

# ANNUAL FILING CHECKLIST

## CERTIFIED COMPANIES

**THE FOLLOWING CHECKLIST IS PROVIDED TO AID YOUR COMPANY IN  
ELECTRONICALLY SUBMITTING A COMPLETE FILING TO THIS DEPARTMENT  
(COPY OF THIS CHECKLIST IS TO BE SUBMITTED WITH FILING)**

**REPORTING COMPANY NAME:** \_\_\_\_\_

\_\_\_\_\_

**CONTACT PERSON NAME AND TITLE:** \_\_\_\_\_

\_\_\_\_\_

**CONTACT PERSON PHONE NO. AND E-MAIL ADDRESS:** \_\_\_\_\_

\_\_\_\_\_

ITEMS TO BE SUBMITTED	<u>SUBMITTED</u>	
	YES	NO
1. Renewal Fee (pay on-line at <a href="http://www.fiscal.treasury.gov/fsreports/ref/suretyBnd/surety_home.htm">http://www.fiscal.treasury.gov/fsreports/ref/suretyBnd/surety_home.htm</a> )		
2. Signed and Notarized Jurat Page for Annual Financial Statement of Reporting		
3. NAIC UPLOAD FILE (s.txt file only)		
4. For Subsidiaries Shown on Schedule D: a. NAIC UPLOAD FILE (s.txt file only)		
5. Surety License Form (form provided on-line) – Provide all current information		
6. Treasury Schedule F (form provided on-line)*		
7. Copies of LOC's and Trust Agreements for Largest Recoverable Amounts Reported on Sch. F, Part 2, Columns 4a and 4b		
8a. Schedule of Excess Risks (form provided on-line)*		
b. Reinsurance Agreement Forms for All Bonds Written with U.S. Government as the Obligee (SF 273, 274, 275) (Available on-line)*		
c. Powers of Attorney for all Attorneys-In-Fact on Reins. Agreement Forms		
9. NAIC IRIS Ratios and explanation(s) of IRIS Ratios with Unusual Results		

10. Current State Exam Report (if not previously provided) and copy of correspondence responding to Examiner's recommendations		
11. Updated Biographical Affidavits of New Officers and Directors (use NAIC Format)		
12. Bail Bond Reserve Schedule (if applicable)		
13. Description of Miscellaneous Assets Reported on Page 1 of the Annual Financial Statement		
14. Current Appraisals for Mortgage Loans and Real Estate Acquired During this Past Year		
15. Insurance Dept. Certificates: - verifying large infusions of capital or surplus - verifying approval of extraordinary dividend		
16. Documents Describing Changes in the Company (i.e., name change, ownership change, change in state of incorporation, change in CPA audit firms, etc.)		
17. Copies of Change to Charter or Articles of Incorporation or Bylaws which Occurred this Past Year		
18. Report on Federal Business Written, Assumed and/or Outstanding (form provided on-line)*		

\*ALL OF OUR FORMS ARE AVAILABLE ON-LINE AT  
[http://www.fiscal.treasury.gov/fsreports/ref/suretyBnd/surety\\_home.htm](http://www.fiscal.treasury.gov/fsreports/ref/suretyBnd/surety_home.htm)

\*\*NOTE: IT IS NOT NECESSARY TO SUBMIT INSURANCE EXPENSE EXHIBITS\*\*

**\*\*\* THE SURETY BOND PROGRAM ONLY ACCEPTS ELECTRONIC SUBMISSIONS OF DOCUMENTS (FACSIMILE SIGNATURES ARE ACCEPTABLE) \*\*\***