Dora
Department of Regulatory Agencies

Division of Insurance

HEALTH ENTITIES
Prepaid Dental Plans

COMPANY NAME: _____ **NAIC Company Code:** _____
Contact: _____ **Telephone:** _____
REQUIRED FILINGS IN THE STATE OF: COLORADO

(1) Check-list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES* Domestic State	Domestic NAIC	Foreign State	(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 ½"X14")	1	EO	xxx	3/1	NAIC	U
	1.1	Printed Investment Schedule detail (Pages E01-E27)	1	EO	xxx	3/1	NAIC	U
	2	Quarterly Financial Statement (8 ½" x 14")	N/A	N/A	xxx	5/15, 8/15, 11/15	NAIC	U
		II. NAIC SUPPLEMENTS						
	10	Accident & Health Policy Experience Exhibit	1	EO	xxx	4/1	NAIC	U
	11	Actuarial Opinion	1	EO	xxx	3/1	Company	J, U
	12	Health Care Exhibit (Parts 1, 2 and 3) Supplement	0	0	0	4/1	NAIC	U
	13	Health Care Exhibit's Allocation Report Supplement	0	0	xxx	4/1	NAIC	U
	14	Investment Risk Interrogatories	1	EO	xxx	4/1	NAIC	U
	15	Life Supplemental Data due March 1	0	0	xxx	3/1	NAIC	U
	16	Life Supp Statement non-guaranteed elements –Exh 5, Int. #3	0	0	xxx	3/1	Company	U
	17	Life Supp Statement on par/non-par policies – Exh 5 Int. 1&2	0	0	xxx	3/1	Company	U
	18	Life Supplemental Data due April 1	0	0	xxx	4/1	NAIC	U
	19	Long-term Care Experience Reporting Forms	0	0	xxx	4/1	NAIC	U
	20	Management Discussion & Analysis	1	EO	xxx	4/1	Company	U
	21	Medicare Supplement Insurance Experience Exhibit	0	0	xxx	3/1	NAIC	U
	22	Medicare Part D Coverage Supplement	0	0	xxx	3/1, 5/15, 8/15, 11/15	NAIC	U
	23	Property/Casualty Supplement due March 1	0	0	xxx	3/1	NAIC	R, U
	24	Property/Casualty Supplement due April 1	0	0	xxx	4/1	NAIC	U
	25	Risk-Based Capital Report	1	EO	xxx	3/1	NAIC	U
	26	Schedule SIS	0	N/A	N/A	3/1	NAIC	U
	27	Supplemental Compensation Exhibit	1	N/A	1	3/1	NAIC	U
		III. ELECTRONIC FILING REQUIREMENTS						
	50	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	51	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	52	Risk-Based Capital Electronic Filing	xxx	1	N/A	3/1	NAIC	
	53	Risk-Based Capital .PDF Filing	xxx	0	N/A	3/1	NAIC	
	54	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	55	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	56	Quarterly Statement Electronic Filing	xxx	0	xxx	5/15, 8/15, 11/15	NAIC	
	57	Quarterly .PDF Filing	xxx	0	xxx	5/15, 8/15, 11/15	NAIC	
	58	June .PDF Filing	xxx	1	xxx	6/1	NAIC	

		IV. AUDIT/INTERNAL CONTROL RELATED REPORTS						
	71	Accountants Letter of Qualifications	1	EO	N/A	6/1	Company	P, J, U
	72	Audited Financial Reports	1	EO	xxx	6/1	Company	P, J, U
	73	Audited Financial Reports Exemption Affidavit	1	N/A	N/A		Company	P, U
	74	Communication of Internal Control Related Matters Noted in Audit	1	N/A	N/A	8/1	Company	P, U
	75	Independent CPA (change)	1	N/A	N/A		Company	P, U
	76	Management's Report of Internal Control Over Financial Reporting	1	N/A	N/A	8/1	Company	P, U
	77	Notification of Adverse Financial Condition	1	N/A	N/A		Company	P, U
	78	Request for Exemption to File	1	N/A	N/A		Company	P, U
	79	Relief from the five-year rotation requirement for lead audit partner	1	N/A	N/A	3/1	Company	P, U, N
	80	Relief from the one-year cooling off period for independent CPA	1	EO	N/A	3/1	Company	P, U, N
	81	Relief from the Requirements for Audit Committees	1	EO	N/A	3/1	Company	P, U, N

		V. STATE REQUIRED FILINGS						
	101	Premium Tax (P&C and Life Only)	N/A	0	N/A	3/1	State	D
	102	Annual Fee Form	1	0	1	3/1	State	C
	103	Signed Jurat (P&C and Life Only)	0	xxx	1	3/1	NAIC	L, U
	104	Summary of Anti-Fraud Plan (P&C, Life and NPHHSC Only)	0	0	0	3/1	Company	U
	105	MGA Questionnaire (P&C and Life Only)	0	0	0	3/1	State	U
	106	Uniform Consent to Service of Process (For Change Only)	1	0	1	See Note O	State	O
	107	Quarterly Variance Report	1	0	0	5/15,8/15, 11/15	Company	V, U
	108	Holding Company Registration Statement	1	0	0	See Note Q	Company	Q, U
	109	Synopsis of Annual Statement Publication (P&C and Life only)	1	0	1	3/1 (Note S)	State	S
	110	Prepaid Dental Plan Worksheet	1	0	1			

***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.**

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Filings Contact Person:	**Financial Filings:** Corporate Affairs E-mail: DORA_INS_CORPORATEAFFAIRS@STATE.CO.US Forms are available on the Division of Insurance Website
	B	Mailing Address:	**Filings may be emailed in electronic .PDF format to:** DORA_INS_CORPORATEAFFAIRS@STATE.CO.US
	C	Mailing Address for Fee Form:	Cash Management Colorado Division of Insurance 1560 Broadway, Suite 850 Denver, CO 80202
	D	Filing and payment of annual fee, fraud fee and premium taxes:	Fee form is available on the Division's web site
		• Via Email – for electronic Schedule T filing	**Schedule T may be emailed in electronic .PDF format to:** DORA_INS_CORPORATEAFFAIRS@STATE.CO.US
		• Via U.S. Postal Service **Note: Only payment coupons, Schedule T, and payments to this address.**	**Colorado Division of Insurance – Premium Tax** **PO Box 2237** **Englewood, CO 80150-2237**
		• Via Courier or Express Service: **Note: Only payment coupons, Schedule T, and payments go this address.**	**Colorado Division of Insurance – Premium Tax** **First Data Payment Services Lockbox** **6200 South Quebec Street, Suite 160** **Greenwood Village, Colorado 80111**
	E	Delivery Instructions:	All required filings per checklist must be received no later than the due date. If the due date falls on a weekend or holiday, the deadline is extended to the next business day. **Filings may be emailed in electronic .PDF format to:** DORA_INS_CORPORATEAFFAIRS@STATE.CO.US
	F	Late Filings:	Up to $100 per day late filing penalty. Up to $100 per day late penalty for premium tax payments.
	G	Original Signatures:	Original signatures are required and must appear on the PDF filing.
	H	Signature/Notarization/Certification:	Notarized signatures are required for chief officers and must appear on the PDF filing.
	I	Amended Filings:	Amended filings must be filed with both the Division and the NAIC and signed similarly to the originals.
	J	Exceptions from normal filings:	Audited Financial Statements (Extensions) –10 days prior to due date; Actuarial Opinions (Extensions /Exemptions) –15 days prior to due date; requests considered on a case-by-case basis.
	K	Bar Codes (State or NAIC):	Please follow the NAIC Annual Statement Instructions.
	L	Signed Jurat:	Foreign companies must file this page. (For Annual filing only).

			Filings may be emailed in electronic .PDF format to: DORA_INS_CORPORATEAFFAIRS@STATE.CO.US
	M	NONE Filings:	See NAIC Annual Statement Instructions for Supplement Interrogatories. Exceptions to these instructions are noted on the form.
	N	Filings new, discontinued or modified materially since last year:	New: 1. Relief from the five-year rotation requirement for lead audit partner 2. Relief from the one-year cooling off period for independent CPA 3. Relief from the Requirements for Audit Committees Discontinued: 1. None Materially Modified: 1. None
	O	Uniform Consent to Service Process (UCAA Form 12)	ONLY COMPANIES THAT HAVE CHANGED THEIR COLORADO REPRESENTATIVE FOR SERVICE OF PROCESS MUST COMPLETE THIS FORM. File under separate cover directly to: Colorado Division of Insurance Attn: Christine Gonzales-Ferrer 1560 Broadway, Suite 850 Denver, CO 80202 Form available on DOI website at: Direct questions to: Christine Gonzales-Ferrer E-mail: christine.gonzales-ferrer@state.co.us
	P	Audited Financial Statements	Refer to Colorado Regulation 3-1-4, which is available on the state of Colorado website:

	Q	Holding Company Registration Statement	Forms B &C due within 120 days of the ultimate controlling person's fiscal year end. (i.e., For fiscal year end 12/31, the due date is 4/30.) Refer to Colorado Regulation 3-4-1, which is available on the state of Colorado website.
	R	Management Discussion and Analysis Form:	Follow the NAIC Annual Statement Instructions for completing this filing.
	S	Synopsis of Annual Statement Publication (FORM S)	Required pursuant to §10-3-109(1), C.R.S **RETURN THIS COMPLETED FORM DIRECTLY TO THE SELECTED NEWSPAPER.**
	T	NOT USED	
	U	Electronic .PDF filing	**Filings may be emailed in electronic .PDF format to:** DORA_INS_CORPORATEAFFAIRS@STATE.CO.US The electronic PDF filing must have the Company Name, NAIC Number and Type of Document in the subject line**.** **Please send one attachment per email** (subject line example: ABC Insurance Company – 12345 - Annual statement). Note: If this is not in the subject line, the email may be deleted.
	V	Quarterly Variance Report (For Health Blank Only)	

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 include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes 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.
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* exemptprinted 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 (E) 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 (EX4) 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.**

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.

Email inquiries to: DORA_INS_CORPORATEAFFAIRS@STATE.CO.US