

## TITLE COMPANIES

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

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

REQUIRED FILINGS IN THE STATE OF: NEW JERSEY 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	State			
<b>I. NAIC FINANCIAL STATEMENTS</b>								
	1	Annual Statement (8 1/2" x 14")	3	EO		3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E29)	3	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO		5/15, 8/15, 11/15	NAIC	
<b>II. NAIC SUPPLEMENTS</b>								
	11	Actuarial Opinion	3	EO		3/1	Company	Actuary must be Qualified
	12	Investment Risk Interrogatories	3	EO		4/1	NAIC	
	13	Management Discussion & Analysis	3	EO		4/1	Company	
	14	Schedule SIS	3	N/A	N/A	3/1	NAIC	
	15	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	
	16	Supplemental Schedule of Business Written By Agency	2	N/A		4/1	NAIC	
<b>III. ELECTRONIC FILING REQUIREMENTS</b>								
	61	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	62	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	63	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
	64	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
	65	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	66	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
	67	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	
<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>								
	81	Accountants Letter of Qualifications	1	EO	N/A	6/1	Company	If Applicable
	82	Audited Financial Reports	1	EO		6/1	Company	See Note S, If Applicable
	83	Audited Financial Reports Exemption Affidavit	1	N/A	N/A		Company	
	84	Communication of Internal Control Related Matters Noted in Audit	1	EO	N/A	8/1	Company	
	85	Independent CPA (change)	1	N/A	N/A		Company	If Applicable
	86	Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1	Company	
	87	Notification of Adverse Financial Condition	1	N/A	N/A		Company	If Applicable
	88	Request for Exemption to File Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A		Company	Must be Written
	89	Relief from the five-year rotation requirement for lead audit partner	1	EO		3/1	Company	
	90	Relief from the one-year cooling off period for independent CPA	1	EO		3/1	Company	
	91	Relief from the Requirements for Audit Committees	1	EO		3/1	Company	
<b>V. STATE REQUIRED FILINGS***</b>								
	101	Corporate Governance Annual Disclosure***	1	0	0		Company	
	102	Filings Checklist (with Column 1 completed)	1	0	1	3/1	State	
	103	Form B-Holding Company Registration Statement	3	0			Company	
	104	Form F-Enterprise Risk Report ***	3	0			Company	

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			Domestic		Foreign			
			State	NAIC	State			
	105	ORSA ****	3	0			Company	
	106	State Filing Fees	1	0	1	3/1	State See Fee Letter	
	107	Signed Jurat	xxx	0		3/1	NAIC See Note L	
	108	Premium Tax			2	3/1	State Form Sent by Taxation (see Note O)	
	109	Annual Form B & Form C Filings	1		0	4/1	State NJSA 27A-3(A)	

\*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	Required Filings Contact Person:	Corey Page Telephone (609) 940-7434 Email: corey.page@dobi.nj.gov	
B	Mailing Address:	Office of Solvency Regulation P.O. Box 325 Trenton, NJ 08625-0325	
B-1	Address for delivery by Courier Services (UPS, FedEx, DHL)	20 West State Street 10th Floor Trenton, NJ 08608	
C	Mailing Address for Filing Fees:	Same as above	
D	Mailing Address for <b>Premium Tax Payments</b> : If missing form please <b>call Lisa McCoy, Dept. of Treasury</b> , (609) 292-8138 or visit the Dept. of treasury's website: <a href="http://www.state.nj.us/treasury/taxation/prntins.shtml">http://www.state.nj.us/treasury/taxation/prntins.shtml</a> to download tax forms.	New Jersey Division on Taxation P.O. Box 247 Trenton, NJ 08646	
D-1	Address for delivery of Tax Forms by Courier Services (UPS, FedEx, DHL)	200 Woolverton Street, Building 20, Trenton, NJ 08646	
E	Delivery Instructions:	All filings must be received no later than the indicated due date. If the due date falls on a weekend or holiday, the deadline is extended to the next business day.	
F	Late Filings:	Companies will be fined \$100 per day for a late filing. Company's license may be suspended if the annual statement is received more than 30 days late	
G	Original Signatures:	Original signatures required from domestic companies. Foreign companies should follow the instructions from the NAIC.	
H	Signature/Notarization/Certification:	President and Secretary, or in their absence, two principal officers must sign the annual statement. Reinsurance summary must be notarized.	
I	Amended Filings:	Amended items must be filed within 10 days of the amendment, along with the explanation of the amendments. If there are signature requirements for original filings, same should be followed for any amendment.	
J	Exceptions from normal filings:	Foreign companies must supply a written copy of any exemption or extension received from its state of domicile 10 days prior to the filing due date to receive such from NJ. Domestic companies should apply at least 30 days prior to the due date.	
K	Bar Codes (State or NAIC):	Not Required	
L	Signed Jurat:	All foreign companies must file a	

			copy of the jurat page of its annual statement to allow New Jersey to update its database.
	M	NONE Filings:	See NAIC Annual Statement Instructions.
	N	Filings new, discontinued or modified materially since last year:	Commencing January 1, 2007 all filings must be received by their due date.
	O	Premium taxes: A copy MUST be sent to →	State of New Jersey Department of Banking and Insurance Office of Solvency Regulation Post Office Box 325 Trenton, NJ 08625-0325 Attention: Tanveer Ahmed FedEx, & UPS mail to: 20 W. State Street
	S	Audited Financial Reports: →	The Department amended N.J.A.C. 11:2-26.17(b), effective August 18, 2014, to add a new subparagraph to provide that hard copies of Annual Audit Reports submitted by Foreign and Alien insurers would not be required if they contain an “unqualified opinion” as set forth in the applicable NAIC Financial Analysis Handbook in use at the time such report is due and there is no unremediated material weakness noted in the report as set forth in N.J.A.C. 11-2-26.11. A copy of any notification of adverse financial condition report filed with the other state still must be filed with this Department within the timeframe specified in N.J.A.C. 11:2-26.10

**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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