

# QUARTERLY FILING CHECKLIST CERTIFIED COMPANIES

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

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

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

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

ITEMS TO BE SUBMITTED	<u>SUBMITTED</u>	
	YES	NO
1. Quarterly Financial Data Requirements: a. NAIC Upload File (s.txt file only) of Reporting Company b. Signed and Notarized Quarterly Statement ( <b>JURAT PAGE ONLY</b> )		
2. a. Schedule of Excess Risks – signed and notarized (form provided on-line)*		
b. Reinsurance Agreement Forms for All Bonds Written with U.S. Government the Obligee (SF 273, 274, 275) (forms provided on-line)*		
c. Powers of Attorney for all Attorneys-In Fact on Reins. Agrmt. Forms		
3. Updated Biographical Affidavits of New Officers and Directors (use NAIC format)		
4. Documents Describing Changes in the Company (i.e., name change, Ownership change, change in state of incorporation, change in CPA audit firms, etc.)		
5. Copies of Changes to Charter or Articles of Incorporation or Bylaws Which Occurred During the Quarter		
6. Report of Federal Business Written/or Assumed and 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)**

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