

TITLE COMPANIES

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: Wyoming Filings Made During the Year 2021

(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				
I. NAIC FINANCIAL STATEMENTS								
	1	Annual Statement (8 1/2" x 14")	2	EO	xxx	3/1	NAIC	A-N
	1.1	Printed Investment Schedule detail (Pages E01-E29)	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	
II. NAIC SUPPLEMENTS								
	11	Actuarial Opinion	2	EO	xxx	3/1	Company	
	12	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	13	Management Discussion & Analysis	2	EO	xxx	4/1	Company	
	14	Schedule SIS	2	N/A	N/A	3/1	NAIC	
	15	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	
	16	Supplemental Schedule of Business Written By Agency	2	N/A	xxx	4/1	NAIC	
III. ELECTRONIC FILING REQUIREMENTS								
	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	
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
	81	Accountants Letter of Qualifications	2	EO	N/A	6/1	Company	O
	82	Audited Financial Reports	2	EO	xxx	6/1	Company	
	83	Audited Financial Reports Exemption Affidavit	0	N/A	N/A		Company	
	84	Communication of Internal Control Related Matters Noted in Audit	2	EO	N/A	8/1	Company	P
	85	Independent CPA (change)	2	N/A	N/A		Company	Q
	86	Management's Report of Internal Control Over Financial Reporting	2	N/A	N/A	8/1	Company	
	87	Notification of Adverse Financial Condition	2	N/A	N/A		Company	R
	88	Request for Exemption to File	2	N/A	N/A		Company	S
	89	Relief from the five-year rotation requirement for lead audit partner	2	EO	xxx	3/1	Company	T
	90	Relief from the one-year cooling off period for independent CPA	2	EO	xxx	3/1	Company	U
	91	Relief from the Requirements for Audit Committees	2	EO	xxx	3/1	Company	V
V. STATE REQUIRED FILINGS***								
	101	Corporate Governance Annual Disclosure***	2	0	0		Company	AD
	102	Controlled Business Transaction Report	2	0	1		State	W
	103	Estimated Quarterly Premium Tax Report	1	0	1	4/30, 7/31, 10/31	State	X
	104	Filings Checklist (with Column 1 completed)	1	0	0	3/1	State	
	105	Form B-Holding Company Registration Statement	2	0	0	7/1	Company	Y
	106	Form F-Enterprise Risk Report ****	2	0	0	7/1	Company	Z
	107	ORSA *****	2	0	0		Company	AA

(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			
	108	Premium Tax Return	2	0	1	3/1	State	AB, AC
	109	Signed Jurat	2	xxx	0		NAIC	L
	110	State Filing Fees	1	0	1	3/1	State	AB, AC

*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.

****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

*****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

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Filings Contact Person:	Tammy Higgins, Auditor Phone Number (307) 777-6884 tammy.higgins@wyo.gov
	B	Mailing Address:	106 East 6 th Avenue Cheyenne, WY 82002
	C	Mailing Address for Filing Fees:	Electronic filing available through: NAIC OPTins via Department website at http://doi.wyo.gov or If submitting via mail use mailing address above.
	D	Mailing Address for Premium Tax Payments:	Electronic filing available through: NAIC OPTins via Department website at http://doi.wyo.gov or If submitting via mail use mailing address above.
	E	Delivery Instructions:	All filings must be postmarked no later than the indicated due date. If due date falls on a weekend or holiday then the deadline is extended to the next business day.
	F	Late Filings:	Insurer's certificate of authority may be suspended or revoked if failing to file its reports when due.
	G	Original Signatures:	Original signatures required on all filings which require signatures.
	H	Signature/Notarization/Certification:	Statements shall be verified by the oath of the insurer's president or vice- president and secretary or actuary as applicable.
	I	Amended Filings:	Please follow the NAIC Guidelines
	J	Exceptions from normal filings:	Foreign companies must supply a copy of an exemption or extension by the state of domicile prior to the due date.
	K	Bar Codes (State or NAIC):	Please follow the NAIC Instructions
	L	Signed Jurat:	Wyoming does not require foreign companies to file a Signed Jurat page.
	M	NONE Filings:	See NAIC instructions with exceptions to those noted on the form.
	N	Filings new, discontinued or modified materially since last year:	None

O	Accountants Letter of Qualifications:	Refer to W.S. 26-3-311
P	Communication of Internal Control Related Matters Noted in Audit:	Refer to W.S. 26-3-310
Q	Designation of Independent CPA:	If the CPA is not the CPA who prepared the immediately preceding filed audited financial report for the insurer, due to dismissal or resignation, the insurer shall notify the department within 5 business days of the change. Refer to W.S. 26-3-305.
R	Notification of Adverse Financial Condition:	An insurer that has received a report of adverse financial condition shall forward a copy of the report to the commissioner within five (5) business days of receipt of the report. Refer to W.S. 26-3-309.
S	Request for Exemption to File:	Refer to W.S. 26-3-313
T	Relief from the five-year rotation requirement for lead audit partner.	Refer to W.S. 26-3-306(c)
U	Relief from the one-year cooling off period for independent CPA.	Refer to W.S. 26-3-306(n)
V	Relief from the Requirements for Audit Committees.	Refer to W.S. 26-3-315
W	Controlled Business Transactions Report	Regulations, Chapter 3, Section 4
X	Estimated Quarterly Premium Tax Return:	Instructions on the estimated quarterly premium tax return form.
Y	Holding Company Registration Form B and C	Refer to W.S. 26-44-104
Z	Form F-Enterprise Risk Report ****	Refer to W.S. 26-44-104(n)
AA	ORSA*****	Refer to W.S. 26-51-101 et seq.
AB	Premium Tax Return:	See instructions attached to the tax return.
AC	Payment Instructions: If paying under protest, please include an explanation letter.	Electronic filing and payment available through NAIC OPTins via Department website at http://doi.wyo.gov or Make checks payable to the Wyoming State Treasurer. Each check should include the company's NAIC # and make one copy of the check.
AD	Corporate Governance Annual Disclosure	Refer to W.S. 26-54-101 et seq.
	All Forms are on the Wyoming Insurance Department's Website	http://doi.wyo.gov

CONTACT PEOPLE FOR SPECIALIZED AREAS

Wyoming requires the UCAA Corporate Amendments application for approval of mergers, name changes, redomestications, etc. Contact Tammy Rathburn, Office Support Specialist, (307) 777-7401, tammy.rathburn@wyo.gov

Direct any questions on updating Service of Process information to Ann Bochmann, Paralegal, (307) 777-6916, ann.bochmann@wyo.gov

**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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