

CALIFORNIA DOCUMENT FILING REQUIREMENTS - 1998
CHECKLIST for FOREIGN (US) COMPANIES

Please make checks payable to the **California Department of Insurance**. All documents must be submitted in QUADRUPPLICATE (one original and three photocopies) to:

Surplus Lines Enforcement Unit
California Department of Insurance
45 Fremont Street, 24th Floor
San Francisco, CA 94105

1. **Filing Fee**
 - _____ Initial Application : \$1,500
 - _____ Annual Renewal : \$1,500
 - _____ Updated Financial Document (per type) : \$250
 - _____ Updated Non-Financial Document (per type) : \$35
2. **Certified NAIC Statement**

Includes the following Documents:

 - _____ Actuarial Opinion
 - _____ California Page 15
 - _____ Management's Discussion and Analysis
 - _____ Risk Based Capital (RBC) Summary Report
3. **Audited Financial Report**
 - _____ Certified or _____ Verified
4. **Current License or Certificate of Authority : Certified**
5. **Certificate of Good Standing or Certificate of Compliance**
 - _____ See attached Verification Statement if no such certification is issued.
6. **Agent for Service of Process**
7. **Principal Place of Business**
8. **Market Conduct Report**
 - _____ Certified or _____ Verified
 - _____ Other information regarding insurer's treatment of policyholders & payment of claims.
9. **Verified Regulatory Disclosure Statement**
10. **Business Plan / Plan of Operation in California**
11. **Biographical Affidavit on the Officers and Directors**
 - _____ See attached Verification Statement regarding no changes in documents previously submitted.
12. **Certified Report of Examination**
 - _____ See attached Verification Statement for date of latest Report on file.
13. **List of Surplus Lines Brokers Authorized to Issue Policies (AB2869)**
14. **Quarterly Financial Statements**
 - _____ Certified or _____ Verified

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CHECKLIST for ALIEN COMPANIES

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California Department of Insurance
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San Francisco, CA 94105**

1. **Filing Fee**
 - _____ Initial Application : \$1,500
 - _____ Annual Renewal : \$1,500
 - _____ Updated Financial Document (per type) : \$250
 - _____ Updated Non-Financial Document (per type) : \$35
2. **Audited Financial Report**
 - _____ Certified or _____ Verified
3. **Certified Financial Statement and/or Standard IID (International Insurers Department) Financial Reporting Format**

Includes the following documents:

 - _____ IID Interrogatories
 - _____ Schedule of Premiums & Losses
 - _____ Schedule of Reinsurance Ceded
 - _____ Certification of Loss Reserves
4. **Certified Trust Agreement and California Trust Amendment**
5. **Certified Trust Statement of Account or List of Assets in the Trust Account**
6. **Current License or Certificate of Authority: Certified**
7. **Certificate of Good Standing or Certificate of Compliance**
 - _____ See attached Verification Statement if no such certification is issued.
8. **Agent for Service of Process**
9. **Principal Place of Business**
10. **Market Conduct Report**
 - _____ Certified or _____ Verified
 - _____ Other information regarding insurer's treatment of policyholders & payment of claims.
11. **Verified Regulatory Disclosure Statement**
12. **Business Plan / Plan of Operation in California**
13. **Biographical Affidavit on the Officers and Directors**
 - _____ See attached Verification Statement regarding no changes to documents previously filed.
14. **List of Surplus Lines Brokers Authorized to Issue Policies (AB2869)**
15. **Quarterly or Semi-Annual Results (if available)**

SLA RECOMMENDED FILING SCHEDULE FOR FOREIGN INSURERS

Month	Required Document (see attached Guide for details)	Recommended Type of Filing	Filing Fee
March or April	Year-end 1997 Annual Statement (certified)	Submit as an <u>update filing</u>	\$ 250.00
June	March 31, 1998 Quarterly Statement (certified or verified)	Submit as part of the <u>annual filing</u>	\$ 250.00*
June	Audited Financial Statement for year- end 1997 (certified or verified)	Submit as part of the <u>annual filing</u>	\$ 250.00*
June	Eligibility Renewal of all Required Documents (refer to the Guide for details)	<u>Annual filing</u>	\$ 1,500.00
August	June 30, 1998 Quarterly Statement (certified or verified)	Submit as an <u>update filing</u>	\$ 250.00
November	September 30, 1998 Quarterly Statement (certified or verified)	Submit as an <u>update filing</u>	\$ 250.00
<p>* If an insurer elects to include these documents with the required annual submission, no additional filing fee is necessary. However, if these documents are filed as updates there is a filing fee of \$250.00 per type of financial document.</p>			