

# State of Washington

## Office of Insurance Commissioner (OIC)

### 2019 Electronic Submission Directive

#### Changes for 2019

- The Health Additional Data Statement instructions were updated to remove the requirement that the OIC approve True Employer Associations and to allocate numbers when a True Employer Association is not such for the entire reporting year.
- The Corporate Governance Annual Disclosure is a new filing.

#### Make these filings with Washington

If applicable to your company, file the following on the OIC web portal:

| Date Due | Description   |
|----------|---|
| March 1  | Form IC-13-HC/IC-14-HMO (Additional Data Statement Form) PDF (HCSCs, HMOs and MEWAs only)   |
| March 1  | Schedule SIS PDF, only if filled out. No "none" filings. (domestic only)  |
| March 1  | Segregated Accounts Annual Report PDF (if segregated premium plan was approved)   |
| March 1  | Supplemental Compensation Exhibit PDF   |
| March 1  | Exceptions to Reinsurance Attestation Supplement (domestic P&C only)  |
| March 15 | Actuarial Opinion Summary PDF (domestic P&C only)   |
| March 15 | Regulatory Asset Adequacy Issues Summary (RAAIS) PDF (domestic life only)   |
| April 2  | Business written by Agency PDF (domestic title only)  |
| April 30 | Actuarial Memorandum Related to Universal Life with Secondary Guarantee Policies required by Actuarial Guideline XXXVIII (domestic life only) |
| May 1    | Form B and Form C (domestic only)   |
| May 1    | Form F (domestic only)  |
| May 1    | Combined Annual Statement (domestic P&C only)   |
| June 1   | Corporate Governance Annual Disclosure (domestic only)  |
| August 1 | Management's Report of Internal Control Over Financial Reporting (domestic only and only if premiums are greater than \$500 million)          |
| August 1 | IRS Form 5500 (MEWAs only)  |
| 25th     | Monthly Financial Statements (upon request only)  |
| varies   | Own Risk and Solvency Assessment (ORSA)   |

#### Signatures

For financial statement filings, the OIC will consider use of the process outlined below as in compliance with Washington Administrative Code (WAC) 284-07-050(4)(b)(ii), 284-07-050(5)(c)(ii), 284-07-060(2)(c)(ii) and 284-07-100(7)(b).

- The handwritten signature must be on the actual page, in the signature area; it cannot be on a different page or a blank page.
- Each person must personally sign the document by hand. Reproduction or facsimile signatures are invalid, except for CPA firms.
- The signature page must be added into the same PDF file as the document that is being signed.

Have the officers, notary, actuary or CPA complete and sign the paper signature page. Then scan the page and insert it into the PDF file that your vendor software creates (this requires a program that can edit PDF files). The PDF file must still have the bookmarks that your annual statement preparation software or outside consultant generates.

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#### CPA Firms

When the independent auditor is a firm instead of an individual CPA, we will accept any reasonable approximation of the firm's signature (including reproductions and facsimiles) for the audited financial report, CPA qualifications letter and Communications of Internal Control-Related Matters Noted in an Audit.

#### Missing signature page

In the event that a filing is missing any signature or signature page, the reporting entity must file an amendment with the same place to provide it (either the NAIC or OIC). **The amended filing must state that it's filing the missing signatures from a prior filing.** The filing must solely contain the required signature page and no other pages from the original filing, unless approved in writing in advance by the OIC.

It is the reporting entity's responsibility to follow the Washington statutes, rules, NAIC Quarterly and Annual Statement Filing Instructions and NAIC Accounting Practices and Procedures Manual.