LICENSED LIFE, ACCIDENT AND HEALTH INSURERS

COMPANY NAME:_____**NAIC Company Code:** _____

Contact:_____**Telephone:** _____

REQUIRED FILINGS IN THE STATE OF: PENNSYLVANIA **Filings Made During the Year 2014**

(1) Check-list	(2) Line #	(3) Required Filings For Pennsylvania	(4) Number Of Copies			(5) Due Date	(6) Form Source	(7) Applicable Notes
			Domestic		Foreign			
		40 P.S. §§443(a)(1) and (2)	State	NAIC	State			***
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 ½"x14")	2	EO	xxx	3/1	NAIC	I, M, N, W, GG
	1.1	Printed Investment Schedule detail	2	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 ½" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	I, M, O,W, GG
	3	Separate Accounts Annual Statement (8 ½"x14")	2	EO	xxx	3/1	NAIC	
		II. NAIC SUPPLEMENTS						
	10	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	
	11	Actuarial Certification Related Annuity Non-forfeiture Ongoing Compliance for Equity Indexed Annuities	2	EO	xxx	3/1	Company	
	12	Actuarial Certifications Related to Hedging required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	13	Actuarial Certification Related to Reserves required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	14	Actuarial Certification Regarding use 2001 Preferred Class Table	2	EO	xxx	3/1	Company	
	15	Actuarial Opinion	2	EO	xxx	3/1	Company	R
	16	Actuarial Opinion on X-Factors	2	EO	xxx	3/1	Company	
	17	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	2	EO	xxx	3/1	Company	
	18	Actuarial Opinion on Synthetic Guaranteed Investment Contracts	2	EO	xxx	3/1	Company	
	19	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation	2	EO	xxx	3/1	Company	
	20	Actuary – Appointment Notification Letter	1	N/A	N/A	See Note	Company	S
	21	Actuary – Change Notification Letters	1	N/A	N/A	See Note	Company	T
	22	Analysis of Annuity Operations by Lines of Business	2	EO	xxx	4/1	NAIC	
	23	Analysis of Increase in Annuity Reserves During Year	2	EO	xxx	4/1	NAIC	
	24	Credit Insurance Experience Exhibit	2	EO	xxx	4/1	NAIC	
	25	Financial Officer Certification Related to Clearly Defined Hedging Strategy required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	
	26	Health Care Exhibit (Parts 1, 2 and 3) Supplement	2	EO	xxx	3/1	NAIC	
	27	Health Care Exhibit's Allocation Report Supplement	2	EO	xxx	4/1	NAIC	
	28	Interest Sensitive Life Insurance Products Report	2	EO	xxx	4/1	NAIC	
	29	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	30	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit	2	EO	xxx	4/1	NAIC	
	31	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form	2	EO	xxx	4/1	NAIC	

(1) Check-list	(2) Line #	(3) Required Filings For Pennsylvania	(4) Number Of Copies			(5) Due Date	(6) Form Source	(7) Applicable Notes
			Domestic		Foreign			
		40 P.S. §§443(a)(1) and (2)	State	NAIC	State			***
	32	Long Term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	
	33	Management Certification that the Valuation Reflects Management's Intent required by Actuarial Guideline XLIII		EO		3/1	Company	
	34	Management Discussion & Analysis	2	EO	xxx	4/1	Company	
	35	Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	
	36	Medicare Part D Coverage Supplement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	37	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV	xxx	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	38	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV	xxx	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	39	Reasonableness of Assumptions Cert. for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI	xxx	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	40	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)	xxx	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	41	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)	xxx	EO	xxx	3/1,5/15, 8/15, 11/15	Company	
	42	Risk-Based Capital Report	1	EO	xxx	3/1	NAIC	M, P
	43	RBC Certification required under C-3 Phase I	1	EO	xxx	3/1	Company	P
	44	RBC Certification required under C-3 Phase II	1	EO	xxx	3/1	Company	P
	45	Schedule SIS	2	N/A	N/A	3/1	NAIC	
	46	Statement on non-guaranteed elements - Exhibit 5 Int. #3	2	EO	xxx	3/1	Company	
	47	Statement on par/non-par policies – Exhibit 5 Int. 1 & 2	2	EO	xxx	3/1	Company	
	48	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	Q
	49	Supplemental Schedule O	2	EO	xxx	3/1	NAIC	
	50	Trusteed Surplus Statement	xxx	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	51	Workers' Compensation Carve Out Supplement	2	EO	xxx	3/1	NAIC	
	52	Actuarial Memorandum related to Universal Life with Secondary Guarantee Policies required under Section 8D of Actuarial Guideline 38	1	N/A	N/A	4/30	Company	HH
	53	Actuarial Guideline 38 Section 8E Filings for Companies writing Universal Life Insurance Products with Secondary Guarantees, unless previously filed directly with the Department	1	N/A	N/A	3/15	Company	II
		III. ELECTRONIC FILING REQUIREMENTS						
	60	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	61	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	62	Risk-Based Capital Electronic Filing	xxx	EO	N/A	3/1	NAIC	

(1) Check-list	(2) Line #	(3) Required Filings For Pennsylvania	(4) Number Of Copies			(5) Due Date	(6) Form Source	(7) Applicable Notes
			Domestic		Foreign			
		40 P.S. §§443(a)(1) and (2)	State	NAIC	State			***
	63	Risk-Based Capital .PDF Filing	xxx	EO	N/A	3/1	NAIC	
	64	Separate Accounts Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	65	Separate Accounts .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	66	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
	67	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
	68	Quarterly Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	O
	69	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	O
	70	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	
		IV. AUDIT/INTERNAL CONTROL RELATED REPORTS						
	71	Accountant's "Awareness" Letter	1	N/A	N/A	See Note	Company	X
	72	Accountant's Letter of Qualifications	2	EO	N/A	6/1	Company	X
	73	Audit Committee Designation Notification	1	N/A	N/A	4/1 See Note	Company	X
	74	Audited Financial Reports	2	EO	xxx	6/1	Company	X
	75	Audited Financial Reports Exemption Affidavit	0	N/A	N/A	See Note	Company	X
	76	Communication of Internal Control Related Matters Noted in Audit	2	N/A	N/A	8/1 See Note	Company	X
	77	Exemption from Audit Committee Requirements	1	EO	N/A	3/1 See Note	Company	X
	78	Exemption from Prohibited Non-Auditing Services	1	EO	N/A	6/1 See Note	Company	X
	79	Independent CPA (change)	1	N/A	N/A	See Note	Company	X
	80	Independent CPA (newly required to file)	1	N/A	N/A	See Note	Company	X
	81	Management's Report of Internal Control Over Financial Reporting	2	N/A	N/A	8/1 See Note	Company	X
	82	Notification of Adverse Financial Condition	2	N/A	N/A	See Note	Company	X
	83	Relief from Rotation & Cooling-Off Requirements	1	EO	N/A	3/1 See Note	Company	X
	84	Request for Exemption to File & from Other Requirements	1	N/A	N/A	See Note	Company	X
	85	Request for Extension to Filing	1	N/A	N/A	5/21	Company	X
		V. STATE REQUIRED FILINGS						
	101	Annual Holding Company Registration Statement	1	N/A	N/A	3/31	Company	Y
	102	Annual Valuation Filing	1	N/A	N/A	See Note	Company	Z
	103	Biographical Affidavits	1	N/A	N/A	See Note	NAIC	AA
	104	Certificate of Compliance	0	0	0	N/A	N/A	
	105	Certificate of Deposit	0	0	N/A	3/1	State	
	106	Certificate of Valuation	0	0	0	N/A	N/A	
	107	Changes in Governance	1	N/A	1	See Note	Company	EE
	108	Enterprise Risk Reports – Form F	1	N/A	N/A	3/31	Company	Y
	109	Filings Checklist (with Column 1 completed)	0	0	xxx	See General Instructions	State	
	110	Notification of Address Changes	1	0	1	See Note	NAIC	GG
	111	Premium Tax	See Note	0	See Note	See Note	State	D
	112	Regulatory Asset Adequacy Issues Summary	2	0	N/A	3/15	Company	U
	113	Signed Jurat	xxx	0	1	3/1	NAIC	G, H, I, O
	114	State Filing Fees	1	0	1	See Note	State	C

*** **See Notes A to L.**

New for 2013

UNLESS SPECIFICALLY REQUIRED OTHERWISE, FOREIGN/ALLIEN COMPANIES SHOULD NOT FILE ITEMS DENOTED WITH N/A OR XXX.

See *2013 NAIC Annual Statement Instructions* for new Schedule DB – Part D – Section2.

Check the *2013 NAIC Annual Statement Instructions* as well as the *2014 NAIC Quarterly Statement Instructions* for new additions and changes. A summary of Adopted Modifications to Financial Statements & Instructions can be accessed at http://www.naic.org/documents/committees_e_app_blanks_adopted_proposals.pdf

GENERAL INSTRUCTIONS
PENNSYLVANIA 2013

Col.	Description	Instructions – Life, Accident and Health Insurers
(1)	Checklist	The checklist may be used when submitting a filing; however, you are not required to file the checklist with either the Pennsylvania Insurance Department or the NAIC. If you choose to use the checklist, please place a check mark or X in column 1 for each item that is filed.
(2)	Line #	A standard filing number used for easy reference if you have questions. This line # may change from year to year.
(3)	Required Filings	Filings with the Pennsylvania Insurance Department (the "Department") are to be made in hard copy. The 2013 Annual Statement must be filed in book form with all pages securely fastened inside the annual statement jacket. Annual and quarterly statement pages must be printed on double side and may not be reproduced with data on only one side of the page. However, Schedule D "insert" pages and required one-page supplements may be reproduced with one-sided print. Companies are not required to file financial information in an electronic format with the Department. However, an electronic filing must be made with the NAIC, either on the NAIC website at www.naic.org or by diskette. Companies that file with the NAIC via the internet are not required to submit diskettes to the NAIC. The NAIC will be providing additional instructions to assist you in filing with the NAIC. Please be advised that the checklist and instructions are not intended to be an all-inclusive notice of required filings. Therefore, supplemental exhibits and other filings may also be required of any company. The ***Annual Statement Electronic Filing*** includes the annual statement and all supplements due March 1, per the *Annual Statement Instructions.* This includes all detail investment schedules and other supplements for which printed detail is exempted per the *Annual Statement Instructions*. This submission includes all .pdf files for annual statement data. The ***March .PDF Filing*** is the .pdf file for annual statement data, detail for investment schedule 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 all risk-based capital data. The ***Separate Accounts Electronic Filing*** includes the annual 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 detail. The ***Supplemental Electronic Filing*** includes all supplements due April 1, per the *Annual Statement Instructions.* This submission includes all .pdf files for supplemental schedules and exhibits. 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 files for the Annual Audited Financial Report.
(4)	Number of Copies	Indicates the number of copies that each domestic or Foreign/Alien company is required to file for each type of form. **UNLESS SPECIFICALLY REQUIRED OTHERWISE, FOREIGN/ALLIEN COMPANIES SHOULD NOT FILE ITEMS DENOTED WITH N/A OR XXX.**
(5)	Due Date	Indicates the date on which the company must file the form. See Note E.

Col.	Description	Instructions – Life, Accident and Health Insurers
(6)	Form Source	"NAIC" means the company must obtain the form from the appropriate vendor. See Note M. "State" means that Pennsylvania will provide the forms upon request. "Company" means that the company, or its representative (e.g., its CPA firm), must provide the form based upon the appropriate state instructions or the *NAIC Annual Statement Instructions.*
(7)	Notes	The letters in this column correspond to the notes contained in the "Notes Pennsylvania 2013" section. Please read each applicable note carefully before submitting a filing.

NOTES
PENNSYLVANIA 2013

Notes A to L apply to ALL filings.

	A	Required Filings Contact Person	Life Companies Financial Analysis Division Phone: 717.783.2142 E-Mail: nlukens@pa.gov
	B	Mailing Address	**State:** Life Insurance Companies Financial Analysis Division Pennsylvania Insurance Department 1345 Strawberry Square Harrisburg, PA 17120 **NAIC:** NAIC Data Base 1100 Walnut Street, Suite 1500 Kansas City, MO 64106-2197 Phone: 816.783.8600
	C	Filing Fees	**IMPORTANT: YOU WILL RECEIVE AN INVOICE IN LATE MARCH FOR APPLICABLE ANNUAL STATEMENT/LICENSE RENEWAL FEES.** **DO NOT REMIT PAYMENT PRIOR TO RECEIVING YOUR INVOICE.** There is a $750 Annual Statement filing fee. The invoice for **Foreign/Alien** companies will include a $100 fee for the renewal of your Certificate of Authority. **The Pennsylvania Insurance Department no longer mails renewal Certificates of Authority. Annual renewal invoices will contain instructions for on-line printing of the insurer's renewed Certificate of Authority.** **To minimize returned checks, additional fees, and other problems, please take note of the following instructions:** 1. **Submit one check per invoice.** A check with an amount equal to multiple invoices will not be accepted and will be returned to the company. 2. **Return entire original invoice with payment.** 3. **Send payment to the Revenue address listed on the invoice**, **not** any of the addresses on this checklist. 4. Make checks payable to the **"Commonwealth of Pennsylvania."** Questions regarding the filing fees: Nicole Lukens Office of Corporate and Financial Regulation E-Mail: nlukens@pa.gov Phone at 717.783.2142
	D	Premium Tax Payments	**Do not send premium tax filing to Pennsylvania Insurance Department**. **Please see:** http://www.revenue.state.pa.us/portal/server.pt/community/gross_premiums_tax/14425 **Foreign/Alien Insurers**: Please note that the Department must receive a copy of the Annual Statement Jurat Page on or before March 1. Receipt of the Jurat Page by the Pennsylvania Department of Revenue does not satisfy filing requirements with the Department. Filings received by the Department after March 1 will be penalized as authorized by law. 40 P.S. § 443(e)(1) and 40 P.S. § 991.1410 –not to exceed $200 per day.

NOTES
PENNSYLVANIA 2013

Notes A to L apply to ALL filings.			
	E	Delivery Instructions	All filings must be postmarked 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. The Department accepts delivery from all commercial and private carriers in addition to the U. S. Post Office. **Foreign/Alien Insurers**: Receipt of the Jurat Page by the Pennsylvania Department of Revenue does not satisfy the filing requirements with the Department. Late filings will be penalized as authorized by law. 40 P.S. §443(e)(1) and 40 P.S. 991.1410 –not to exceed $200 per day.
	F	Late Filings	Late filings will be penalized as authorized by law. 40 P.S. §443(e)(1) and 40 P.S. § 991.1410 – not to exceed $200 per day.
	G	Original Signatures	**Domestic Insurers**: At least one hard copy financial statement filing must contain original signatures of the officers (identified in note H below) and the notary. For the second hard copy, a photocopy of the original signed Jurat Page is permitted. **Foreign/Alien Insurers**: A photocopy of the original signed Jurat Page is permitted. **All Insurers**: Financial statement filings may not carry stamped facsimile signatures.
	H	Signature/ Notarization/ Certification on the Jurat Page	The following three Officers, or a person(s) performing similar functions, of Pennsylvania domiciled insurers are required to certify, on the Jurat Page, Quarterly and Annual Financial Statements filed with Pennsylvania Insurance Department, NAIC and other states: 1) Chief Executive Officer 2) Chief Financial Officer 3) Corporate Secretary • If your organization does not utilize the above titles, please notify the Financial Analysis Division in writing and explain how the positions of the individuals who sign your financial statements perform similar functions to a CEO, CFO or Secretary. • Individuals performing the duties of both CFO and Secretary must sign separately under each title. • Appropriate notarization is required. • The name and address of any consulting person or organization who participated in the preparation of the annual statement must be noted on the Jurat Page of the statement. • PA has no requirement that individuals must be listed in the "Other" category. • **Foreign/Alien Insurers**: A photocopy of the original signed Jurat Page is permitted.
	I	Amended Filings	• Domestic company amended items must be filed with Pennsylvania and the NAIC. Amendments are to be filed along with a letter of explanation for each amended item and a statement as to what impact the amendments had on the year end Risk Based Capital Report. • If any amendments are determined by the company to impact the results of the RBC calculation as reported on the Five Year Historical page of the annual statement, then a revised RBC report must be filed along with an amended 5 Year Historical page with Pennsylvania and the NAIC. • A new Jurat page completed in all respects, must accompany all amendments. Signature requirements for the original filing noted above in Notes G and H should be followed for any amendment. • **FOREIGN/ALIEN INSURERS SHOULD NOT FILE AMENDED JURAT PAGES WITH THE DEPARTMENT.**
	J	Extensions of Normal Filings	Please note that there is no provision in the insurance laws of Pennsylvania that permit granting an extension for the filing of the annual or quarterly statements.
	K	Bar Codes	Required for PA and NAIC filings. Please follow the instructions in the *NAIC Annual Statement Instructions*.
	L	NONE Filings	Blank items, i.e., schedules, interrogatory responses, supplemental compensation exhibit or Notes to the Financial Statements will not be considered properly filed. If no entries are to be made, write "None", "Not Applicable" or "No Changes" to complete the item in accordance with the *NAIC Annual and Quarter Statement Instructions.*
	M	Vendors for Blanks	The NAIC provides a list of vendors of annual, quarterly and risk-based capital software vendors at: http://www.naic.org/industry_filing_participation_vendors.htm The Department does not endorse or promote any individual private software vendor.
	N	Insurance Guaranty Association	Please note that the *NAIC Annual Statement Instructions* require that all payments to the Pennsylvania Life and Health Insurance Guaranty Association be reported in Exhibit 3, Line 6. All other unpaid taxes

NOTES
PENNSYLVANIA 2013

Notes A to L apply to ALL filings.

		Payments	should be reported on Page 3, Line 14 of the annual statement.
	O	Quarterly Filings	The due dates listed in column 5 apply to domestic companies required to file quarterly statements. • If you filed quarterly statements in 2013 you are required to do so in 2014. • For those that filed internally prepared quarterly statements in 2013, you must continue to do so in 2014 unless advised that you must start filing on the Quarterly Statement Blank. • For those that did not file quarterly statements in 2013 be aware that your company *may be* requested, at a later date, to file 2014 quarterly filings with the Department. **FOREIGN/ALIEN COMPANIES FILING WITH NAIC SHOULD NOT FILE A QUARTERLY JURAT PAGE WITH THE DEPARTMENT.**
	P	Risk Based Capital Report	The following domestic insurers are automatically exempt: mono-line mortgage guaranty insurers, financial guaranty insurers, and title insurers. 40 P.S. § 221.13-A An insurer that meets **all** of the conditions listed below is exempt from the RBC filing requirements unless the Commissioner makes a specific finding requiring the filing. Companies meeting **all** of the following conditions must demonstrate how they meet all three conditions. Please attach the company's written demonstration of exemption as a supplement to the Five-Year Historical Exhibit in the Annual Statement. 1. Insurer which writes direct business only in Pennsylvania. 2. Insurer writes direct annual premiums of less than $10,000,000. 3. Insurer assumes no reinsurance in excess of five percent of direct premium written except for assumed reinsurance of business directly written in Pennsylvania if the assuming insurer's total annual net written premium is less than $10,000,000. **Note: All RBC Reports are confidential pursuant to 40 P.S. § 221.12-A.**
	Q	Supplemental Compensation Exhibit	Part 1, Part 2 and Part 3, follow the *NAIC Annual Statement Instructions.* Part 2 modification ONLY for Pennsylvania domestic insurers that are licensed in Pennsylvania only and had total direct written premiums of less than $2,000,000 in 2013: Insurers shall disclose the compensation of: 1. The chief executive officer, 2. Up to four additional persons, regardless of amount, in the following sequence: a. Remaining officers whose compensation is not limited to a de minimis fee for attendance at meetings of the board of directors, b. Non-officer employees whose compensation exceeds $35,000 annually. Not filing this exhibit, or filing this exhibit marked NONE is not acceptable.
	R	Actuarial Opinion:	Pennsylvania amended 31 PA Code § 84b effective January 1, 2009 to require that all domestic life insurance companies submit actuarial opinions based on an asset adequacy analysis in accordance with § 84b.8 and with applicable actuarial standards.
	S	Actuary – Appointment Notification Letter	Follow the *NAIC Annual Statement Instructions*.
	T	Actuary – Change Notification Letters	Follow the *NAIC Annual Statement Instructions*.
	U	Regulatory Asset Adequacy Issues Summary	**Domestic Insurers:** In addition to Statement of Actuarial Opinion filed with the annual financial statements on or before March 1 each year, Pennsylvania requires the filing (2 copies) of a Regulatory Asset Adequacy Issues Summary (RAAIS) by March 15. Details of the RAAIS may be found under § 84b.9 (c). The RAAIS will be maintained as confidential by the Department under 40 P.S. § 65.2-A (a). The RAAIS should be sent separately from the Statement of Actuarial Opinion and clearly marked "Confidential". Refer to note B for mailing address.
	W	Related Financial	***Listing of Reinsurers:*** The purpose of the list of Qualified Unlicensed Reinsurers is to permit insurers licensed in Pennsylvania to take reserve credits in its financial statements under 40 P.S. § 442.1. The

NOTES
PENNSYLVANIA 2013

Notes A to L apply to ALL filings.

		Statement Information	current list can be accessed from the Department's website by going to **Services for Insurance Companies.** Choose **Doing Business in the Commonwealth** then select Qualified Unlicensed Reinsurers. The status of a Qualified Unlicensed Reinsurer can be confirmed by contacting: Neel Vaidya Office of Corporate and Financial Regulation 1345 Strawberry Square Harrisburg, PA 17120 Phone: 717.783.0669 E-Mail: nvaidya@pa.gov
	X	Audit/Internal Control Related Reports	Notes related to Section IV have been consolidated into a separate memo found under the heading **Audited Financial Reports,** at Audit/Internal Control Related Reports – Notes.
	Y	Annual & Other Holding Company Requirements	Companies subject to the Holding Company Registration Act can find forms on the Department's website at Holding Company Related Forms.
	Z	Annual Valuation Filing	Detailed guidance to assist companies that report reserve liabilities on their annual statement can be found under the heading **Annual Statements,** at Valuation Filing Instructions. .
	AA	Biographical Affidavits: Company Requirements Holding Company Requirements Bio Form	**Bios should not be filed by Foreign/Alien companies who have filed with their state of domicile.** Bios for domestic companies and holding companies must be filed in the original and kept current for Officers and Directors. For domestic companies, the Department requires original bios to be filed for all Officers and Directors listed on Jurat page: • When a new Officer or Director is named, and • When the last bio filed with the Department is five years old. Do **NOT** file bio with Annual or Quarterly Statement filings or Supplemental filings. For holding companies, file an original bio for all Officers and Directors with an Annual or Amended Form B filing: • When there is a new Officer or Director, and • When the last bio is three years old for a given Officer or Director. http://www.naic.org/documents/industry_ucaa_form11.doc http://www.naic.org/documents/industry_ucaa_form11.pdf
	EE	Changes in Governance	If there has been any changes made during the year in the by-laws or articles of incorporation of the reporting entity submit these changes to the Department addressed to: Kim Rankin, Director Bureau of Company Licensing and Financial Analysis 1345 Strawberry Square Harrisburg, PA 17120 Phone: 717.783.6409 E-Mail: krankin@pa.gov There is a filing fee of $300 for restating or amending the Articles of Incorporation, no filing fee for changes to the by-laws. Note that amendments to the Articles of Incorporation require the prior approval of the Insurance Department (e.g. Name Change, recapitalization, etc.). **Foreign/Alien Insurers** are required to file under 40 P.S. §421.
	GG	Notification of Address Changes	Whenever a company has a change in Statutory Home Office or Mailing Address a form must be completed and submitted to enable us to update our records. Please complete the Change Of Mailing Address/Contact Notification Form: http://www.naic.org/industry_ucaa_corp_amend.htm#section6 and then fax or email to: Kim Rankin, Director Bureau of Company Licensing and Financial Analysis

NOTES PENNSYLVANIA 2013			
Notes A to L apply to ALL filings.			
			Fax: 717.787.8557 Email: krankin@pa.gov
	HH	Actuarial Memorandum related to Universal Life with Secondary Guarantee Policies required under Section 8D of Actuarial Guideline 38	Companies with in force universal life with secondary guarantees business subject to Section 8D of Actuarial Guideline 38 will submit a detailed supporting Actuarial Memorandum, including a reserve analysis, for that business pursuant to Section 8D on or before April 30, 2014 .
	II	Actuarial Guideline 38 Section 8E Filings for Companies writing Universal Life Insurance Products with Secondary Guarantees, unless previously filed directly with the Department	Companies writing universal life with secondary guarantees business that has been re-priced during 2013 shall submit the following documents. Where reserve “Method I” is utilized, submit an actuarial opinion and company representation for that business pursuant to Section 8E of Actuarial Guideline 38. Where reserve“Method II” is utilized, submit a report that supports compliance with the requirements of such method. Documents shall be mailed on or before March 15, 2014.