

## NAIC Checklist to OCI Financial Portal Mapping

NAIC Checklist Name	Financial Portal Name	Statement Type	Company Type	Frequency	Due Dates
<b>Financial Statements</b>					
Financial Statements	Financial Statement	Health Life PC Title	HMO HMDI LAH LSHO PC FR Title	Annual Quarterly	3/1, 5/15, 8/15, 11/15
Financial Statements	Financial Statement	TM	TM	Annual	3/1
Detailed Investment Schedules	Detailed Inv Schedules	Health Life PC Title	HMO HMDI LAH LSHO PC FR Title	Annual	3/1
Separate Accounts Annual Statement	Separate Account A/S	Life	LAH FR	Annual	3/1
Protected Cell Annual Statement	Protected Cell A/S	PC	PC	Annual	3/1
Combined Annual Statement	Combined A/S	PC	PC	Annual	5/1
<b>NAIC Supplements</b>					
Accident & Health Policy Experience Exhibit	Annual Supplement	Health Life PC	HMO HMDI LAH PC FR	Annual	4/1
Analysis of Annuity Operations by Lines of Business	Annual Supplement	Health Life	LAH FR	Annual	4/1
Analysis of Increase in Annuity Reserves During Year	Annual Supplement	Health Life	LAH FR	Annual	4/1
Credit Insurance Experience Exhibit	Annual Supplement	Health Life PC	LAH PC	Annual	4/1
Interest Sensitive Life Insurance Products Report	Annual Supplement	Health Life	LAH FR	Annual	4/1
Designation of Actuary (Changes in)	Designation of Actuary	Health Life PC Title	HMO HMDI LAH LSHO PC FR Title		As needed
Actuarial Opinion	Actuarial Opinion	Health Life PC Title	HMO HMDI LAH PC FR Title	Annual	3/1
Actuarial Opinion Summary	Actuarial Opinion Summary	PC	PC	Annual	3/15
Actuarial Certification	Actuarial Certification	Health	LSHO	Annual	3/1
Bail Bond Supplement	Financial Statement	PC	PC	Annual	3/1
Cybersecurity and Identity Theft Insurance Coverage Supplement	Annual Supplement	PC	PC	Annual	4/1
Director and Officer Insurance Coverage Supplement	Financial Statement	PC	PC	Annual Quarterly	3/1, 5/15, 8/15, 11/15
Financial Guaranty Insurance Exhibit	Financial Statement	PC	PC	Annual	3/1
Insurance Expense Exhibit	Annual Supplement	PC	PC	Annual	4/1
Health Care Exhibit (Parts 1, 2 and 3) Supplement	Annual Supplement	Health Life PC	HMO HMDI LAH LSHO PC FR	Annual	4/1, if applicable

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Health Care Exhibit's Allocation Report Supplement	Annual Supplement	Health Life PC	HMO HMDI LAH LSHO PC FR	Annual	4/1, if applicable
Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit	Annual Supplement	Health Life PC	HMO HMDI LAH PC	Annual	4/1
Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form	Annual Supplement	Health Life PC	HMO HMDI LAH PC	Annual	4/1
Long-term Care Experience Reporting Forms	Annual Supplement	Health Life PC	HMO HMDI LAH PC FR	Annual	4/1
Management Discussion & Analysis	Management Discussion & Analysis	Health Life PC Title	HMO HMDI LAH LSHO PC FR Title	Annual	4/1
Medicare Part D Coverage Supplement	Financial Statements	Health Life PC	HMO HMDI LAH PC FR	Annual Quarterly	3/1, 5/15, 8/15, 11/15
Medicare Supplement Insurance Experience Exhibit	Financial Statements	Health Life PC	HMO HMDI LAH PC FR	Annual	3/1
Schedule SIS	Schedule SIS	Health Life PC Title	HMO HMDI LAH LSHO PC Title	Annual	3/1
Supplemental Compensation Exhibit	Supplemental Compensation Exhibit	Health Life PC Title	HMO HMDI LAH LSHO PC FR Title	Annual	3/1
Investment Risk Interrogatories	Supplemental Investment Risk Interrogatory	Health Life PC Title	HMO HMDI LAH LSHO PC FR Title	Annual	4/1
Supplemental Schedule O	Financial Statements	Health Life	LAH	Annual	3/1
Supplemental Term and Universal Life Insurance Reinsurance Exhibit	Annual Supplement	Health Life	LAH FR	Annual	4/1
Trusteed Surplus Statement	Financial Statement	Health Life PC	LAH PC FR	Annual Quarterly	3/1, 5/15, 8/15, 11/15
Variable Annuities Supplement	Annual Supplement	Health Life	LAH FR	Annual	4/1
VM 20 Reserves Supplement	Financial Statement	Health Life	LAH FR	Annual	3/1

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Worker's Compensation Carve Out Supplement	Financial Statement	Health Life	LAH	Annual	3/1
Premiums Attributed to Protected Cells Exhibit	Financial Statement	PC	PC	Annual	3/1
Private Flood Insurance Supplement	Annual Supplement	PC	PC	Annual	1-Apr
Reinsurance Attestation Supplement	Financial Statement	PC	PC	Annual	3/1
Exceptions to Reinsurance Attestation Supplement	Financial Statement	PC	PC	Annual	3/1
Reinsurance Summary Supplement	Financial Statement	PC	PC	Annual	3/1
Supplement A to Schedule T	Financial Statement	PC	PC	Annual Quarterly	3/1, 5/15, 8/15, 11/15
Supplement Schedule for Reinsurance Counterparty Reporting Exception - Asbestos and Pollution Contracts	Financial Statement	PC	PC	Annual	3/1, if applicable
<b>Actuarial</b>					
Actuarial Certification Regarding use of 2001 Preferred Class Table	Annual Actuarial Supplement (Due 3/1)	Life	LAH FR	Annual	3/1, if applicable
Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	Annual Actuarial Supplement (Due 3/1)	Life	LAH FR	Annual	3/1, if applicable
Actuarial Memorandum Related to Universal life with Secondary Guarantee Policies Required by Actuarial Guideline XXXVIII 8D	Annual Actuarial Memorandum (Due 4/30)	Life	LAH FR	Annual	4/30, if applicable
Executive Summary of the PBR Actuarial Report	PBR Actuarial Report Exec Summary	Life	LAH FR	Annual	4/1, if applicable
Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	Annual Actuarial Supplement (Due 3/1)	Life	LAH FR	Annual	3/1, if applicable
Actuarial Opinion on Synthetic Guaranteed Investment Contracts	Annual Actuarial Supplement (Due 3/1)	Life	LAH FR	Annual	3/1, if applicable
Actuarial Opinion on X-Factors	Annual Actuarial Supplement (Due 3/1)	Life	LAH FR	Annual	3/1, if applicable
Request for Life PBR Exemption	Life PBR Exemption	Life	LAH FR	Annual	7/1, if applicable
Life Summary of the PBR Actuarial Report	Life Summary of PBR Actuarial Report	Life	LAH FR	Annual	4/1
Variiable Annuities Summary of PBR Actuarial Report	Variable Annuities Summary of PBR Actuarial Report	Life	LAH FR	Annual	4/1
PBR Actuarial Report (provide upon request)	PBR Actuarial Report	Life	LAH FR	Annual	If requested
Management Certification that the Valuation Reflects Management's Intent Rquied by Actuarial Guideline XLIII	Annual Actuarial Supplement (Due 3/1)	Life	LAH FR	Annual	3/1, if applicable
RAAIS required by Valuation Manual	RAAIS	Life	LAH FR	Annual	4/1
Reasonableness and Consistency of Assumptions Cert. - Actuarial Guideline XXXV	Quarterly Actuarial Supplement	Life	LAH FR	Annual Quarterly	If applicable: 3/1, 5/15, 8/15, 11/15
Reasonableness of Assumption Cert. - Actuarial Guideline XXXV	Quarterly Actuarial Supplement	Life	LAH FR	Annual Quarterly	If applicable: 3/1, 5/15, 8/15, 11/15
Reasonableness and Consistency of Assumptions Cert. (updated average market value) - Actuarial Guideline XXXVI	Quarterly Actuarial Supplement	Life	LAH FR	Annual Quarterly	If applicable: 3/1, 5/15, 8/15, 11/15
Reasonableness and Consistency of Assumptions Certification required by Actuarial guideline XXXVI (Updated Average Market Value)	Quarterly Actuarial Supplement	Life	LAH FR	Annual Quarterly	If applicable: 3/1, 5/15, 8/15, 11/15
Reasoableness of Assumption Certification for Implied Guranteed Rate Method. - Actuarial Guideliine XXXVI	Quarterly Actuarial Supplement	Life	LAH FR	Annual Quarterly	If applicable: 3/1, 5/15, 8/15, 11/15
Risk-Based Capital Certification required under C-3 Phase I	Annual Actuarial Supplement (Due 3/1)	Life	LAH FR	Annual	3/1, if applicable
Risk-Based Capital Certification required under C-3 Phase II	Annual Actuarial Supplement (Due 3/1)	Life	LAH FR	Annual	3/1, if applicable
Statement on non-guaranteed elements - Exhibit 5 Interrogatory #3	Annual Actuarial Supplement (Due 3/1)	Health Life	LAH FR	Annual	3/1, if applicable

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Statement on Participating/Nonparticipating Policies - Exhibit 5 Interrogatory 1 and 2	Annual Actuarial Supplement (Due 3/1)	Health Life	LAH FR	Annual	3/1, if applicable
Supplemental Schedule of Business Written by Agency	Annual Supplement	Title	Title	Annual	4/1
<b>Audited Financial Staements</b>					
Accountants Letter of Qualifications	Accountants Qualification Letter	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM	Annual	6/1
Audited Financial Statements	Audited Financial Statements	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM	Annual	6/1
Audited Financial Statements Exemption Affidavit	Audited Financial Statements Exemption Affidavit	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM	Annual	6/1, if applicable
Communication of Internal Control Related Matters Noted in Audit	Communication of Internal Control Related Matters Noted in Audit	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM	Annual	8/1
Designation of Independent CPA (Changes in)	Designation of Independent CPA	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM		As needed
Management's Report of Internal Control Over Financial Reporting	Mgmt Report on Internal Controls over Financial Reporting	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM	Annual	8/1
Notifications of Adverse Financial Condition	Notification of Adverse Condition	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM		As needed

## NAIC Checklist to OCI Financial Portal Mapping

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Relief from the Five-Year Rotation Requirement for Lead Audit Partner	Relief from 5-year Rotation Requirement	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM		As needed
Relief from the One-Year Cooling off Period for Independent CPA	Relief from 1-year Cooling off Period	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM		As needed
Relief from the Requirements for Audit Committee	Relief from Audit Committee Requirements	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM		As needed
Request for Exemption to File Management's Report of Internal Control Over Financial Reporting	Exemption to File	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM	Annual	6/1, if applicable
CPA Audit Checklist	CPA Audit Checklist	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM	Annual	6/1
Request to File Consolidated Audited Financial Statements	Request to File Consolidated Audited Financial Stmtts	PC	PC	Annual	4/1
<b>State Required Filings</b>					
Schedule of Covered Expenses with Opinion	Sch of Covered Expenses with Opinion	Health	HMO	Annual	6/1
Holding Co Registration Statement-Form B & C	Holding Company - Form B & C	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM	Annual	6/1
Form F - Enterprise Risk Report	Form F	Health Life PC Title TM	HMO HMDI LAH LSHO PC FR Title TM	Annual	6/1
ORSA-Own Risk and Solvency Assessment	ORSA	Health Life PC Title	HMO HMDI LAH LSHO PC FR Title	Annual	12/31

## NAIC Checklist to OCI Financial Portal Mapping

NAIC Checklist Name	Financial Portal Name	Statement Type	Company Type	Frequency	Due Dates
Schedule of Fees	Schedule of Fees	Health	HMO HMDI LSHO	Annual	3/1
Signed Jurat Page	Financial Statement	Health Life PC Title	HMO HMDI LAH LSHO PC FR Title	Annual Quarterly	3/1, 5/15, 8/15, 11/15
Financial Operating Statistics	Financial Operating Statistics	Health	HMO HMDI LAH LSHO	Annual	3/15
Report of Executive Compensation	Report on Executive Compensation	Health Life PC	HMO HMDI LAH LSHO PC FR	Annual	3/1
HMO Enrollment by Service Area-Small Group	HMO Enrollment by Service Area - Small Group	Health	HMO	Annual	3/1
HMO Enrollment by Service Area-Large Group	HMO Enrollment by Service Area - Large Group	Health	HMO	Annual	3/1
Compulsory and Security Surplus Calculation	Compulsory and Security Surplus Calculation	Health Life PC	HMO HMDI LAH LSHO PC FR	Annual Quarterly	3/1, 5/15, 8/15, 11/15
Report of Policyholders Position	Report on Policyholders Position	PC	PC - LOB Mortgage Guaranty only	Annual Quarterly	3/1, 5/15, 8/15, 11/15
Schedule of Covered Expenses	Schedule of Covered Expenses	Health	HMO	Annual Quarterly	3/1, 5/15, 8/15, 11/16
Special Procedures Opinion on Schedule of Covered Expenses	Special Procedures Opinion - Covered Exp	Health	HMO	Annual	3/1
Participating and Nonparticipating Annual Statements	Part/NonPart Annual Stmt	Life	LAH	Annual	3/1
Schedule of Taxes and Fees	Sch of Taxes and Fees	Health Life PC Title TM	LAH PC FR Title TM	Annual	3/1
Corporage Governance Annual Disclosure	Corporate Governance Annual Disclosure	Health Life PC Title TM	HMO HMDI LAH LSHO PC Title TM	Annual	6/1
Fraternal Expenditures, Activities, and Programs	Fraternal Expenditures, Activities, and Programs	Life	FR	Annual	6/1
<b>Other</b>					
Miscellaneous	Miscellaneous	All	All		