

HEALTH ENTITIES

COMPANY NAME: _____ **NAIC Company Code:** _____
Contact: _____ **Telephone:** _____
REQUIRED FILINGS IN THE STATE OF: NEW JERSEY **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		Foreign			
			State	NAIC	State			
I. NAIC FINANCIAL STATEMENTS								
	1	Annual Statement (8 1/2"X14")	4	EO	4	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E27)	4	EO	4	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	4	EO	4	5/15, 8/15, 11/15	NAIC	
II. NAIC SUPPLEMENTS								
	10	Accident & Health Policy Experience Exhibit	4	EO	4	4/1	NAIC	
	11	Actuarial Opinion	4	EO	4	3/1	Company	HMO due 3/1, 5/15, 8/15, 11/15
	12	Health Care Exhibit (Parts 1, 2 and 3) Supplement	4	EO	4	4/1	NAIC	
	13	Health Care Exhibit's Allocation Report Supplement	4	EO	4	4/1	NAIC	
	14	Investment Risk Interrogatories	4	EO	4	4/1	NAIC	
	15	Life Supplemental Data due March 1	4	EO	4	3/1	NAIC	
	16	Life Supp Statement non-guaranteed elements –Exh 5, Int. #3	4	EO	4	3/1	Company	
	17	Life Supp Statement on par/non-par policies – Exh 5 Int. 1&2	4	EO	4	3/1	Company	
	18	Life Supplemental Data due April 1	4	EO	4	4/1	NAIC	
	19	Long-term Care Experience Reporting Forms	4	EO	4	4/1	NAIC	
	20	Management Discussion & Analysis	4	EO	4	3/1, 5/15, 8/15, 11/15	Company	
	21	Medicare Supplement Insurance Experience Exhibit	4	EO	4	3/1	NAIC	
	22	Medicare Part D Coverage Supplement	4	EO	4	3/1, 5/15, 8/15, 11/15	NAIC	
	23	Property/Casualty Supplement due March 1	4	EO	4	3/1	NAIC	
	24	Property/Casualty Supplement due April 1	4	EO	4	4/1	NAIC	
	25	Risk-Based Capital Report	4	EO	4	3/1	NAIC	Not required for ODS and DPO
	26	Schedule SIS	4	N/A	N/A	3/1	NAIC	
	27	Supplemental Compensation Exhibit	4	N/A	N/A	3/1	NAIC	
III. ELECTRONIC FILING REQUIREMENTS								
	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	N/A	3/1	NAIC	Not required for ODS and DPO
	53	Risk-Based Capital .PDF Filing	xxx	1	N/A	3/1	NAIC	Not required for ODS and DPO
	54	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	55	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	56	Quarterly Statement Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	57	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	58	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
	71	Accountants Letter of Qualifications	4	EO	N/A	6/1	Company	If applicable
	72	Audited Financial Reports	4	EO	4	6/1	Company	
	73	Audited Financial Reports Exemption Affidavit	4	N/A	N/A		Company	If applicable
	74	Communication of Internal Control Related Matters Noted in Audit	4			8/1	Company	If applicable
	75	Independent CPA (change)	4	N/A	N/A		Company	If applicable
	76	Management's Report of Internal Control Over Financial Reporting	4			8/1	Company	If applicable
	77	Notification of Adverse Financial Condition	4	N/A	N/A		Company	If applicable
	78	Request for Exemption to File	4	N/A	N/A	12/31/11	Company	Must be written
	79	Relief from the five-year rotation requirement for lead audit partner, except for HMOs which is a seven-year rotation per the regs.	1	EO	N/A	3/1	Company	Must be written
	80	Relief from the one-year cooling off period for independent CPA, except for HMOs which is a two year cooling off period per the regs.	1	EO	N/A	3/1	Company	Must be written
	81	Relief from the Requirements for Audit Committees	1	EO	N/A	3/1	Company	Must be written
V. STATE REQUIRED FILINGS								
	101	Filings Checklist (with Column 1 completed)	1	N/A	1		State	
	102	State Filing Fees	1	N/A	1		State	See fee letter
	103	Signed Jurat	4	N/A	4		NAIC	
	104	HMO NJ Supplement and/or Schedules	4	N/a	4	3/1, 5/15, 8/15, 11/15	State	
	105	DPO NJ Supplement and/or Schedules	4	N/A	4	3/1, 5/15, 8/15, 11/15	State	
	106	ODS NJ Supplement and/or Schedules	4	N/A	4	3/1, 5/15, 8/15, 11/15	State	
	107	NJ Medicare Supplement Under 50 Plan	4	N/A	4	3/1	State	See Note P
	108	NJ Individual Health & Small Employer Health	4	N/A	4	3/1	State	See Note Q
	109	Annual From B & C Filing	2	N/A	N/A	4/1	State	If applicable NJSA 17:27A3

*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.

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Filings Contact Person:	<u>Joann Jones</u> <u>Telephone (609) 292-5350 ext 50085</u> <u>admissions&selfinsurance@dobi.state.nj.us</u>
	B	Mailing Address:	Office of Solvency Regulation P. O. BOX 325 Trenton, NJ 08625-032520
	C	Delivery Instructions:	West State Street, 10 th Floor Trenton, NJ 0860
	D	Mailing Address for Filing Fees:	Same as above
	E	Mailing Address for Premium Tax Payments:	New Jersey Division of Taxation P.O. BOX 247 Trenton, NJ 08646-0247
	F	Delivery Instructions:	160 South Broad Street Trenton, NJ 08646
	G	Late Filings:	All entities will be fined \$100 per day for a late filing which the exception of HSCs and DCSs which will be fined \$25 per day per the regulations.
	H	Original Signatures:	Original signatures required from domestic companies. Foreign companies should follow the instructions from the NAIC or their state of domiciled.
	I	Signature/Notarization/Certification:	President & Secretary, or in their absence, two principal officers must sign the annual statement. By signing the statement they are certifying the statement is correct. In addition the signatures must be notarized.
	J	Amended Filings:	Amended items must be filed within 10 days of their amendment, along with an explanation of the amendments. If there are signature requirements for the original filing, same should be followed for amendment.
	K	Exceptions from normal filings:	Foreign companies must supply a written copy of any exemption or extension received from its state of domicile at least 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.
	L	Bar Codes (State or NAIC):	See NAIC Annual Statement Instructions
	M	Signed Jurat:	See Notes I and H above
	N	NONE Filings:	See NAIC Annual Statement Instructions
	O	Filings new, discontinued or modified materially since last year:	All filings must be received by their due date. See Note G above for late filings.
	P	NJ Medicare Supplement Under 50 Plan See right for mail address	NJ Medicare Supplement Under 50 Plan c/o Pool Administrators Inc. 628 Hebron Avenue, Suite 212 Glastonbury, CT 06033
	Q	New Jersey Small Employer and Individual Health Benefits Program	Call Ellen DeRosa (609) 633-1882 ext 50302 with questions

**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 investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The *March .PDF Filing* is the .pdf file for annual statement data, detail for investment schedules 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 risk-based capital data.

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 supplemental schedules and exhibits due April 1.

The *Quarterly Electronic Filing* includes the complete quarterly filing and the PDF files for all quarterly data.

The *Quarterly .PDF Filing* is the .pdf file 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 (EX4) 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 have chosen 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 the state 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.