement	EO	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	28	Variable Annuities Supplement	EO	EO	xxx	4/1	NAIC	
	29	VM 20 Reserves Supplement	EO	EO	xxx	3/1	NAIC	
	30	Workers' Compensation Carve-Out Supplement	EO	EO	xxx	3/1	NAIC	
<b>Actuarial Related Items</b>								
	31	Actuarial Certification regarding use 2001 Preferred Class Table	EO	EO	xxx	3/1	Company	Y
	32	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	EO	EO	xxx	3/1	Company	Y
	33	Actuarial Memorandum Related to Universal Life with Secondary Guarantee Policies required by Actuarial Guideline XXXVIII 8D	EO	N/A	xxx	4/30	Company	Y
	34	Actuarial Opinion	EO	EO	xxx	3/1	Company	F, P
	35	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	EO	EO	xxx	3/1	Company	
	36	Actuarial Opinion on Synthetic Guaranteed Investment Contracts	EO	EO	xxx	3/1	Company	
	37	Actuarial Opinion on X-Factors	EO	EO	xxx	3/1	Company	
	38	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation	EO	EO	xxx	3/1	Company	

(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			
	39	Request for Life PBR Exemption (if applicable)	EO	E/O	xxx	Commissioner 7/1 NAIC 8/15	Company	
	40	Executive Summary of the PBR Actuarial Report	EO	N/A	xxx	4/1	Company	
	41	Life Summary of the PBR Actuarial Report	EO	N/A	xxx	4/1	Company	
	42	Variable Annuities Summary of the PBR Actuarial Report	EO	N/A	xxx	4/1	Company	
	43	PBR Actuarial Report (provide upon request)	EO	N/A	xxx		Company	
	44	RAAIS required by <i>Valuation Manual</i>	EO	N/A	xxx	4/1	Company	
	45	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV	EO	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	46	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV	EO	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	47	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)	EO	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	48	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)	EO	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	49	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI	EO	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	50	RBC Certification required under C-3 Phase I	EO	EO	xxx	3/1	Company	
	51	RBC Certification required under C-3 Phase II	EO	EO	xxx	3/1	Company	
	52	Statement on non-guaranteed elements - Exhibit 5 Int. #3	EO	EO	xxx	3/1	Company	
	53	Statement on par/non-par policies – Exhibit 5 Int. 1&2	EO	EO	xxx	3/1	Company	
		<b>III. ELECTRONIC FILING REQUIREMENTS</b>						
	61	Annual Statement Electronic Filing	EO	EO	xxx	3/1	NAIC	
	62	March .PDF Filing	EO	EO	xxx	3/1	NAIC	
	63	Risk-Based Capital Electronic Filing	EO	EO	N/A	3/1	NAIC	
	64	Risk-Based Capital .PDF Filing	EO	EO	N/A	3/1	NAIC	
	65	Separate Accounts Electronic Filing	EO	EO	xxx	3/1	NAIC	
	66	Separate Accounts .PDF Filing	EO	EO	xxx	3/1	NAIC	
	67	Supplemental Electronic Filing	EO	EO	xxx	4/1	NAIC	
	68	Supplemental .PDF Filing	EO	EO	xxx	4/1	NAIC	
	69	Quarterly Statement Electronic Filing	EO	EO	xxx	5/15, 8/15, 11/15	NAIC	
	70	Quarterly .PDF Filing	EO	EO	xxx	5/15, 8/15, 11/15	NAIC	
	71	June .PDF Filing	EO	EO	xxx	6/1	NAIC	
		<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>						
	81	Accountants Letter of Qualifications	EO	EO	N/A	6/1	Company	A
	82	Audited Financial Reports	EO	EO	xxx	6/1	Company	A
	83	Audited Financial Reports Exemption Affidavit	EO	N/A	N/A	3/1	Company	A
	84	Communication of Internal Control Related Matters Noted in Audit	EO	EO	N/A	8/1	Company	A
	85	Independent CPA (change)	EO	N/A	N/A	Within 5 days	Company	A
	86	Management's Report of Internal Control Over Financial Reporting	EO	N/A	N/A	8/1	Company	A
	87	Notification of Adverse Financial Condition	EO	N/A	N/A	Within 10 days of CPA discovery	Company	A
	88	Relief from the five-year rotation requirement for lead audit partner	EO	EO	xxx	3/1	Company	A
	89	Relief from the one-year cooling off period for independent CPA	EO	EO	xxx	3/1	Company	A
	90	Relief from the Requirements for Audit Committees	EO	EO	xxx	3/1	Company	A
	91	Request for Exemption to File Management's Report of Internal Control Over Financial Reporting	EO	N/A	N/A	3/1	Company	A
		<b>V. STATE REQUIRED FILINGS</b>						
	101	Corporate Governance Annual Disclosure***	EO	0	0	6/1	Company	A
	102	Filings Checklist (with Column I completed)	0	0	0	3/1	State	
	103	Form B-Holding Company Registration Statement	EO	0	N/A	4/30	Company	A, U
	104	Form F-Enterprise Risk Report ****	EO	0	N/A	4/30	Company	A, U

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			Domestic		Foreign			
			State	NAIC	State			
	105	ORSA*****	EO	0	N/A	Case-by-Case	Company	
	106	Premium Tax	1	0	1	3/1, 6/1, 8/20/ 12/1	State	A, C, D, T
	107	State Filing Fees	1	0	1	3/1	State	A, C, D
	108	Signed Jurat	EO	0	EO Annual Stateme nt Only	3/1, 5/15, 8/15, 11/15 = Domestics; 3/1 = Foreign	NAIC	A, F-I, L, W
	109	Group Capital Calculation (File with lead state only)	EO	0	0	4/30	NAIC	AA
	110	Credit Insurance Compensation to Creditors Affidavit	EO	xxx	EO	3/1	State	S
	111	Certificate of Compliance for Life, Accident, and Health Advertising	EO	xxx	EO	3/1	State	V
	112	Insurance Data Security Law Compliance Certification or Exemption Certification	EO	0	N/A	4/15	State	Z

\*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).

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

		<b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>	
	A	<p>Required Filings Contact Person:</p> <p><b>Life Company Contact Person:</b></p> <p><b>Premium Tax Filing Questions:</b></p>	<p>Hui Wattanaskolpant, (615) 253-2958 <a href="mailto:Hui.Wattanaskolpant@tn.gov">Hui.Wattanaskolpant@tn.gov</a></p> <p>Kim Blaylock, (615) 532-7567 <a href="mailto:Kim.Blaylock@tn.gov">Kim.Blaylock@tn.gov</a></p>
	B	Mailing Address:	<p>State of Tennessee Department of Commerce and Insurance Financial Affairs Section / Analytical Unit 0576 500 James Robertson Parkway, 10<sup>TH</sup> Floor Nashville, Tennessee 37243-1132 (615) 741-1670</p>
	C	<p>Mailing Address for Filing Fees: <b>T.C.A. § 56-4-101 provides for a \$515.00 Annual Statement filing fee. Please do not enclose this fee with the Annual Statement.</b></p>	<p>This fee is included on the premium tax return and should be submitted through <a href="#">OPTins</a>.</p>
	D	Mailing Address for Premium Tax Payments:	<p><a href="#">OPTins</a> is mandatory with electronic tax filings. <b>Click <a href="#">Here</a> to Participate.</b></p>
	E	<p>Delivery Instructions:</p> <p><b>E1. Premium tax delivery instructions</b> A tax return with payment must be submitted via <a href="#">OPTins</a> on or before March 1<sup>st</sup> to be considered a timely filing. Please note the statutes do not allow a waiver of a late payment of penalty.</p> <p><b>E2. Annual statement delivery instructions</b> Due to the <a href="#">Insurance Bulletin 20-06</a>, the hard copy and original signature filing requirements are currently waived. Companies are expected to make all filings electronically in lieu of hard copy filings. TDCI requests electronic communication be used by companies on all financial related communication, rather than relying on hard copy mail.</p> <p>A properly signed and notarized Jurat Page is the only <a href="#">Annual Statement</a> requirement for <a href="#">foreign</a> companies filing electronically with the NAIC. Please submit a signed Jurat Page by e-mailing it to <a href="mailto:jurat.page@tn.gov">jurat.page@tn.gov</a> with the company's name and NAIC number in the e-mail subject line.</p>	
	F	<p>Late Filings:</p> <p><b>To be timely, filings must be received electronically on or before March 1<sup>st</sup>. Tennessee DOES NOT recognize filing extensions for Annual Statements.</b></p> <p><b>An example of an <i>incomplete</i> filing is one that does not adhere to the requirements in <u>one or more</u> of the following sections: G, H, L, M, O, or P.</b></p> <p><b>In addition, <b>electronic filings must be made with the NAIC by March 1<sup>st</sup></b> to be considered timely per Tenn. Comp. R. &amp; Regs. 0780-01-37-.08.</b></p>	<p><b>Late or incomplete</b> filings are assessed a <b>\$100.00 per day</b> late or incomplete filing penalty, pursuant to T.C.A. § 56-1-502.</p>
	G	<p>Original Signatures:</p> <p><b>The original (wet) ink signature requirement is currently waived.</b> The Companies are expected to make all filings electronically in lieu of hard copy filings.</p>	<p>Due to the <a href="#">Insurance Bulletin 20-06</a>, the hard copy and original signature filing requirements are currently waived. Companies are expected to make all filings electronically in lieu of hard copy filings.</p>
	H	Signature/Notarization/Certification:	The original signatures requirement,

			including an original notary signature requirement, is currently being waived due to the <u>Insurance Bulletin 20-06</u> .
I	Amended Filings:		An explanation of the amendment is required. <b>The amended financial statement filing requires a jurat page with signatures and notary.</b>
J	Exceptions from normal filings:		Due to the <u>Insurance Bulletin 20-06</u> , the hard copy and original signature filing requirements are currently waived. Companies are expected to make all filings electronically in lieu of hard copy filings.
K	Bar Codes (State or NAIC):		NAIC Bar Code Instructions
L	Signed Jurat:  Due to the <u>Insurance Bulletin 20-06</u> , the hard copy and original signature filing requirements are currently waived. Companies are expected to make all filings electronically in lieu of hard copy filings.  A properly signed and notarized Jurat Page is the only <u>Annual Statement</u> requirement for <u>foreign</u> companies filing electronically with the NAIC. Please submit a signed Jurat Page by e-mailing it to <a href="mailto:jurat.page@tn.gov">jurat.page@tn.gov</a> with the company's name and NAIC number in the e-mail subject line.		T.C.A. § 56-1-501 requires the financial statement be subscribed and sworn to by the President and Secretary, or in their absence, two (2) principal officers. If the statement is signed by anyone other than the President and Secretary, an affidavit must be included stating that such person is a principal officer elected by the board of directors.
M	NONE Filings:		NAIC Annual Statement Instructions. Blank exhibits or schedules without the word "NONE" will result in an interpretation that an incomplete filing was submitted, and will be subject to filing penalties, pursuant to Note F above.
N	Filings new, discontinued or modified materially since last year:		Item# 17, Market Conduct Annual Statement Premium Exhibit is a new filing.
O	Size, printing standards, numbering & binding:		The NAIC Annual Statement Instructions provide guidance on printing standards, statement layout, and required binding.
P	Actuarial Opinion:		<b>The opinion must bear a signature</b> and must be completed by a Qualified Actuary. If an Actuarial Opinion does not contain a signature, the filing will be subject to the penalties noted in Note F.
Q	A&H Policy Experience Exhibit:  Please contact <a href="mailto:Stephanie.Cope@tn.gov">Stephanie.Cope@tn.gov</a> , if there is any question.		Submit via e-mail to <a href="mailto:Stephanie.Cope@tn.gov">Stephanie.Cope@tn.gov</a> .
R	Credit Insurance Exhibit:  Please contact <a href="mailto:Stephanie.Cope@tn.gov">Stephanie.Cope@tn.gov</a> , if there is any question.		Submit via e-mail to <a href="mailto:Stephanie.Cope@tn.gov">Stephanie.Cope@tn.gov</a> .
S	Credit Insurance Compensation to Creditor's Affidavit		This form is required by T.C.A. § 56-7-914 and must accompany the Annual Statement filed on or before March 1 <sup>st</sup> . Please submit to <a href="mailto:Jurat.Page@tn.gov">Jurat.Page@tn.gov</a> .
T	Late payment of Premium Taxes  <b>All delinquencies shall bear interest of ten percent (10%) per annum from the date the amount was due and paid, pursuant to T.C.A. § 56-4-216.</b>		In addition to the amount of taxes, premium taxes will be assessed five percent (5%) for the first month, or fractional part thereof, an additional five percent (5%) for the second month, or fractional part thereof, and a penalty thereafter of one half of one percent (0.5%) per month.

U	Holding Company Registration Statement  <b>*Applicable only if a member of a holding company Tennessee's Holding Company Registration Deadline is April 30<sup>th</sup></b>	Foreign companies are NOT required to file if the domiciliary state laws are substantially similar to Tennessee law at T.C.A. Title 56, Chapter 11.
V	Certificate of Compliance A&H advertising	An affidavit from the company regarding compliance with the rule is acceptable, pursuant to Tenn. Comp. R. & Regs. 0780-01-08-.17. Please submit to <a href="mailto:Jurat.Page@tn.gov">Jurat.Page@tn.gov</a> .
W	Quarterly Financial Statement (8 ½" x 14")	Foreign: File with the <u>NAIC only</u> . Domestic: Required to file both with the NAIC and the Department
X	Exemptions	<b>Annual Statements — Not Allowed.</b> <b>Audited Statements</b> — If approved by domiciliary state; Must file by June 1 <sup>st</sup> . <b>Actuarial Opinion</b> — Must file by Dec 1 <sup>st</sup> . <b>Insurance Data Security</b> – Must file by April 15.
Y	<b>Foreign</b> Company Filings:  Reference: Tenn. Comp. R. & Regs. 0780-01-37-.08 (1) and (3)	<b>Annual Statements:</b> A Jurat page only with signatures submitted to <a href="mailto:jurat.page@tn.gov">jurat.page@tn.gov</a> . (An insurance group can file multiple electronic copies of Jurat Page for each licensed company together in one e-mail to <a href="mailto:jurat.page@tn.gov">jurat.page@tn.gov</a> .)  Also, file statements electronically with the NAIC.  <b>Quarterly Statements:</b> No filing in TN for foreign companies. Only file electronically with the NAIC.
Z	Insurance Data Security Law Compliance Certification or Exemption Certification	Reference: <a href="https://www.tn.gov/commerce/insurance/company-resources/cybersecurity.html">https://www.tn.gov/commerce/insurance/company-resources/cybersecurity.html</a>
AA	Group Capital Calculation	Reference: <a href="https://content.naic.org/cipr-topics/group-capital-calculation">https://content.naic.org/cipr-topics/group-capital-calculation</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 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 *Separate Accounts Electronic Filing* includes the separate accounts annual statement and investment schedule detail.

The *Separate Accounts.PDF Filing* is the .pdf file for the separate accounts annual statement and all investment schedule detail.

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

The *Supplement.PDF Filing* is the .pdf file for all supplemental schedules and exhibits 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. 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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