

LICENSED TITLE COMPANIES

COMPANY NAME: _____ NAIC Company Code: _____
 Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: PENNSYLVANIA

Filings Made During the Year 2015

FOREIGN/ALIEN COMPANIES SHOULD ONLY FILE THOSE SPECIFIC ITEMS NOTED AS REQUIRED IN THE FOREIGN COLUMN. PLEASE DO NOT FILE ITEMS NOT SPECIFICALLY REQUIRED.

(1) Check-list	(2) Line #	(3) Required Filings For Pennsylvania 40 P.S. §§ 910.54(2) and 443(a)(1) and (2)	(4) Number Of Copies			(5) Due Date	(6) Form Source	(7) Applicable Notes
			State	NAIC	Foreign			
			State	NAIC	State			***
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 1/2" x 14")	2	EO	xxx	3/1	NAIC	I, M, O, R, S, BB
	1.1	Printed Investment Schedule detail	2	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	I, M, N, R, S, BB
		II. NAIC SUPPLEMENTS						
	10	Actuarial Opinion	2	EO	xxx	3/1	Company	
	11	Actuary – Appointment Notification Letter	1	N/A	N/A	See Note	Company	P
	12	Actuary – Change Notification Letters	1	N/A	N/A	See Note	Company	Q
	13	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	14	Management Discussion & Analysis	2	EO	xxx	4/1	Company	
	15	Schedule SIS	2	N/A	N/A	3/1	NAIC	
	16	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	O
	17	Supplemental Schedule of Business Written By Agency	xxx	EO	xxx	4/1	NAIC	
		III. ELECTRONIC FILING REQUIREMENTS						
	50	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
	51	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
	52	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
	53	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
	54	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	N
	55	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	N
	56	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	T
	72	Accountant’s Letter of Qualifications	2	EO	N/A	6/1	Company	T
	73	Audit Committee Designation Notification	1	N/A	N/A	4/1 See Note	Company	T
	74	Audited Financial Reports	2	EO	xxx	6/1	Company	T
	75	Audited Financial Reports Exemption Affidavit	0	N/A	N/A	See Note	Company	T
	76	Communication of Internal Control Related Matters Noted in Audit	2	N/A	N/A	8/1 See Note	Company	T
	77	Exemption from Audit Committee Requirements	1	EO	N/A	3/1 See Note	Company	T
	78	Exemption from Prohibited Non-Auditing Services	1	EO	N/A	6/1 See Note	Company	T
	79	Independent CPA (change)	1	N/A	N/A	See Note	Company	T
	80	Independent CPA (newly required to file)	1	N/A	N/A	See Note	Company	T
	81	Management’s Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1 See Note	Company	T
	82	Notification of Adverse Financial Condition	2	N/A	N/A	See Note	Company	T

(1) Check-list	(2) Line #	(3) Required Filings For Pennsylvania 40 P.S. §§ 910.54(2) and 443(a)(1) and (2)	(4) Number Of Copies			(5) Due Date	(6) Form Source	(7) Applicable Notes
			Domestic	Foreign				
			State	NAIC	State			***
	83	Relief from Rotation & Cooling-Off Requirements	1	EO	N/A	3/1 See Note	Company	T
	84	Request for Exemption to File & from Other Requirements	1	N/A	N/A	See Note	Company	T
	85	Request for Extension to Filing	1	N/A	N/A	5/21	Company	T
V. STATE REQUIRED FILINGS								
	101	Annual Holding Company Registration Statement	1	N/A	N/A	3/31	Company	U
	102	Biographical Affidavits	1	N/A	N/A	See Note	NAIC	V
	103	Certificate of Compliance	0	0	N/A	N/A	N/A	
	104	Changes in Governance	1	N/A	1	See Note	Company	Z
	105	Enterprise Risk Reports – Form F	1	N/A	N/A	3/31	Company	U
	106	Filings Checklist (with Column 1 completed)	0	0	xxx	See General Instructions	State	
	107	Taxes	See Note	N/A	See Note	See Note	State	D
	108	Signed Jurat	xxx	0	1	3/1	NAIC	G, H, I, N
	109	State Filing Fees	1	0	1	See Note	State	C
	110	Notification of Address Changes	1	0	1	See Note	State	BB

*** See Notes A to L.

New for 2013

FOREIGN/ALIEN COMPANIES SHOULD ONLY FILE THOSE SPECIFIC ITEMS NOTED AS REQUIRED IN THE FOREIGN COLUMN. PLEASE DO NOT FILE ITEMS NOT SPECIFICALLY REQUIRED.

Check the 2014 NAIC Annual Statement Instructions as well as the 2015 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**

Col. Description Instructions – Title 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 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 insurer.
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

Col. Description Instructions – Title Insurers

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 **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 and the .pdf files for all quarterly data.
 The **Quarterly .PDF Filing** is the .pdf for quarterly statement data.
 The **June .PDF Filing** is the .pdf file for the Audited Financial Reports and Accountants Letter of Qualifications.

- (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.
FOREIGN/ALIEN COMPANIES SHOULD ONLY FILE THOSE SPECIFIC ITEMS NOTED AS REQUIRED IN THE FOREIGN COLUMN. PLEASE DO NOT FILE ITEMS NOT SPECIFICALLY REQUIRED.
- (5) Due Date Indicates the date on which the company must file the form. See Note E.
- (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” section. Please read each applicable note carefully before submitting a filing.

**NOTES
PENNSYLVANIA**

Notes A to L apply to ALL filings.

A	Required Filings Contact Person	Title Companies Financial Analysis Division Phone: 717.783.2142 E-Mail: IN_Analysis@pa.gov		
B	Mailing Address	<table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">State: Title Insurance Companies Financial Analysis Division Pennsylvania Insurance Department 1345 Strawberry Square Harrisburg, PA 17120</td> <td style="width: 50%;">NAIC: NAIC Data Base 1100 Walnut Street, Suite 1500 Kansas City, MO 64106-2197 Phone: 816.783.8600</td> </tr> </table>	State: Title 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
State: Title 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	<p>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.</p> <p>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.</p> <p>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.</p> <p>To minimize returned checks, additional fees, and other problems, please take note of the following instructions:</p> <ol style="list-style-type: none"> 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. 		

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		<p>4. Make checks payable to the “Commonwealth of Pennsylvania.”</p> <p style="text-align: center;">Questions regarding the filing fees: Meghan Rhoads Office of Corporate and Financial Regulation E-Mail: merhoads@pa.gov Phone at 717.783.2142</p>
D	Tax Payments	<p>Do not send premium tax filing to Pennsylvania Insurance Department. Please see: http://www.revenue.pa.gov</p> <p>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.</p>
E	Delivery Instructions	<p>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.</p> <p>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.</p>
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	<p>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.</p> <p>Foreign/Alien Insurers: A photocopy of the original signed Jurat Page is permitted.</p> <p>All Insurers: Financial statement filings may not carry stamped facsimile signatures.</p>
H	Signature/ Notarization/ Certification on the Jurat Page	<p>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:</p> <ol style="list-style-type: none"> 1) Chief Executive Officer 2) Chief Financial Officer 3) Corporate Secretary <ul style="list-style-type: none"> • If your organization does not utilize the above titles, please notify the Financial Analysis Division and explain how the positions of the individuals who sign your financial statement 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 requirements 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	<ul style="list-style-type: none"> • 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.

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Notes A to L apply to ALL filings.

K	Bar Codes	Required for PA and NAIC filings. Please follow the instructions in the <i>NAIC Annual Statement Instructions</i> .
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 <i>NAIC Annual and Quarter Statement Instructions</i> .
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	Quarterly Filings	The due dates listed in column 5 apply to domestic companies required to file quarterly statements. <ul style="list-style-type: none"> • If you filed quarterly statements in 2014 you are required to do so in 2015. • For those that filed internally prepared quarterly statements in 2014, you must continue to do so in 2015 unless advised that you must start filing on the Quarterly Statement Blank. • For those that did not file quarterly statements in 2014 be aware that your company <i>may be</i> requested, at a later date, to file 2015 quarterly filings with the Department. <p>FOREIGN/ALIEN COMPANIES FILING WITH NAIC SHOULD NOT FILE A QUARTERLY JURAT PAGE WITH THE DEPARTMENT.</p>
O	Supplemental Compensation Exhibit	Part 1, Part 2 and Part 3, follow the <i>NAIC Annual Statement Instructions</i> . 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 2014: Insurers shall disclose the compensation of: <ol style="list-style-type: none"> 1. The chief executive officer, 2. Up to four additional persons, regardless of amount, in the following sequence: <ol style="list-style-type: none"> a) Remaining officers whose compensation is not limited to a de minimus fee for attendance at meetings of the board of directors, b) Non-officer employees whose compensation exceeds \$35,000 annually. <p>Not filing this exhibit, or filing this exhibit marked NONE is not acceptable.</p>
P	Actuary-Appointment Notification Letter	Follow the <i>NAIC Annual Statement Instructions</i> .
Q	Actuary - Change Notification Letters	Follow the <i>NAIC Annual Statement Instructions</i> .
R	Resources Available from NAIC	Guidance on accessing various resources available from the NAIC to assist in filing accurate statements can be found under the heading Annual Statements , at Accounting and Reporting Related Resources .
S	Related Financial Statement Information	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 current list can be accessed from the Department's website by going to Services for Insurance Companies . Choose Doing Business in Pennsylvania then select Qualified Unlicensed Reinsurers . The status of a Qualified Unlicensed Reinsurer can be confirmed by contacting: Erik J. Bunty Office of Corporate and Financial Regulation 1345 Strawberry Square Harrisburg, PA 17120 Phone: 717.346-8002 E-Mail: ebunty@pa.gov
T	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 .

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Notes A to L apply to ALL filings.

	U Annual & Other Holding Company Requirements	Companies subject to the Holding Company Registration Act can find forms at the Department's website at Holding Company Related Forms .
	V Biographical Affidavits: Company Requirements Holding Company Requirements Bio Form	<p>Bios should not be filed by Foreign/Alien companies who have filed with their state of domicile.</p> <p>Bios for domestic companies and holding companies must be filed in the <u>original</u> and kept current for Officers and Directors.</p> <p>For domestic companies, the Department requires original bios to be filed for all Officers and Directors listed on Jurat page:</p> <ul style="list-style-type: none"> • When a new Officer or Director is named, and • When the last bio filed with the Department is five years old. <p>Do NOT file bio with Annual or Quarterly Statement filings or Supplemental filings.</p> <p>For holding companies, file an original bio for all Officers and Directors with an Annual or Amended Form B filing:</p> <ul style="list-style-type: none"> • When there is a new Officer or Director, and • When the last bio is three years old for a given Officer or Director. <p>http://www.naic.org/documents/industry_ucaa_form11.doc http://www.naic.org/documents/industry_ucaa_form11.pdf</p>
	Z Changes in Governance	<p>If there has been any changes made during the year in the bylaws or Articles of Incorporation of the reporting entity submit these changes to the Department addressed to:</p> <p style="text-align: center;">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</p> <p>There is a filing fee of \$300 for restating or amending the Articles of Incorporation, no filing fee for changes to the bylaws. Note that amendments to the Articles of Incorporation require the prior approval of the Insurance Department (e.g. Name Change, recapitalization, etc.).</p> <p>Foreign/Alien Insurers are only required to file restated or amended Articles of Incorporation. Foreign/Alien Insurers should not file amended bylaws.</p>
	BB Notification of Address Changes	<p>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:</p> <p style="text-align: center;">Kim Rankin, Director Bureau of Company Licensing and Financial Analysis Fax: 717.787.8557 Email: krankin@pa.gov</p>