

## TITLE COMPANIES

COMPANY NAME: \_\_\_\_\_ NAIC Company Code: \_\_\_\_\_

Contact: \_\_\_\_\_ Telephone: \_\_\_\_\_

REQUIRED FILINGS IN THE STATE OF:       SOUTH DAKOTA       Filings Made During the Year 2023

| (1)<br>Checklist                                  | (2)<br>Line # | (3)<br>REQUIRED FILING FOR THE ABOVE STATE                                   | (4)<br>NUMBER OF COPIES* |      |         | (5)<br>DUE DATE   | (6)<br>FORM SOURCE*<br>* | (7)<br>APPLICABLE NOTES |
|---|---------------|--|--------------------------|------|---------|-------------------|--------------------------|-------------------------|
|   |               |  | Domestic                 |      | Foreign |                   |                          |                         |
|   |               |  | State                    | NAIC | State   |                   |                          |                         |
| <b>I. NAIC FINANCIAL STATEMENTS</b>               |               |  |                          |      |         |                   |                          |                         |
|   | 1             | Annual Statement (8 ½" x 14")  | 1                        | EO   | xxx     | 3/1               | NAIC                     |                         |
|   | 1.1           | Printed Investment Schedule detail (Pages E01-E29)                           | 1                        | EO   | xxx     | 3/1               | NAIC                     |                         |
|   | 2             | Quarterly Financial Statement (8 ½" x 14")                                   | 1                        | EO   | xxx     | 5/15, 8/15, 11/15 | NAIC                     |                         |
| <b>II. NAIC SUPPLEMENTS</b>                       |               |  |                          |      |         |                   |                          |                         |
|   | 11            | Actuarial Opinion  | 1                        | EO   | xxx     | 3/1               | Company                  |                         |
|   | 12            | Investment Risk Interrogatories  | 1                        | EO   | xxx     | 4/1               | NAIC                     |                         |
|   | 13            | Management Discussion & Analysis   | 1                        | EO   | xxx     | 4/1               | Company                  |                         |
|   | 14            | Schedule SIS   | 1                        | N/A  | N/A     | 3/1               | NAIC                     |                         |
|   | 15            | Supplemental Compensation Exhibit  | 1                        | N/A  | N/A     | 3/1               | NAIC                     |                         |
|   | 16            | Supplemental Schedule of Business Written By Agency                          | 1                        | N/A  | xxx     | 4/1               | NAIC                     |                         |
| <b>III. ELECTRONIC FILING REQUIREMENTS</b>        |               |  |                          |      |         |                   |                          |                         |
|   | 61            | Annual Statement Electronic Filing   | xxx                      | EO   | xxx     | 3/1               | NAIC                     |                         |
|   | 62            | March .PDF Filing  | xxx                      | EO   | xxx     | 3/1               | NAIC                     |                         |
|   | 63            | Supplemental Electronic Filing   | xxx                      | EO   | xxx     | 4/1               | NAIC                     |                         |
|   | 64            | Supplemental .PDF Filing   | xxx                      | EO   | xxx     | 4/1               | NAIC                     |                         |
|   | 65            | Quarterly Statement Electronic Filing  | xxx                      | EO   | xxx     | 5/15, 8/15, 11/15 | NAIC                     |                         |
|   | 66            | Quarterly .PDF Filing  | xxx                      | EO   | xxx     | 5/15, 8/15, 11/15 | NAIC                     |                         |
|   | 67            | June .PDF Filing   | xxx                      | EO   | xxx     | 6/1               | NAIC                     |                         |
| <b>IV. AUDIT/INTERNAL CONTROL RELATED REPORTS</b> |               |  |                          |      |         |                   |                          |                         |
|   | 81            | Accountants Letter of Qualifications   | 1                        | EO   | N/A     | 6/1               | Company                  |                         |
|   | 82            | Audited Financial Reports  | 1                        | EO   | xxx     | 6/1               | Company                  |                         |
|   | 83            | Audited Financial Reports Exemption Affidavit                                | 1                        | N/A  | N/A     |                   | Company                  |                         |
|   | 84            | Communication of Internal Control Related Matters Noted in Audit             | 1                        | EO   | N/A     | 8/1               | Company                  |                         |
|   | 85            | Independent CPA (change)   | 1                        | N/A  | N/A     |                   | Company                  |                         |
|   | 86            | Management's Report of Internal Control Over Financial Reporting             | 1                        | N/A  | N/A     | 8/1               | Company                  |                         |
|   | 87            | Notification of Adverse Financial Condition                                  | 1                        | N/A  | N/A     |                   | Company                  |                         |
|   | 88            | Request for Exemption to File  | 1                        | N/A  | N/A     |                   | Company                  |                         |
|   | 89            | Relief from the five-year rotation requirement for lead audit partner        | 1                        | EO   | xxx     | 3/1               | Company                  |                         |
|   | 90            | Relief from the one-year cooling off period for independent CPA              | 1                        | EO   | xxx     | 3/1               | Company                  |                         |
|   | 91            | Relief from the Requirements for Audit Committees                            | 1                        | EO   | xxx     | 3/1               | Company                  |                         |
| <b>V. STATE REQUIRED FILINGS***</b>               |               |  |                          |      |         |                   |                          |                         |
|   | 101           | Corporate Governance Annual Disclosure***                                    | 1                        | 0    | xxx     | 6/1               | Company                  |                         |
|   | 102           | Filings Checklist (with Column 1 completed)                                  | xxx                      | 0    | xxx     |                   | State                    |                         |
|   | 103           | Form B-Holding Company Registration Statement                                | 1                        | 0    | xxx     | 7/1               | Company                  | Domestic Only           |
|   | 104           | Form F-Enterprise Risk Report ***  | 1                        | 0    | xxx     | 7/1               | Company                  | Domestic Only           |
|   | 105           | ORSA ****  | 1                        | 0    | 1       | 7/1               | Company                  | Domestic Only           |
|   | 106           | State Filing Fees for Premium Tax Payments-Pay Electronically through OPTins | 1                        | 0    | 1       | 3/1               | State                    | D, S                    |
|   | 107           | Signed Jurat   | 1                        | 0    | xxx     |                   | NAIC                     | Domestic Only           |

| (1)<br>Checklist | (2)<br>Line # | (3)<br>REQUIRED FILING FOR THE ABOVE STATE                     | (4)<br>NUMBER OF COPIES* |      |         | (5)<br>DUE DATE          | (6)<br>FORM SOURCE* | (7)<br>APPLICABLE NOTES |
|------------------|---------------|--|--------------------------|------|---------|--------------------------|---------------------|-------------------------|
|                  |               |  | Domestic                 |      | Foreign |                          |                     |                         |
|                  |               |  | State                    | NAIC | State   |                          |                     |                         |
|                  | 108           | Group Capital Calculation ( <b>File with lead state only</b> ) | xxx                      | 0    | xxx     |                          | Company             | T                       |
|                  | 109           | Premium Tax  | 1                        | 0    | 1       | 3/1                      | State               | C, D, E, F, N, R, S     |
|                  | 110           | Schedule T   | 1                        | 0    | 1       | 3/1                      | State               | R                       |
|                  | 111           | Quarterly Tax Payments- Pay Electronically through OPTins      | 1                        | 0    | 1       | 4//30, 7/31, 10/31, 1/31 | State               | D, S                    |
|                  | 112           | Statement Deposits   | 1                        | 0    | xxx     | 3/1                      | Company             | Domestic Only           |

**\*If XXX appears in this column, this state does not require this filing, if 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 Form Source is NAIC, the form should be obtained from the appropriate vendor.**

**\*\*\*For those states that have 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).**

**\*\*\*\*For those states that have adopted the NAIC updated Holding Company Model Act, a Form F Filing is required annually by holding company groups. Consistent with the 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)**

**\*\*\*\*\*For those states that have adopted the NAIC Risk Management and Own Risk and 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 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)**

|   |   | <b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>  |  |
|---|---|---|--|
| A | Required Filings Contact Person:  | Johanna Nickelson<br><a href="mailto:Johanna.Nickelson@state.sd.us">Johanna.Nickelson@state.sd.us</a><br>605-773-3563 |  |
| B | Mailing Address:  | South Dakota Division of Insurance<br>124 S. Euclid Ave., 2 <sup>nd</sup> Floor<br>Pierre, SD 57501                   |  |
| C | Premium Tax Forms Filed Electronically through TriTech:   | <a href="https://nonsub.tritechsoft.com/#/?folderId=42">https://nonsub.tritechsoft.com/#/?folderId=42</a>             |  |
| D | Premium Tax Payments filed Electronically through OPTins:   | <a href="https://optins.org/">https://optins.org/</a>   |  |
| E | Premium Tax Filings:  | Filed NO LATER than March 1 <sup>st</sup> or a penalty will apply.<br>No Exceptions.                                  |  |
| F | Late Premium Tax Filings:   | A penalty of 1.5% will apply on premium tax fees received after March 1 <sup>st</sup>                                 |  |
| G | Original Signatures:  | Not required.   |  |
| H | Signature/Notarization/Certification:   | Electronic signatures are accepted.   |  |
| I | Amended Filings Tax Filings:<br>Submit through TriTech  | <a href="https://nonsub.tritechsoft.com/#/?folderId=42">https://nonsub.tritechsoft.com/#/?folderId=42</a>             |  |
| J | Exceptions from normal filings:   | Electronic signatures are accepted.   |  |
| K | Bar Codes (State or NAIC):  |   |  |
| L | Signed Jurat:   | Domestic Companies Only,  |  |
| M | NONE Filings:   |   |  |
| N | Filings new, discontinued or modified materially since last year:<br>2022 Premium Tax Forms- Filed Electronically Only. | <a href="https://nonsub.tritechsoft.com/#/?folderId=42">https://nonsub.tritechsoft.com/#/?folderId=42</a>             |  |
| R | Electronically attach both the State Page and Schedule T to the Premium Tax Return. Do Not Send Under Separate Cover    | <a href="https://nonsub.tritechsoft.com/#/?folderId=42">https://nonsub.tritechsoft.com/#/?folderId=42</a>             |  |
| S | If previous tax year liability exceeds \$5000, then quarterly tax payments are required.                                | Due Dates:<br>4/30, 7/31, 10/31, 1/31   |  |
| T | Only File if Requested  |   |  |

**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 be filing(s) submitted to the NAIC via the NAIC Internet Filing Site which eliminates the need for a company to submit diskettes or CD-ROM 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 submitting 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 the annual statement, detail for investment schedules and all supplements due March 1.

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 supplements due April 1.

The ***Quarterly Electronic Filing*** includes the quarterly statement data.

The ***Quarterly.PDF Filing*** is the .pdf 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 (EX) 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 (EX) 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 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 its 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.

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