

HEALTH ENTITIES

COMPANY NAME: _____ NAIC Company Code: _____
 Contact: _____ Telephone: _____
 REQUIRED FILINGS IN THE STATE OF: Maine Filings Made During the Year 2010

(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			
			State	NAIC				
I. NAIC FINANCIAL STATEMENTS								
	1	Annual Statement (8 1/2"X14")	3	EO	2	3/1	NAIC	
	1.1	Printed Investment Schedule detail (Pages E01-E27)	2	EO	XXX	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2' x 14")	2	EO	1	5/15, 8/15, 11/15	NAIC	
II. NAIC SUPPLEMENTS								
	10	Accident & Health Policy Experience Exhibit	1	EO	XXX	4/1	NAIC	
	11	Actuarial Opinion	1	EO	1	3/1	Company	
	12	Investment Risk Interrogatories	1	EO	1	4/1	NAIC	
	13	Life Supplemental Data due March 1	0	EO	0	3/1	NAIC	
	14	Life Supp Statement non-guaranteed elements –Exh 5, Int. #3	1	EO	1	3/1	Company	
	15	Life Supp Statement on par/non-par policies – Exh 5 Int. 1.1	1	EO	1	3/1	Company	
	16	Life Supplemental Data due April 1	0	EO	0	4/1	NAIC	
	17	Long-term Care Experience Reporting Forms	1	EO	XXX	4/1	NAIC	
	18	Management Discussion & Analysis	1	EO	1	4/1	Company	
	19	Medicare Supplement Insurance Experience Exhibit	1	EO	XXX	3/1	NAIC	
	20	Medicare Part D Coverage Supplement	1	EO	1	3/1, 5/15, 8/15, 11/15	NAIC	
	21	Property/Casualty Supplement due March 1	0	EO	0	3/1	NAIC	
	22	Property/Casualty Supplement due April 1	0	EO	0	4/1	NAIC	
	23	Risk-Based Capital Report	1	EO	1	3/1	NAIC	
	24	Schedule SIS	1	N/A	N/A	3/1	NAIC	
	25	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	O
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	
	53	Risk-Based Capital .PDF Filing	XXX	1	N/A	3/1	NAIC	
	54	Supplemental Electronic Filing	XXX	1	XXX	4/1	NAIC	
	55	Supplemental .PDF Filing	XXX	1	XXX	4/1	NAIC	
	56	June .PDF Filing	XXX	1	XXX	6/1	NAIC	
	57	Quarterly Electronic Filing	XXX	1	XXX	5/15, 8/15, 11/15	NAIC	
	58	Quarterly .PDF Filing	XXX	1	XXX	5/15, 8/15, 11/15	NAIC	
IV. AUDITED FINANCIAL STATEMENTS								
	71	Accountants Letter of Qualifications	1	EO	N/A	6/1	Company	
	72	Audited Financial Statements	1	EO	N/A	6/1	Company	
	73	Audited Financial Statements Exemption Affidavit	1	N/A	N/A	6/1	Company	
	74	Independent CPA	1	N/A	N/A	6/1	Company	
	75	Notification of Adverse Financial Condition	1	N/A	N/A	6/1	Company	
	76	Report of Significant Deficiencies in Internal Controls	1	N/A	N/A	6/1	Company	
	77	Request for Exemption to File	1	N/A	N/A	5/1	Company	
V. STATE REQUIRED FILINGS								
	101	Advertising Certificate	1	0	1	3/1	Company	O
	102	Affidavit of Filing	0	0	0	3/1	State	
	103	Annual Report Supplement (Rule 945)	1	0	1	3/1	State	O
	104	Carrier Reporting Form	1	0	1	2/1	State	O
	105	Certificate of Compliance	1	0	1	3/1	State	
	106	Certificate of Deposit	1	0	1	3/1	State	
	107	Consumer Complaint Contact Update	1	0	1	3/1	State	O
	108	Downstream Risk Arrangement Disclosure	1	0	1	4/1	Company	O
	109	Exam Assessment Fee	1	0	XXX	3/1	State	C
	110	Filings Checklist (with Column 1 completed)	1	0	1	3/1	State	
	111	Form B holding Company Registration Statement	1	0	XXX	5/1	Company	I
	112	Health Insurance Annual Data Report (Rule 940)	1	0	1	4/30	State	O
	113	Health Report Card Survey	1	0	1	3/1	State	O
	114	Maine Fraud and Abuse Annual Report	1	0	1	3/1	State	O
	115	Mandated Benefit Experience Report (Bulletin 292)	1	0	1	4/30	State	O
	116	Premium Tax	1	0	1	3/15	State	D
	117	See Additional HMO Requirement on our website	1	0	1	3/1	State	
	118	Signed Jurat Page	1	0	XXX	3/1, 5/15, 8/15, 11/15	NAIC	
	119	State Filing Fees	1	0	1	8/10	State	C,D
	120	State Page for Maine	1	0	1	3/1	Company	

	121	State Specific Enrollment Data for Maine-HMO only	1	0	1	3/1	NAIC	
	122	Supplemental Health Insurance Report (Bulletin 286A)	1	0	1	4/1	State	O

***If XXX appears in this column, this state does not require this filing, if the data is filed electronically with the NAIC and in accordance to the guidelines of the domiciliary state. 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:	
	B	Mailing Address:	
	C	Mailing Address for Filing Fees:	
	D	Mailing Address for Premium Tax Payments:	
	E	Delivery Instructions:	
	F	Late Filings:	
	G	Original Signatures:	
	H	Signature/Notarization/Certification:	
	I	Amended Filings:	
	J	Exceptions from normal filings:	
	K	Bar Codes (State or NAIC):	
	L	Signed Jurat:	
	M	NONE Filings:	
	N	Filings new, discontinued or modified materially since last year:	

**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.