

## FRATERNAL SOCIETIES

COMPANY NAME: \_\_\_\_\_

NAIC Company Code: \_\_\_\_\_

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

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

REQUIRED FILINGS IN THE STATE OF: ARIZONA

Filings Made During the Year 2012

(1) Check -list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*		(5) DUE DATE	(6) FORM SOURCE **	(7) APPLICABLE NOTES
			Domestic				
			State	NAIC			
<b>I. NAIC FINANCIAL STATEMENTS</b>							
	1	Annual Statement (8 1/2"x14")		EO xxx	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E27)		EO xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")		EO xxx	5/15, 8/15, 11/15	NAIC	
	3	Separate Accounts Annual Statement (8 1/2"x 14")		EO xxx	3/1	NAIC	
<b>II. NAIC SUPPLEMENTS</b>							
	10	Accident & Health Policy Experience Exhibit		EO xxx	4/1	NAIC	
	11	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliancefor Equity Indexed Annuities		EO xxx	3/1	Company	
	12	Actuarial Certifications Related to Hedging required by Actuarial Guideline XLIII		EO xxx	3/1	Company	
	13	Actuarial Certification Related to Reserves required by Actuarial Guideline XLIII		EO xxx	3/1	Company	
	14	Actuarial Certification regarding use 2001 Preferred Class Table		EO Xxx	3/1	Company	
	15	Actuarial Opinion		EO xxx	3/1	Company	
	16	Actuarial Opinion on X-Factors		EO xxx	3/1	Company	
	17	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit		EO xxx	3/1	Company	
	18	Actuarial Opinion on Synthetic Guaranteed Investment Contracts		EO xxx	3/1	Company	
	19	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation		EO xxx	3/1	Company	
	20	Analysis of Annuity Operations by Lines of Business		EO xxx	4/1	NAIC	
	21	Analysis of Increase in Annuity Reserves During Year		EO xxx	4/1	NAIC	
	22	Financial Officer Certification Related to Clearly Defined Hedging Strategy required by Actuarial Guideline XLIII		EO xxx	3/1	Company	
	23	Health Care Exhibit (Parts 1, 2 and 3) Supplement		EO xxx	4/1	NAIC	
	24	Health Care Exhibit's Allocation Report Supplement		EO xxx	4/1	NAIC	
	25	Interest Sensitive Life Insurance Products Report		EO xxx	4/1	NAIC	
	26	Investment Risk Interrogatories		EO xxx	4/1	NAIC	
	27	Long Term Care Experience Reporting Forms		EO xxx	4/1	NAIC	
	28	Management Certification that the Valuation Reflects Management's Intent required by Actuarial Guideline XLIII		EO xxx	3/1	Company	
	29	Management Discussion & Analysis		EO xxx	4/1	Company	

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			Domestic State	NAIC	Foreign State			
	30	Medicare Supplement Insurance Experience Exhibit		EO	xxx	3/1	NAIC	
	31	Medicare Part D Coverage Supplement		EO	xxx	3/1 5/15, 8/15, 11/15	NAIC	
	32	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV		EO	xxx	5/15, 8/15, 11/15	Company	
	33	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV		EO	xxx	5/15, 8/15, 11/15	Company	
	34	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI		EO	xxx	5/15, 8/15, 11/15	Company	
	35	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)		EO	xxx	5/15, 8/15, 11/15	Company	
	36	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)		EO	xxx	5/15, 8/15, 11/15	Company	
	37	Risk-Based Capital Report		EO	xxx	3/1	NAIC	
	38	RBC Certification required under C-3 Phase I		EO	xxx	3/1	Company	
	39	RBC Certification required under C-3 Phase II		EO	xxx	3/1	Company	
	40	Statement on non-guaranteed elements – Exhibit 5 Interr. #3		EO	xxx	3/1	Company	
	41	Statement on participating/non-participating policies – Exhibit 5, Inter. #1 & 2		EO	xxx	3/1		
	42	Supplemental Compensation Exhibit		N/A	N/A		NAIC	
	43	Trusted Surplus Statement		EO	xxx	3/1 5/15, 8/15, 11/15	NAIC	
		<b>III. ELECTRONIC FILING REQUIREMENTS</b>						
	50	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	51	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	52	Risk-Based Capital Electronic Filing	xxx	1	xxx	3/1	NAIC	
	53	Risk-Based Capital .PDF Filing	xxx	1	xxx	3/1	NAIC	
	54	Separate Accounts Electronic Filing	xxx	1	xxx	3/1	NAIC	
	55	Separate Accounts .PDF Filing	xxx	1	xxx	3/1	NAIC	
	56	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	57	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	58	Quarterly Statement Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	59	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15		
	60	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
		<b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b>						
	71	Accountants Letter of Qualifications		EO	N/A	6/1	Company	
	72	Audited Financial Statements		EO	xxx	6/1	Company	
	73	Audited Financial Statements Exemption Affidavit		N/A	N/A	6/1	Company	
	74	Communications of Internal Control Related Matters		N/A	N/A	8/1	Company	

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			Domestic State	NAIC	Foreign State			
	75	Independent CPA (Change)		N/A	N/A	6/1	Company	
	76	Management's Report of Internal Control Related Matters Noted in Audit		N/A	N/A	8/1	Company	
	77	Notification of Adverse Financial Condition		N/A	N/A	6/1	Company	
	78	Request for Exemption to File		N/A	N/A	Prior to 6/1	Company	
	79	Relief from the five-year rotation requirement for lead audit partner		EO	N/A	3/1	Company	
	80	Relief from one-year cooling off period for independent CPA		EO	N/A	3/1	Company	
	81	Relief from the Requirements for Audit Committees		EO	N/A	3/1	Company	
		<b>V. STATE REQUIRED FILINGS</b>						
	101	Certificate of Disclosure Form E-178		0	1	3/1	State	O
	102	Fraternal Societies Filing Checklist Form E-NAIC.Fraternal (Pages 1-2 Only of this form with Column 1 and page 2 contact information completed)		0	1	3/1	State	
	103	Retaliatory Tax Report Form E-FBS and Payment		0	1	3/1	State	D, N
	104	Signed Jurat		0	xxx	3/1	NAIC	L
	105	State Filing Fees with Form E-FBS		0	1	3/1	State	C, N

\*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.

PREPARED BY: (must complete PRINT OR TYPE CLEARLY)

NAME & TITLE

COLLECT/TOLL-FREE PHONE NUMBER

E-MAIL ADDRESS

## FRATERNAL SOCIETIES

<b>NOTES AND INSTRUCTIONS (A-M APPLY TO ALL FILINGS)</b>	
A	<p>Required Filings Contact Person:</p> <p>Tony McCormack Administrative Assistant III Phone: (602) 364-3245 OR E-mail address: <a href="mailto:AMccormack@azinsurance.gov">AMccormack@azinsurance.gov</a></p>
B	<p>Mailing Address:</p> <p>Arizona Department of Insurance <b>ATTN: Financial Affairs Division</b> Financial Affairs Division 2910 North 44<sup>th</sup> Street, Suite 210 Phoenix, Arizona 85018-7269</p>
C	<p>Mailing Address for Annual Filing Fees: <b>Due 3/01</b></p> <p>Arizona Department of Insurance <b>ATTN: Insurance Tax Unit</b> Financial Affairs Division 2910 North 44<sup>th</sup> Street, Suite 210 Phoenix, Arizona 85018-7269</p> <p>Use <b>Form E-FBS</b> posted on our web site at <a href="http://www.azinsurance.gov/taxunit/index.html">http://www.azinsurance.gov/taxunit/index.html</a> and the NAIC OPT<sup>ins</sup> system.</p> <p><b>ALSO SEE NOTE N</b></p>
D	<p>Premium Tax Payments: <b>Due 3/1</b></p> <p><b>Retaliatory Only</b></p> <p>Arizona Department of Insurance <b>ATTN: Insurance Tax Unit</b> Financial Affairs Division 2910 North 44<sup>th</sup> Street, Suite 210 Phoenix, Arizona 85018-7269</p> <p>Contact Person: Susan Yepez (602) 364-3997 E-mail address: <a href="mailto:SYepez@azinsurance.gov">SYepez@azinsurance.gov</a></p> <p>Use <b>Form E-FBS</b> posted on our web site at <a href="http://www.azinsurance.gov/taxunit/index.html">http://www.azinsurance.gov/taxunit/index.html</a> and the NAIC OPT<sup>ins</sup> system.</p> <p><b>ALSO SEE NOTE N</b></p>
E	<p>Delivery Instructions:</p> <p>All packages <b>must</b> bear U.S. postmark or courier pick-up date. If due date is a weekend or holiday, deadline is next business day.</p>
F	<p>Late Filings: License will be summarily suspended if renewal fee is not paid when due or if financial condition is unknown due to failure to file annual statement.</p> <p>Up to \$25.00 per day – Annual Statement, Annual Fees, Actuarial Opinion, Management, Discussion and Analysis or Audited Financial Report. Up to \$25.00 per day – Certificate of Disclosure Form E-178. Up to \$100.00 per day – Quarterly Statements. We use the USPS postmark or courier pick-up date as the date filed.</p>

## FRATERNAL SOCIETIES

G	Original Signatures:	Foreign companies should follow the instructions in the NAIC Annual Statement Instructions.
H	Signature/Notarization/Certification:	NOTARIZED SIGNATURES <b>MUST</b> BE OF AT LEAST TWO (2) OF YOUR EXECUTIVE OFFICERS, <u>WHO ARE LISTED ON YOUR JURAT PAGE.</u>
I	Amended Filings:	<b>Must</b> be filed within 10 days, with an explanation. Signature requirements apply.
J	<p>Exceptions from normal filings:</p>  <p>Exceptions from normal filings continued:</p>	<p><b>EXEMPTIONS:</b>  Annual Statement filing exemption – NONE.  Audited Financial Report exemptions use NAIC Annual Statement Instructions.  <b>Must be filed at least 10 days prior to due date.</b></p> <p><b>EXTENSIONS:</b>  Approved for a catastrophic event only.</p> <p><b>FOREIGN: Must</b> provide a copy of an exemption/extension letter from your state of domicile.</p>
K	Bar Codes (State or NAIC)	Use NAIC Annual Statement instructions.
L	Signed Jurat	Not required to be filed with us.
M	NONE Filings:	Every page of the annual statement must be included in sequential page number order. All State forms <b>must</b> be completed or stamped " <b>None</b> " if there are no entries on the form, and returned as instructed.
N	Filings new, discontinued, or modified materially since last year:	<b>YOU MAY ELECTRONICALLY FILE AND PAY TAXES AND FEES VIA THE NAIC OPTins SYSTEM.</b>
O	Certificate of Disclosure <b>Form E-178</b>	The form should be <b>directed immediately</b> to your EXECUTIVE OFFICERS OR DIRECTORS <b>WHO ARE LISTED ON THE JURAT PAGE</b> for notarized original signatures. <u>Incomplete certificates will not be accepted</u> and may result in statutory penalty of \$25 per day.

## FRATERNAL SOCIETIES

### 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 include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes 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 mailing 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 investments schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The **March .PDF Filing** is .pdf files for annual statement data, detail for investment schedules and supplements due March 1.

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 investment schedule detail.

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 (E) 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 (E) 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 website). 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.