

HMO ENTITIES

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: _____ Filings Made During the Year 2026

(1) Checklist	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*		(5) DUE DATE	(6) FORM SOURCE* *	(7) APPLICABLE NOTES	
			Domestic	Foreign				
			State	NAIC	State			
I. NAIC FINANCIAL STATEMENTS								
1	Annual Statement (8 1/2"X14")		1	EO	xxx	3/1	NAIC	Note H, L, M
1.1	Printed Investment Schedule detail (Pages E01-E30)		1	EO	xxx	3/1	NAIC	Note H, L, M
2	Quarterly Financial Statement (8 1/2" x 14")		1	EO	xxx	5/15, 8/15, 11/15	NAIC	
II. NAIC SUPPLEMENTS								
11	Accident & Health Policy Experience Exhibit		1	EO	xxx	4/1	NAIC	
12	Actuarial Opinion		1	EO	xxx	3/1	Company	
13	Life Supplemental Data due March 1		1	EO	xxx	3/1	NAIC	
14	Life Supplemental Data due April 1		1	EO	xxx	4/1	NAIC	
15	Life Supp Statement non-guaranteed elements – Exh 5, Int. #3		1	EO	xxx	3/1	Company	
16	Life Supp Statement on par/non-par policies – Exh 5 Int. 1&2		1	EO	xxx	3/1	Company	
17	Life, Health & Annuity Guaranty Association Assessable Premium Exhibit, Parts 1 and 2		1	EO	xxx	4/1	NAIC	
18	Long-Term Care Experience Reporting Forms		1	EO	xxx	4/1	NAIC	
19	Management Discussion & Analysis		1	EO	xxx	4/1	Company	
20	Market Conduct Annual Statement Premium Exhibit for Year		1	EO	xxx	3/1	NAIC	
21	Medicare Part D Coverage Supplement		1	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
22	Medicare Supplement Insurance Experience Exhibit		1	EO	xxx	3/1	NAIC	
23	Risk-Based Capital Report		1	EO	xxx	3/1	NAIC	
24	Schedule SIS		1	N/A	N/A	3/1	NAIC	
25	Supplemental Compensation Exhibit		1	N/A	N/A	3/1	NAIC	
26	Supplemental Health Care Exhibit (Parts 1 and 2)		1	EO	xxx	4/1	NAIC	
27	Supplemental Investment Risk Interrogatories		1	EO	xxx	4/1	NAIC	
III. ELECTRONIC FILING REQUIREMENTS								
61	Annual Statement Electronic Filing		xxx	EO	xxx	3/1	NAIC	
62	March .PDF Filing		xxx	EO	xxx	3/1	NAIC	
63	Risk-Based Capital Electronic Filing		xxx	EO	N/A	3/1	NAIC	
64	Risk-Based Capital .PDF Filing		xxx	EO	N/A	3/1	NAIC	
65	Supplemental Electronic Filing		xxx	EO	xxx	4/1	NAIC	
66	Supplemental .PDF Filing		xxx	EO	xxx	4/1	NAIC	
67	Quarterly Statement Electronic Filing		xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
68	Quarterly .PDF Filing		xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
69	June .PDF Filing		xxx	EO	xxx	6/1	NAIC	
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
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	Note A	See Note A	Company	Note A

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			Domestic		Foreign			
			State	NAIC	State			
	88	Relief from the five-year rotation requirement for lead audit partner	1	EO	xxx	3/1	Company	
	89	Relief from the one-year cooling off period for independent CPA	1	EO	xxx	3/1	Company	
	90	Relief from the Requirements for Audit Committees	1	EO	xxx	3/1	Company	
	91	Request for Exemption to File Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	Note J	Company	Note J
V. STATE REQUIRED FILINGS								
101	Corporate Governance Annual Disclosure***		1	0	xxx	6/1	Company	
102	Filings Checklist (with Column 1 completed)		0	0	xxx		State	
103	Form B-Holding Company Registration Statement		1	0	xxx	Note N	Company	Note N
104	Form F-Enterprise Risk Report ****		1	0	xxx	Note N	Company	Note N
105	ORSA *****		1	0	xxx	10/1	Company	
106	Premium Tax	Note D	0	xxx	Note D		State	Note D
107	State Filing Fees		1	0	1	3/1	State	
108	Signed Jurat	xxx	0	EO	3/1, 5/15, 8/15,11/15		NAIC	Note G, I, J, L, O
109	Group Capital Calculation (File with lead state only)		1	0	xxx	6/1	State	
110	Information Security Program Certification Form		1	0	xxx	2/15	State	
111	Certificate of Compliance		0	0	EO	3/1	State	Note O
112	Certificate of Deposit		0	0	EO	3/1	State	Note O
113	List of Providers who have executed a contract that complies with Section 83-41-325 (12)		1	N/A	EO	3/1	Company	Note O
114	A description of the grievance procedures		1	N/A	EO	3/1	Company	Note O
115	The total number of grievances handled through such procedures during year		1	N/A	EO	3/1	Company	Note O
116	A compilation of the causes underlying those grievances		1	N/A	EO	3/1	Company	Note O
117	A summary of the final disposition of those grievances		1	N/A	EO	3/1	Company	Note O
118	Letter of Informative Disclosure		1	N/A	EO	3/1	State	Note O

*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.

****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

*****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

NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)		
	A	<p>Required Filings Contact Person:</p> <p>Donna Whitley Financial & Market Regulation Division filings@mid.ms.gov 601-359-2127</p>
	B	<p>Mailing Address:</p> <p>Mississippi Insurance Department Attention: Financial & Market Regulation Division 501 N. West St., Ste. 1001 Jackson, MS 39201</p> <p>Mississippi Insurance Department Attention: Financial & Market Regulation Division P O Box 79 Jackson, MS 39205-0079</p>
	C	<p>New Process for Payment of Annual Filing Fees:</p> <ul style="list-style-type: none"> Effective January 1, 2023, annual filing fees will be due March 1st of each year. See Bulletin 2022-3 (https://www.mid.ms.gov/legal/bulletins/20223bul.pdf) The Department will email the invoice for the annual filing fees to the Company License/Fees Contact on/or around January 15th. Please ensure the Company License/Fees Contact is up to date. Payment of the annual filing fees shall be made electronically via Sircon's electronic payment portal (https://www.sircon.com/Mississippi). <p>Any questions regarding the payment of the annual filing fees should be addressed to filings@mid.ms.gov</p>
	D	<p>Mailing Address for Premium Tax Payments:</p> <p>Mississippi Department of Revenue Attn: Debra McDonald 1577 Springridge Rd Raymond, MS 39154</p> <p>Mississippi Department of Revenue Attn: Derrick Barnes P O Box 23075 Jackson, MS 39225-3075</p>
	E	<p>Delivery Instructions:</p> <p>All filings must be received no later than the indicated due date. If the due date falls on a weekend or holiday, the due date is the next business day.</p>
	F	<p>Late Filings:</p> <p>Pursuant to Miss. Code Ann. § 83-5-69, company shall pay \$100 for each day's neglect, and upon notice by the commissioner to that effect, its authority to do new business shall cease while such default continues</p>

NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)		
	G	Original Signatures: Original wet signatures are required on all filings from domestic companies. Foreign companies should follow the NAIC Annual Statement Instructions.
	H	Signature/Notarization/Certification: The statement shall be sworn to by the president or vice president and secretary or treasurer or chief managing agent or officer of such company.
	I	Amended Filings: Amended items must be filed within 10 days of their amendment, along with explanation of the amendments. If there are signature requirements for the original filings, then same should be followed for any amendment.
	J	Exceptions from normal filings: Foreign companies shall submit a written request by electronic filing of any exemption or extension received by its state of domicile at least 10 days prior to the filing due date to receive such from Mississippi. You may submit the request to filings@mid.ms.gov . Domestic companies shall apply at least 10 days prior to the original due date via contact with your analyst.
	K	Bar Codes (State or NAIC): NAIC Annual Statement Instructions should be followed.
	L	Signed Jurat: The Department requires the filing of a signed Jurat for domestic and foreign companies
	M	NONE Filings: NAIC Annual Statement Instructions should be followed.
	N	Filings new, discontinued or modified materially since last year: Foreign companies which do not have a Holding Company law similar to Mississippi are required to file pursuant to Miss. Code Ann. § 83-6-3.
	O	<u>Electronic Filings:</u> Foreign insurers shall file an electronic copy with the Department via the Document Submission Portal on or before the statutory due date. To access the Document Submission Portal, please click on the following link: https://www.mid.ms.gov/mississippi-insurance-department/companies/document-submission-portal/ <u>Please note that no hard copy filings are required.</u> Should there be any questions concerning use of the Portal, please contact filings@mid.ms.gov .

**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 annual statement data, detail for investment schedules and supplements due March 1.

The ***Risk-Based Capital Electronic Filing*** includes all risk-based capital data.

The ***Risk-Based Capital.PDF Filing*** is the .pdf file for risk-based capital data.

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 supplemental schedules and exhibits due April 1.

The ***Quarterly Electronic Filing*** includes the complete quarterly filing and the PDF files for all quarterly data.

The ***Quarterly.PDF Filing*** is the .pdf file 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 have chosen 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.**

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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 the state 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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