12667 Alcosta Boulevard Suite 450
San Ramon, CA 94583
415.434.4900

FILING REQUIREMENTS GUIDE

LIST OF APPROVED SURPLUS LINE INSURERS (LASLI)

As of April 1, 2026

SURPLUS LINE ASSOCIATION OF CALIFORNIA
12667 ALCOSTA BOULEVARD, SUITE 450
SAN RAMON, CA 94583
415.434.4900
SLACAL.COM

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INTRODUCTION

This document provides guidance on the filing requirements for nonadmitted insurers wishing to be added to or to continue to be on the List of Approved Surplus Line Insurers (LASLI). The filing guide is intended to assist those who prepare regulatory filings for nonadmitted insurers. It is not all inclusive and does not supersede the actual language of the governing statutory California surplus line laws and regulations, specifically California Insurance Code (CIC or Code) §1765.2, or any emergency orders, bulletins, or notices issued by the California Insurance Commissioner.

APPLICATION FILING REQUIREMENTS

To be considered for placement on the LASLI, a nonadmitted foreign (US domiciled) or alien (non-US domiciled) insurer must make an application to the California Department of Insurance (CDI) and submit all the documents specified under CIC §1765.2(c) and (d). LASLI applications may be made electronically through the LASLI Portal (https://lasliportal.insurance.ca.gov/) but can be mailed to the CDI Corporate Affairs Bureau (CAB) in Oakland. Hard copy documents mailed to the CDI's mailing address must be filed in duplicate (with the exception of Biographical Affidavits which must be filed in triplicate) along with the applicable filing fee. The documents submitted must demonstrate that the applicant (insurer) meets the following standards:

A. The insurer has established its **financial stability, reputation, and integrity** for the class of insurance it proposes to place with California surplus line brokers. {CIC §1765.2(a)(1)}

B. The insurer must currently hold a **license** to issue insurance policies (other than reinsurance) to residents of the jurisdiction that granted the license unless it has been granted an exemption. {CIC §1765.2(e)(4)}

C. The insurer must have and maintain a minimum capital and surplus of $45 million at all times. The insurer must also have at least $25 million in assets acceptable under CIC §1765.2(a)(2)(A). Acceptable assets are essentially comprised of cash, or securities falling within CIC §1170 to 1182, or readily marketable securities listed on regulated US national or principal regional securities exchanges. The insurer must also have at least another $20 million in assets in the form just described or in the form of investments of substantially the same character and quality as described in CIC §1190 to 1202, inclusive (described under CIC §1765.2(a)(2)(A) as the "remaining assets").

   If the insurer has less than $45 million in capital and surplus, the insurer may request an affirmative finding of acceptability from the Insurance Commissioner of this State (Commissioner) based upon factors such as quality of management, capital and surplus of any parent company, company underwriting profit and investment income trends, market availability and company record and reputation within the industry.

D. The insurer must have actively **transacted insurance for at least three years** immediately prior to its application for inclusion on the LASLI unless an exemption is granted. {CIC §1765.2(e)(3)}

   To request an exemption from this three-year seasoning requirement, the insurer must provide in its application submission a clear description of how it has met and would qualify for an exemption under CIC§1765.2(e)(3)(A) or (B).

E. For an alien insurer, it must be listed on the Quarterly Listing of Alien Insurers maintained by the National Association of Insurance Commissioners International Insurers Department (NAIC IID) and be licensed as an insurer in its domiciliary jurisdiction.

F. An alien insurer must also have an irrevocable **US trust account** consisting of cash and marketable securities of no less than $5.4 million at all times with a qualified US financial institution. Letters of credit may be used to fund the trust account, provided they are issued by a qualified US financial institution. {CIC §1765.2(b)(1)}

G. The insurer must provide the contact information of the appointed California-licensed surplus line broker who has agreed to act as its **contact broker** to assist with the insurer's LASLI application and subsequent regulatory filing responsibilities in California. Information must include the contact broker's name, along with the name of the firm the broker represents, email address, business address, telephone number, and surplus line license number.

   An insurer may make its filings directly with the CDI provided the insurer keeps its contact broker informed. It is recommended that the contact broker maintain a complete set of all such filings.

H. Subsequent to its placement on the LASLI, the insurer is required at least annually, to submit records and statements necessary to ensure that the requirements of CIC §1765.2(i) are maintained.

BASIC FILING REQUIREMENTS

- All financial and certain non-financial documents must be certified, while several other required documents must be verified (refer to the definitions of "certified" and "verified").

- LASLI applications, annual renewals and updates may be made electronically through the LASLI Portal (https://lasliportal.insurance.ca.gov/). For LASLI applicants submitting hard copies, the documents must be filed in duplicate (one original and one photocopy).

- For current LASLI companies, only one original copy is required and must be filed with the Accounting Services Bureau in Sacramento. However, for both LASLI applicants and current LASLI companies, Biographical Affidavits must be filed in triplicate (one original and two photocopies).

- Required documents available from the NAIC or other public sources do not need to be filed with the CDI, nor do they need to be certified or verified. However, the insurer must provide a verified statement indicating that the document(s) need not be submitted to the CDI as they are available from the NAIC or other public source. Exhibit F is a sample of a verified statement that the Commissioner considers compliant with the Code.

- All documents filed must be **clear, comprehensible, unambiguous, accurate, consistent, and complete** (i.e., pages cannot be omitted or cut off, and they must include all referenced schedules, exhibits and/or attachments). {CIC §1765.2(e)(1)}

- All documents must be accompanied by a **cover letter** which states the Company name, contact information of the person submitting documents, list of the document(s) filed, and amount of the enclosed required fee, if applicable. **Contact information should include name, mailing address, e-mail address, and phone number**.

- All communications and documents filed must be submitted in, or translated into, the English language. All financial data must be converted into US dollars.

- If any required document(s) is not available at the time of the insurer's filing, the insurer should provide an explanation as to why the document(s) was not included and an estimate as to when the document(s) will be made available to the CDI.

DEFINITIONS OF "CERTIFIED" AND "VERIFIED"

"**Certified**" – an originally signed or sealed statement, dated not more than 60 days before submission, made by a public official or other person (someone at the Department of Insurance of the insurer's domiciliary jurisdiction), attached to a copy of a document, attesting that the copy is a true copy of the original, and that the original is in the custody of the person making the statement. {CIC §1760.1(a)}

"**Verified**" – a document or copy accompanied by an originally signed statement, dated not more than 60 days before submission, from a responsible executive or official who has authority to provide the statement and knowledge whereof he or she speaks, attesting either under oath before a notary public, or under penalty of perjury under California law, that the assertions made in the document are true. {CIC §1760.1(q)}

Exhibit B is a sample of a verified statement that the Commissioner considers compliant with the Code.

DOCUMENT FILING REQUIREMENTS

The document filing requirements for nonadmitted foreign insurers (US-domiciled) and alien insurers (non-US domiciled) are set forth in CIC §1765.2(c) and (d). All required documents must be filed in accordance with these provisions.

Both foreign and alien insurers must file their respective documents listed below with their LASLI application. After placement on the LASLI, these documents must be submitted at least annually as part of the renewal process or as an update filing. A checklist summarizing the required documents is provided in Exhibit E to assist insurers in compiling their document filings.

1. **Annual Statement/NAIC International Insurers Department (IID) Financial Filing (based on the insurer's condition as of a date not more than 12 months prior to submission)**

   For a foreign insurer, the **Annual Statement** shall be prepared in accordance with the NAIC prescribed format and must include all supplementary reports, exhibits, and schedules required by the NAIC. {CIC §1765.2(c)(1)(A) & (D)(i)}

   The Annual Statement must be certified; however, the CDI will accept verified copies if certified copies are not available at the time of filing. The CDI expects to receive certified copies when they become available. Exhibit B is a sample of a verified statement that the Commissioner considers compliant with the Code.

   OR

   For an alien insurer, the **NAIC International Insurers Department (IID) Financial Filing** (IID Report) (including all the required schedules and exhibits) shall be prepared following the filing instructions as prescribed by the NAIC IID. {CIC §1765.2(c)(1)(A) & (E)}

   The IID Report must be certified; however, the CDI will accept verified copies if certified copies are not available. Exhibit B is a sample of a verified statement that the Commissioner considers compliant with the Code. Note that the IID Report is not publicly available from the NAIC.

2. **Audited Financial Report (based on the insurer's condition as of a date not more than 12 months prior to submission)**

   For a foreign insurer, the Audited Financial Report shall be prepared by an independent certified public accountant or accounting firm (CPA). The CPA must be in good standing with the American Institute of Certified Public Accountants in all states where the CPA is licensed to practice. The Audited Financial Report must be prepared in accordance with statutory accounting practices prescribed, or otherwise permitted, by the insurance regulator of the insurer's domiciliary jurisdiction. {CIC §1765.2(c)(1)(B)}

   For an alien insurer, the Audited Financial Report shall be prepared by an independent licensed auditor in the insurer's domiciliary jurisdiction. The Audited Financial Report must

be prepared in accordance with either (i) Generally Accepted Auditing Standards that prescribe Generally Accepted Accounting Principles, or (ii) International Accounting Standards as published and revised from time to time by the International Auditing Guidelines published by the International Auditing Practice Committee of the International Federation of Accountants. The Audited Financial Report must include financial statement notes and a summary of significant accounting practices. {CIC §1765.2(c)(1)(B) & (E)} All communications and documents filed must be submitted in, or translated into, the English language. All financial data must be converted into US dollars. (As accounting standards and their governing organizations have evolved over time, the CDI considers an Audited Financial Report prepared in accordance with International Financial Reporting Standards to be acceptable.) Audited Financial Reports must be certified. {CIC §1765.2(c)(1)(D)(i)} However, the CDI will accept verified copies if certified copies are not available at the time of filing. The CDI expects to receive certified copies when they become available. Exhibit B is a sample of a verified statement that the Commissioner considers compliant with the Code.

3. **US Trust Agreement (Alien Insurers only)**

   For an alien insurer, the US Trust Agreement must contain provisions consistent with the IID model document, Trust Agreement for Alien Excess or Surplus Lines Insurers. The agreement must be certified. The trustee bank may certify these agreements. {CIC §1765.2(c)(1)(C)(i)}

4. **Statement of Account or List of Assets in the Trust Account (Alien Insurers only)**

   For an alien insurer, the most recent quarterly statement of trust account provided by the trustee bank that shows the list of assets held in the alien insurer's trust account at the end of each quarter. The Statement must be verified. Exhibit B is a sample of a verified statement that the Commissioner considers compliant with the Code. {CIC §1765.2(c)(1)(C)(ii)}

5. **License or Certificate of Authority**

   A certified copy of the insurer's current License or Certificate of Authority issued by its domiciliary jurisdiction. {CIC §1765.2(c)(2)} The license should set forth the insurer's authority to transact the types of insurance it proposes to provide California home state insureds.

6. **Certificate of Good Standing, Certificate of Compliance, or other Equivalent Certificate**

   Certification shall be issued by the insurer's domiciliary jurisdiction. CIC §1765.2(c)(2)} If such certification is not available from its domiciliary jurisdiction or any other state where it is licensed, the insurer must provide a verified statement signed by a responsible executive or officer of the company. Exhibit D is a sample of a verified statement that the Commissioner considers compliant with the Code.

7. **Agent for Service of Process**

   The insurer's appointed Agent for Service of Process to receive service of suits filed against the insurer. The Agent must be located in California. Information must include the Agent's full name (along with the name of the firm the Agent represents), business address, and telephone number where the Agent can be reached during normal business hours. {CIC §1765.2(c)(3)}

8. **Principal Place of Business**

   The insurer's principal place of business, including the complete street address, mailing address, and telephone number. {CIC §1765.2(c)(4)}

9. **Market Conduct Report or Statement**

   An explanation, report, or other Statement as to the Insurer's Record Regarding Market Conduct and Consumer Complaints. Such report should be from the insurance regulatory office or official of the insurer's domiciliary jurisdiction and may be certified or verified. If such report is not available from the insurer's domiciliary jurisdiction for the current filing year, or if the market conduct report is older than 12 months, then the insurer can provide a verified statement describing its own record regarding market conduct, and its own record of claims payment and treatment of policyholders. {CIC §1765.2(c)(5)}

10. **Regulatory Disclosure Statement**

    A verified statement that discloses any currently known regulatory actions pending against the insurer or any affiliated entities for the current filing year. These regulatory actions include, but are not limited to, legal proceedings for receivership, conservation, liquidation, license revocation or suspension, or any other cease and desist order. If the insurer or its affiliate(s) is subject to such proceedings, the statement must identify the proceedings by date, jurisdiction, and relief or sanction sought. Copies of any outstanding orders must also be attached to the statement. {CIC §1765.2(c)(6)}

    For insurers and their affiliates who are not subject to any such actions, Exhibit A is a sample of a verified regulatory disclosure statement that the Commissioner considers compliant with the Code.

11. **Report of Examination**

    The insurer's latest Report of Examination (Report) issued by its domiciliary regulator, if available.

    If the latest Report is not available at the time of the filing, the insurer must provide an explanation why the Report is not available, and an estimate as to when the latest Report should be made available. The Report must be certified. {CIC §1765.2(c)(7)}

12. **List of Surplus Line Brokers Authorized to Issue Policies on Behalf of the Insurer**

California-licensed surplus line broker(s) may issue policies on behalf of an insurer provided the broker(s) has a written authorization from the insurer. The insurer is required to provide the Commissioner with a list of those California-licensed surplus line brokers who have been granted such authorization. {CIC §1765.2(c)(8)}

If the insurer has not granted this authority to any broker, the insurer must submit a statement that indicates no broker has the authority to issue policies on the insurer's behalf.

13. **Plan of Operation**

The insurer's proposed Plan of Operation in California to assist the Commissioner in determining whether the insurer has the financial stability, reputation, and integrity for the class of insurance it proposes to accept from surplus line brokers, and in ascertaining that (i) the insurer does not intend to offer in California products that violate CIC §1765.2(e)(6); and (ii) the insurer does not conduct any activity through its affiliate that constitutes the transaction of insurance in this State or a violation of CIC §700 or §703. {CIC §1765.2(d)(1)} The Plan should include the following information:

a) A brief description of the products the insurer intends to accept from California surplus line brokers.

b) A list of all affiliated companies who are admitted in California, including any affiliate(s) applying for admission in this State.

c) A detailed explanation as to how the coverages offered by the insurer specifically differ from those offered by any affiliated insurers writing business in California, categorized as follows:

- Affiliated insurers on an admitted basis
- Affiliated insurers on a nonadmitted basis

d) A brief description of the insurer's reinsurance program(s).

e) For alien insurers, premiums written in California by class of business.

f) A description of any administrative services to be rendered in California by an affiliated insurer domiciled in California. If not applicable, a statement confirming this must be provided.

For a LASLI applicant, the insurer's business plan should also include:

(1) A current list of officers and directors, including their respective titles and business locations.

- If any of the applicant's officers and directors are also officers and directors of its affiliates admitted in California, please state their names and titles, and business locations.

(2) Three- to five-year premium volume projections by line(s) of business, written worldwide and in California.

(3) Three- to five-year pro forma statutory financial statements along with the assumptions used.

14. **Biographical Affidavits on the Officers and Directors** of the insurer. {CIC §1765.2(d)(1)} If the insurer has filed these with the NAIC, they must also be filed in California.

15. Most current **Quarterly or Half-Yearly Statements/Results** of the insurer. {CIC §1765.2(d)(1)}

    NAIC Quarterly Statements (foreign) or Quarterly or Half-Yearly Statements/Results (alien) must be verified and filed as soon as they are available. Exhibit B is a sample of a verified statement that the Commissioner considers compliant with the Code.

16. **Affiliated Agreements (LASLI applicant insurer only)**

    For a LASLI applicant, the insurer must provide a copy of each of the agreements it entered into with its parent and/or affiliates, if any. These include (but are not limited to) the insurer's affiliated management/service contract(s), cost/tax sharing agreement(s), and reinsurance agreement(s).

ANNUAL RENEWAL FILING REQUIREMENTS

- To maintain its surplus line approved status in California and to ensure continual compliance with the requirements of CIC §1765.2, a LASLI-listed company is required to file up-to-date versions of all the documents under CIC §1765.2(c) & (d) annually, along with the appropriate filing fee. {CIC §1765.2(i) and (j)} Refer to the Document Filing Requirements section for the summarized list of the required documents.

- An approved insurer may incorporate certain previously filed documents (except for the Market Conduct Information and Regulatory Disclosure Statement) into a current annual renewal package, provided there were no changes to the information in those documents. To incorporate a previously filed document(s) into a current annual renewal filing, the insurer must: (1) submit a verified statement that lists the document(s) previously provided to the CDI and affirm that there has been no change to the information contained in the previously filed document(s); and (2) make a specific reference to the prior filing(s) in its current annual renewal filing. Exhibit C is a sample of a verified statement that the Commissioner considers compliant with the Code.

- There are two previously filed documents: Market Conduct Report (or Market Conduct Information Statement) and Regulatory Disclosure Statement—that an insurer may **not** incorporate into a current annual renewal filing, even if the information previously provided has not changed, since the information in these documents pertains to a specific period.

  Each year, a LASLI-listed company is required to submit both a Market Conduct Information Statement and Regulatory Disclosure Statement pertaining to the current filing year.

WHEN TO FILE

Annual renewal filings should be made on or before the anniversary of an insurer's LASLI approved date; however, the insurer does not have to wait until its LASLI anniversary date to make a filing. It is strongly recommended that an insurer makes its annual renewal filing as soon as all the required materials are available.

UPDATE FILING REQUIREMENTS

Whenever any of the required documents becomes outdated, the insurer is required to file the new, up-to-date version of the document, as soon as it becomes available (e.g., a material change involving the company's operations such as name change, domiciliary change, ownership change, etc.).

- For a **LASLI-listed insurer**, filing fees are required for updated filings. The filing fees are applicable for each updated document only if any of the documents listed below are submitted to the CDI separately as an updated filing. If the updated documents are filed as part of the insurer's annual renewal filing, then only the annual renewal fee is required.

  For a **LASLI-applicant insurer**, no fees are required for updated filings.

- Required documents available from the NAIC or other public source do not need to be filed with the CDI, nor do they need to be certified or verified. For this, NAIC sources must be "public," which means sources that are not accessible to Regulators only. Instead, the insurer must submit a verified statement to the CDI identifying the document that is available from the NAIC or other public source along with the appropriate filing fee. Exhibit F is a sample of a verified statement that the Commissioner considers compliant with the Code.

Updated Financial Documents (requiring a filing fee per document type)

(a) NAIC Annual Statement
(b) Audited Financial Report
(c) Report of Examination

(d) NAIC Quarterly Statements (foreign) or Quarterly or Half-Yearly Statements/Results (alien)
(e) IID Report

Updated Non-financial Documents (requiring a filing fee per document type)

(a) Certificate of Authority
(b) Certificate of Good Standing or Compliance
(c) Trust Agreement
(d) Statement of Trust Assets
(e) Agent for Service of Process
(f) Principal Place of Business
(g) Market Conduct Report
(h) Regulatory Disclosure Statement
(i) List of Surplus Line Brokers Authorized to Issue Policies
(j) Any other material change involving the company's operations (e.g., name change, domiciliary change, ownership change, etc.)

Updated Supplemental Information (requiring a filing fee per document type)

(a) Proposed Plan of Operation
(b) Biographical Affidavits on Officers & Directors

SUGGESTED DATES FOR FILING DOCUMENTS

The CDI requires a LASLI-listed company to file new, amended, or updated documents as soon as they are available and in accordance with the provisions of CIC §1765.2. Updated documents are generally available when they are due for regulatory filing with the insurer's domiciliary jurisdiction. Therefore, the CDI expects to receive the new documents no later than the dates specified below.

Foreign Insurers

Document	Document Should be Filed NO LATER than
Annual Statement	April 30th each year
March 31st Quarterly Statement	May 31st each year
Audited Financial Statement	June 30th each year
June 30th Quarterly Statement	August 31st each year
September 30th Quarterly Statement	November 30th each year

Alien Insurers

Document	Document Should be Filed NO LATER than
IID Report	July 15th each year
Audited Financial Report	July 15th each year
March 31st Listing of Assets in Trust Account	April 15th each year
June 30th Listing of Assets in Trust Account	July 15th each year
September 30th Listing of Assets in Trust Account	October 15th each year
December 31st Listing of Assets in Trust Account	January 15th each year
Quarterly or Half-Yearly Results	Due as soon as they are available

FILING FEES SCHEDULE

All checks for filing fees must be made payable to the California Department of Insurance in US dollars {CIC §1765.2(j)}. The following filing fees are in effect as of March 3, 2019:

Type of Filing	Filing Fee
LASLI Application	$6,724
Subsequent Annual Renewal	$3,363
Updated Financial Document	$375*
Updated Non-Financial Document	$55*
Updated Supplementary Information	$55*

* These fees apply only if the document(s) is submitted to the CDI as an updated filing and NOT as part of the insurer's annual renewal. The respective filing fee is required for each updated document/information type submitted to the CDI.

CUSTOMER SERVICE INFORMATION

All applications, annual renewals, and updated filings must be filed with the CDI. These filings may be made through the insurer's California contact broker or directly with the CDI (provided the insurer keeps its contact broker informed).

WHERE TO FILE

All documents and fees must be sent to the CDI with a cover letter either via the LASLI Portal (https://lasliportal.insurance.ca.gov/) or by mail to:

LASLI applicants:	Current LASLI companies:
CAB-Intake State of California, Department of Insurance 1901 Harrison Street, 6th Floor Oakland, CA 94612	Accounting Services Bureau State of California, Department of Insurance 300 Capitol Mall Sacramento, CA 95814

REGULATORY FILING CONTACTS

For questions regarding surplus lines eligibility and filing requirements, please contact the CDI or the Surplus Line Association of California:

David Ta	Carrie Berkstresser	Catherine Hankins
Attorney IV Corporate Affairs Bureau State of California, Department of Insurance 1901 Harrison Street, 6th Floor Oakland, CA 94612 (415) 538-4406	Manager, Licensing Background Section Licensing Services Division State of California, Department of Insurance 300 Capitol Mall Sacramento, CA 95814 (916) 610-1135	LASLI Compliance Principal Financial Analysis Department Surplus Line Association of California 12667 Alcosta Blvd, Suite 450 San Ramon, CA 94583 (415) 434-4900 ext. 1167

EXHIBITS INDEX

Exhibit	Name of Document
A	Verification Regulatory Disclosure Statement
B	Verification Statement
C	Verification (Incorporating Previously Filed Documents)
D	Verification (When Certificate of Good Standing/Compliance Is Unavailable)
E	Checklist For Foreign (US Domiciled) Insurers – California LASLI Filing Requirements
E	Checklist For Alien (Non-US Domiciled) Insurers – California LASLI Filing Requirements
F	Verification (For Documents Available From The NAIC Or Other Public Source)

EXHIBIT A

VERIFICATION
REGULATORY DISCLOSURE STATEMENT

_____(a nonadmitted insurer) and its affiliated entities are currently not known to be the subject of any order or proceeding regarding conservation, liquidation, or other receivership; or regarding revocation or suspension of a license to transact insurance in any jurisdiction; or otherwise seeking to stop the insurer from transacting insurance in any jurisdiction. I make this statement as an executive or official who has authority to provide the statement and knowledge whereof he or she speaks and under penalty of perjury under California law that the assertions are true.

Signature	Title
Name	Date

EXHIBIT B

VERIFICATION STATEMENT

I declare under penalty of perjury under California law that this is a true and correct copy of the original _____, and that I am
(Name of Document)

an executive or officer of _____who
(Name of the Nonadmitted Insurer)

has the authority to provide this declaration.

_____ _____
Signature Title

_____ _____
Name Date

EXHIBIT C

VERIFICATION
(INCORPORATING PREVIOUSLY FILED DOCUMENTS)

As an officer or executive of _____ who has the
(Name of the Nonadmitted Insurer)
authority and knowledge to provide this declaration, I declare under penalty of perjury under

California law that all of the following statements are true and correct:

1. The documents identified below have previously been filed with the California Department of Insurance (CDI) and there have been no changes to the information in those documents.

2. These documents on file with the CDI contain the most current information available, and should be considered as part of the annual renewal for _____(year):

Document Previously Filed		Date Submitted to CDI
❑ Year ended _____	Annual Statement (including all supplementary reports, exhibits, and schedules required by the NAIC)	
❑ Period ended _____	Quarterly or Half-Yearly Statements/Results	
❑ Year ended _____	IID Report	
❑ Year ended_____	Audited Financial Statement	
❑ Certificate of Authority		
❑ Certificate of Good Standing/Compliance		
❑ Agent for Service of Process		
❑ Principal Place of Business		
❑ Proposed Business Plan/Plan of Operation in California		
❑ List of Surplus Line Brokers Authorized to Issue Policies		
❑ Biographical Affidavits on Officers and Directors (Except as enclosed, there are no changes to the biographical affidavits previously filed.)		
❑ Report of Examination:	Date of Report: _____	
❑ List of Trust Assets as of (for alien insurers only): _____		
❑ Trust Agreement (for alien insurers only): Date of Trust: _____	Date of Last Amendment: _____	
❑ Other: _____		

_____ _____
Signature Title

_____ _____
Name Date

EXHIBIT D

VERIFICATION

(WHEN CERTIFICATE OF GOOD STANDING/COMPLIANCE IS UNAVAILABLE)

I declare under penalty of perjury under California law that the Insurance Department for the state/country of _____ does not issue a Certificate of Good Standing, Certificate of Compliance, or other equivalent Certificate. I further declare that a Certificate of Good Standing, Certificate of Compliance, or other equivalent Certificate is not available from any other state where the company is licensed and that I am an executive or officer of _____

(Name of the Nonadmitted Insurer)

who has the authority to provide this declaration.

_____ _____

Signature Title

_____ _____

Name Date

EXHIBIT E

CHECKLIST for **FOREIGN INSURERS (US DOMICILED)**
CALIFORNIA LASLI FILING REQUIREMENTS

Please make checks payable to the California Department of Insurance. All documents and fees must be sent to the CDI with a cover letter either via the LASLI Portal (https:// lasliportal.insurance.ca.gov/) or by mail to:

LASLI applicants:	**Current LASLI companies:**
CAB-Intake State of California, Department of Insurance 1901 Harrison Street, 6th Floor Oakland, CA 94612	Accounting Services Bureau State of California, Department of Insurance 300 Capitol Mall Sacramento, CA 95814

The **cover letter** should state the name of the LASLI company or applicant, the name and contact information of the person submitting documents, a list of the document(s) filed, and the amount of the enclosed required fee, if applicable. **Contact information should include name, mailing address, e-mail address and phone number.**

For LASLI applicants submitting hardcopy applications, the documents must be filed in duplicate (one original and one photocopy). For current LASLI companies, only one original copy is required. However, for both LASLI applicants and current LASLI companies, Biographical Affidavits must be filed in triplicate (one original and two photocopies).

If a required document is available from the National Association of Insurance Commissioners (NAIC) or other public source, then the document need not be filed with the CDI. For this, NAIC sources must be "public," which means sources that are not accessible to Regulators only. However, the insurer will have to submit a verified statement to the CDI identifying the document that is available from the NAIC or other public source along with the appropriate filing fee.

- ❑ **Filing Fee:**
  _____ LASLI Application: $6,724
  _____ Annual Renewal: $3,363
  _____ Updated Financial Document: $375
  _____ Updated Non-Financial or Supplemental Document: $55
- ❑ **Certified Annual Statement** (including all supplementary reports, exhibits, and schedules required by the NAIC)
- ❑ **Audited Financial Report**
  _____ Certified or _____Verified
- ❑ **Certified Current License or Certificate of Authority**
- ❑ **Certificate of Good Standing or Certificate of Compliance.** If the domiciliary jurisdiction does not issue such a certificate, see Exhibit D.
- ❑ **Agent for Service of Process**
- ❑ **Principal Place of Business**
- ❑ **Market Conduct Report/Information**
  _____Certified or _____Verified
- ❑ **Verified Regulatory Disclosure Statement**
- ❑ **Proposed Business Plan/Plan of Operation in California**
- ❑ **Biographical Affidavit on the Officers and Directors**
- ❑ **Certified Report of Examination**
- ❑ **List of Surplus Lines Brokers Authorized to Issue Policies**
- ❑ **Verified March 31st Quarterly Statement & Supplements**
- ❑ **Verified June 30th Quarterly Statement & Supplements**
- ❑ **Verified September 30th Quarterly Statement & Supplements**
- ❑ **Contact Broker Information**

LASLI applicants only

- ❑ **Affiliated Management/Service Contract(s), Cost/Tax Sharing Agreement(s), and Reinsurance Agreement(s)**

CHECKLIST for **ALIEN INSURERS (NON-US DOMICILED)**
CALIFORNIA LASLI FILING REQUIREMENTS

Please make checks payable to the California Department of Insurance. All documents and fees must be sent to the CDI with a cover letter either via the LASLI Portal (https://lasliportal.insurance.ca.gov/) or by mail to:

LASLI applicants:	**Current LASLI companies:**
CAB-Intake State of California, Department of Insurance 1901 Harrison Street, 6th Floor Oakland, CA 94612	Accounting Services Bureau State of California, Department of Insurance 300 Capitol Mall Sacramento, CA 95814

The **cover letter** should state the name of the LASLI company or applicant, the name and contact information of the person submitting documents, a list of the document(s) filed, and the amount of the enclosed required fee, if applicable**. Contact information should include name, mailing address, e-mail address and phone number.**

For LASLI applicants submitting hardcopy applications, the documents must be filed in duplicate (one original and one photocopy). For current LASLI companies, only one original copy is required. However, for both LASLI applicants and current LASLI companies, Biographical Affidavits must be filed in triplicate (one original and two photocopies).

If a required document is available from the National Association of Insurance Commissioners (NAIC) or other public source, then the document need not be filed with the CDI. For this, NAIC sources must be "public," which means sources that are not accessible to Regulators only. However, the insurer will have to submit a verified statement to the CDI identifying the document that is available from the NAIC or other public source along with the appropriate filing fee. Note that the IID Report is not publicly available from the NAIC. Therefore, the document must be filed with the CDI.

- ❑ **Filing Fee**
  _____ LASLI Application: $6,724
  _____ Annual Renewal: $3,363
  _____ Updated Financial Document: $375
  _____ Updated Non-Financial or Supplemental Document: $55
- ❑ **Audited Financial Report (including financial statements converted into US dollars)**
  _____ Certified or _____Verified
- ❑ **NAIC International Insurers Department (IID) Financial Filing**
  _____ Certified or _____Verified
- ❑ **Certified Trust Agreement (as Amended 1/1/2007)**
- ❑ **Verified List of Trust Assets as of March 31st**
- ❑ **Verified List of Trust Assets as of June 30th**
- ❑ **Verified List of Trust Assets as of September 30th**
- ❑ **Verified List of Trust Assets as of December 31st**
- ❑ **Certified Current License or Certificate of Authority**
- ❑ **Certificate of Good Standing or Certificate of Compliance** If the domiciliary jurisdiction does not issue such a certificate, see Exhibit D.
- ❑ **Agent for Service of Process**
- ❑ **Principal Place of Business**
- ❑ **Market Conduct Report/Information**
  _____Certified or _____Verified
- ❑ **Verified Regulatory Disclosure Statement**
- ❑ **Premiums Written in California by Lines of Business**
- ❑ **Proposed Business Plan/Plan of Operation in California**
- ❑ **Biographical Affidavit on the Officers and Directors**
- ❑ **Report of Examination, if available**
  _____Certified or _____Verified
- ❑ **List of Surplus Lines Brokers Authorized to Issue Policies**
- ❑ **Verified Quarterly or Half-Yearly Statement/Results**
  as of _____
- ❑ **Contact Broker Information**

LASLI applicants only

- ❑ **Affiliated Management/Service Contract(s), Cost/Tax Sharing Agreement(s), and Reinsurance Agreement(s)**

EXHIBIT F

VERIFICATION

(FOR DOCUMENTS AVAILABLE FROM THE NAIC OR OTHER PUBLIC SOURCE)[1]

As an officer or executive of _____ who has the
(Name of the Nonadmitted Insurer)

authority and knowledge to provide this declaration, I declare under penalty of perjury under California law that the document(s) listed below need not be submitted to the California Department of Insurance as they are available from the National Association of Insurance Commissioners or other public sources.

Document Type	As of Date

Signature _____ Title _____

Name _____ Date _____

[1] **NAIC sources must be "public," which means sources that are not accessible to Regulators only**.