

HEALTH ENTITIES

COMPANY NAME: _____ NAIC Company Code: _____
 Contact: _____ Telephone: _____
 REQUIRED FILINGS IN THE STATE OF: Maryland Filings Made During the Year 2011

(1) Check -list	(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")	2	EO	xxx	3/1 (B)	NAIC	
	1.1	Printed Investment Schedule Detail	2	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	
II. NAIC SUPPLEMENTS								
	10	Actuarial Opinion	2	EO	xxx	3/1 (B)	Company	
	11	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	12	Long-term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	
	13	Management Discussion & Analysis	2	EO	xxx	4/1	Company	
	14	Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	
	15	Risk-Based Capital Report	2	EO	xxx	3/1 (B)	NAIC	
	16	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	Filing required for non-profits only.
III. ELECTRONIC FILING REQUIREMENTS								
	30	Annual Statement Electronic Filing	xxx	1	xxx	3/1 (B)	NAIC	
	31	March PDF Filing	xxx	1	xxx	3/1 (B)	NAIC	
	32	Risk-Based Capital Electronic Filing	xxx	1	N/A	3/1 (B)	NAIC	
	33	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	34	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	35	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
	36	Quarterly Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	37	Quarterly PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
IV. AUDITED FINANCIAL STATEMENTS								
	51	Accountants Letter of Qualifications	1	EO	N/A	(A)	Company	
	52	Audited Financial Statements	1	EO	xxx	(A)	Company	
	53	Audited Financial Statements Exemption Affidavit	1	N/A	N/A	(A)	Company	
	54	Report of Independent CPA	1	N/A	N/A	(A)	Company	
	55	Notification of Adverse Financial Condition	1	N/A	N/A	(A)	Company	
	56	Report of Significant Deficiencies in Internal Controls	1	N/A	N/A	(A)	Company	
	57	Management's Report on Internal Controls	1	N/A	N/A	(A)	Company	
	58	Request for Exemption and Extension to File	1	N/A	N/A	(A)	Company	
V. STATE REQUIRED FILINGS								
	101	Holding Co. Registration Statement (Forms B & C)	1	0	1 *	5/1	Company	*Refer to Section 7-601 of Insurance Article regarding filing.
	102	Signed Jurat Page	1	0	1	3/1	NAIC	
	103	Premium Tax	1	0	1	3/15 ,4/15, 6/15, 9/15, 12/15	State	Note: HMO's, MCO's and Dental Plan Orgs. are subject to premium taxes.
	104	Premium Tax Exemption Report	1	0	0	3/1	State	Nonprofits 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 the NAIC 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.

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

(A) - Audited Financial Statements and Report of Independent CPA are due as follows:

- Dental Plan Organizations - 6/1
- Health Maintenance Organizations - 6/1
- Managed Care Organizations - 6/1
- Non Profit Health Service Plans – 6/1

(B) - Annual Statements and related filings for Dental Plan Organizations are due 3/1.

**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 send mailing labels and other information to all companies but 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.

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 mailing 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, Officers and Directors Information and supplements due March 1.

The *Risk-Based Capital Electronic Filing* includes all 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.

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 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.