

# LIFE, ACCIDENT AND HEALTH/FRATERNAL INSURERS CHECKLIST

NORTH DAKOTA INSURANCE DEPARTMENT

## FILINGS CHECKLIST FOR THE STATE OF NORTH DAKOTA - Filings Made during the Year 2024

(1) Check- list	(2) Line #	(3)  REQUIRED FILINGS FOR THE ABOVE STATE (All domestic filings need to be submitted in electronic format only)	(4) NUMBER OF COPIES *			(5)  DUE DATE	(6)  FORM SOURCE **	(7)  APPLICAB LE NOTES
			Domestic		Foreign			
			State	NAIC	State			
		<b>I. NAIC FINANCIAL STATEMENTS</b>						
	1	Annual Statement (8 1/2" X 14")	1	EO	XXX	3/1	NAIC	
	1.1	Investment Schedule detail (pages E01-E29)	1	EO	XXX	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" X 14")	1	EO	XXX	5/15, 8/15, 11/15	NAIC	
	3	Separate Accounts Annual Statement (8 1/2" X 14")	1	EO	XXX	3/1	NAIC	
		<b>II. NAIC SUPPLEMENTS</b>						
	11	Accident & Health Policy Experience Exhibit	1	EO	XXX	4/1	NAIC	
	12	Credit Insurance Experience Exhibit	1	EO	XXX	4/1	NAIC	
	13	Health Supplement	1	EO	XXX	3/1	NAIC	
	14	Life, Health, and Annuity Guaranty Association Assessable Premium Exhibit, Part 1 and 2	1	EO	XXX	4/1	NAIC	
	15	Long-Term Care Experience Reporting Forms	1	EO	XXX	4/1	NAIC	
	16	Management Discussion & Analysis	1	EO	XXX	4/1	Company	
	17	Market Conduct Annual Statement Premium Exhibit for Year	1	EO	XXX	3/1	NAIC	
	18	Medicare Supplement Insurance Experience Exhibit	1	EO	XXX	3/1	NAIC	
	19	Medicare Part D Coverage Supplement	1	EO	XXX	3/1, 5/15, 8/15, 11/15	NAIC	
	20	Risk-Based Capital Report	1	EO	XXX	3/1	NAIC	
	21	Schedule SIS	1	N/A	N/A	3/1	NAIC	
	22	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	
	23	Supplemental Health Care Exhibit (Parts 1 and 2)	1	EO	XXX	4/1	NAIC	
	24	Supplemental Investment Risk Interrogatories	1	EO	XXX	4/1	NAIC	
	25	Supplemental Schedule O	1	EO	XXX	3/1	NAIC	
	26	Supplemental Term and Universal Life Insurance Reinsurance Exhibit	1	EO	XXX	4/1	NAIC	
	27	Trusteed Surplus Statement	1	EO	N/A	3/1, 5/15, 8/15, 11/15	NAIC	
	28	Variable Annuities Supplement	1	EO	N/A	4/1	NAIC	
	29	VM20 Reserves Supplement	1	EO	XXX	3/1	NAIC	
	30	Workers' Compensation Carve-out Supplement	1	EO	XXX	3/1	NAIC	
		<b>Actuarial Related Items</b>						
	31	Actuarial Certification regarding use of 2001 Preferred Class Table	1	EO	XXX	3/1	NAIC	
	32	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	1	EO	XXX	3/1	NAIC	
	33	Actuarial Memorandum Related to Universal Life with Secondary Guarantee Policies required by Actuarial Guideline XXXVIII 8D	1	N/A	XXX	4/30	Company	
	34	Actuarial Opinion	1	EO	XXX	3/1	Company	
	35	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	1	EO	XXX	3/1	Company	
	36	Actuarial Opinion on Synthetic Guaranteed Investment Contracts	1	EO	XXX	3/1	Company	
	37	Actuarial Opinion on X-Factors	1	EO	XXX	3/1	Company	
	38	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation	1	EO	XXX	8/1	Company	
	39	Request for Life PBR Exemption (if applicable)	1	EO	XXX	Commissioner 7/1 NAIC 8/15	Company	



(1) Check- list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE (All domestic filings need to be submitted in electronic format only)	(4) NUMBER OF COPIES *			(5) DUE DATE	(6) FORM SOURCE **	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
		<b>V. STATE REQUIRED FILINGS</b>						
	101	Corporate Governance Annual Disclosure ***	1	0	N/A	6/1	Company	
	102	Form B - Holding Company Registration Statement	1	0	N/A	3/1	State	
	103	Form F - Enterprise Risk Report ****	1	0	N/A	3/1	Company	
	104	ORSA *****	1	0	N/A	10/1	Company	
	105	Premium Tax Reports^	1	0	1	3/1, 5/30, 8/29, 11/29	State	See Note O
	106	State Filing Fees (Renewal Statement-file on Online Renewal System)	1	0	1	3/1	State	See Note C
	107	Life Company Abstract of Statement (electronic)^	1	0	1	3/1	State	See Note R
	108	Insurance Data Security Certification	1	0	N/A	4/15	State	

For 2024, North Dakota is requiring that all domestic filings be submitted to the Department in electronic format only via OPTins.

- \* If XXX appears in this column, North Dakota does not require this filing if a 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 NAIC is shown as Form Source, the form should be obtained from the appropriate vendor. # Denotes a new or revised form.
- \*\*\* North Dakota has 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](http://www.naic.org/public_lead_state_report.htm)
- \*\*\*\* North Dakota has adopted the NAIC updated Holding Company Model Act, a Form F Filing is required annually by holding company groups. Consistent with 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](http://www.naic.org/public_lead_state_report.htm)
- \*\*\*\*\* North Dakota has adopted the NAIC Risk Management and Own Risk 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. For more information on lead states, see the following NAIC URL: [http://www.naic.org/public\\_lead\\_state\\_report.htm](http://www.naic.org/public_lead_state_report.htm)
- ^ Items 105 and 107 are not applicable to Fraternal Benefit Societies.

**NOTES AND INSTRUCTIONS (A-R APPLY TO ALL FILINGS)**

A	Required Filings Contact Person	Company Licensing (701) 328-2440
B	Mailing Address	North Dakota Insurance Department 600 East Boulevard Ave, Dept. 401 Bismarck, ND 58505
C	Address for Filing Fees	Submit the Renewal Statement for Admitted Companies Via OPTins <a href="#">OPTins Online Tax Filing Solution for Insurance</a>
D	Mailing Address for Premium Tax Payments	Same as Note B
E	Delivery Instructions	Electronic filings must be submitted by the due date.  If the due date falls on a weekend or holiday, then the deadline is extended to the next business day.  When submitting filings for two or more companies in a single package, all documents must be bundled BY COMPANY, not by document type, in order to expedite processing.
F	Late Filings	Companies will be fined \$100 per day for a late annual statement filing. A company's license may be suspended if the annual statement is delinquent. N.D.C.C. § 26.1-03-16. Companies will be fined \$25 per day for delinquent renewal fees. N.D.C.C. § 26.1-02-02
G	Original Signatures	Original or electronic signatures will be accepted for both domestic and foreign company filings.
H	Signature/Notarization/Certification	The following officers are required to sign the annual statement: President or Vice President, Secretary, and Treasurer; in lieu of officer signatures, a majority of Directors may sign.  Electronic signatures and electronic notarization will be accepted on all filings..
I	Amended Filings	Signature requirements are the same as for the original filing.
J	Exceptions From Normal Filings	For audited financial reports, an extension request must be submitted not less than 10 days prior to the due date. N.D.A.C. § 45-03-20-03
K	Bar Codes (State or NAIC)	Please follow the instructions in the NAIC Annual Statement Instructions.
L	Signed Jurat	This state waives foreign insurers from filing printed annual and quarterly statements and supplements. Submission of a hard-copy signed Jurat page is no longer required beginning in 2011.

	M	NONE Filings	See NAIC Annual Statement Instructions. Exceptions to these instructions are noted on the form.
	N	Filings New, Discontinued or Modified Materially Since Last Year	<p><b>New Filings:</b> Market Conduct Annual Statement Premium Exhibit for Year</p> <p><b>Discontinued Filings:</b> Supplemental Health Care Exhibit's Allocation Report</p>
	O	Premium Tax Report	<p>Premium tax should be reported via OPTins at <a href="https://www.optins.org/">https://www.optins.org/</a>.</p> <p>The reconciled report is due March 1. Estimated reports are due May 30, August 29, and November 29. Reports must be filed even if zero tax is reported.</p> <p>A separate payment for premium tax is required. Do not send one payment in for premium tax and renewal fees.</p>
	P	Notification of Company Change	Any company change (i.e., name, address, merger, etc.) should be sent to the Department under separate cover and must conform with the instructions for Corporate Amendments as given on the NAIC's uniform application website ( <a href="http://www.naic.org/">www.naic.org/</a> ). Do not include such notifications with the annual statement filing.
	Q	Request for Acknowledgment of Filing	A confirmation or acknowledgment of filing will not be returned to the company.
	R	Life Company Abstract of Statement	The Abstract of Statement - SFN 4802 must be submitted electronically. Completed form will be sent via a confirmation email.