General Questions

What is the difference between a Data Administrator and a Financial Analyst?

Each insurance company is assigned both a Data Administrator and a Financial Analyst.
A Data Administrator is an analyst that works with the processing of the electronic filings for the purpose of making filings complete and available on the NAIC's Database. These filings can be submitted to the NAIC Database by using the Internet Filing Web site. A Financial Analyst is an analyst that actually works with the data that is submitted from the electronic filing. These analysts work with the annual statement and quarterly data once it is available on the NAIC's Database. This group of analysts is able to assist a company in completing their annual statement.

Filing Fee Questions

How do I submit the payment for filing fees to the NAIC?

The filing fee should be postmarked by March 1st and sent to the address listed below:
Your filing fee must be mailed directly to:
NAIC
Attn: Database Filing Fees
P. O. Box 87-9135
Kansas City, MO 64187-9135

Electronic Filings

How To Sign Up For Internet Filing:

1. You must request an NAIC user name and password so that you can submit financial filings.
2. Go to https://ifs.naic.org/internetfiling/servlet/IFHome
3. Click on the request NAIC user name and password link on the right.
4. For assistance with this call the NAIC Help Desk (816) 783-8500

When is the latest I can submit changes to my annual or quarterly statements?

The last business day of January of the following year is the usual cut-off date. For example January 31, 2013 is the cutoff for 2011 annual and 2012 quarterly: This system will stop accepting filings for the prior year's filing because it will be preparing to take the next data year filing. Once the system has cut-off accepting filings, it will not be able to accept them electronically.

When is the earliest I can submit files?

Filings that are currently being accepted will be listed on the Internet Filing Web site at https://ifs.naic.org/internetfiling/servlet/IFHome

Can the NY supplement be submitted by diskette?

Although companies may submit the New York Supplement using the NAIC's Internet Filing application, you will have to contact Earl Weekes or William Pow at the New York Department of Financial Services regarding diskette submission of the supplement.

Earl Weekes
212 480 2328
Earl.Weekes@dfs.ny.gov

William Pow
212 480 4635
wpow@INS.STATE.NY.US

Filing Questions

How to get a copy of the checklist from the NAIC?

Your domiciliary state's checklist provides the items that should be sent to the NAIC. The items will be listed under the column marked "NAIC". You can use the following link to go to a listing of state sites that has this information (http: //www.naic.org/industry_filing_state_instructions.htm.) or contact your state of domicile.

What is the difference between an amended and a refilled electronic filing?

A refile must be submitted when an original filing previously submitted had validation failures that have prevented it from being loaded to the database. An amended filing is submitted when changes have been made to the information contained in the filing after the original or refile has been sent and loaded successfully to the NAIC Database. An amended filing is also used when pieces of the original filing were omitted when initially submitting the zip file. A refiling is a complete re-submission of all of the data and an amendment can be just one change.

How am I notified if there is a problem with my filing?

The Data Administrator or the Financial Analyst assigned to your company will contact you if there is a problem or question with your filing. If the filing could not be processed, you will most likely hear from the Data Administrator assigned to your company.
If there is a question about the data submitted, you will most likely be contacted by a Financial Analyst. The name of the person requesting the action should be listed in the correspondence.

How do I determine what items to send to the NAIC? I can't find a checklist.

You will need to consult your domiciliary states checklist. You can also use this link to get to the State's Web site: http://www.naic.org/industry_filing_state_instructions.htm.

What should I do if my company has been granted a waiver from filing?

Please send a copy of the state's letter approving the waiver from filing with the NAIC to the Data Administrators. If it does not specify that it is a permanent waiver, the waiver will be applied to the current data year and specific filing noted only. You will have to submit it again the following year if it is granted by your state. You can send the waiver to the Data Administrator assigned to your company or to FDRadmin@naic.org. Your e-mail will be forwarded to the Data Administrator assigned to your company.

What should I do if my company has been granted an extension?

Please send a copy of the state's letter approving the extension from filing with the NAIC to the FDR Data Administrators. If it does not specify that it is a permanent extension, the extension will be applied to the current data year and specific filing noted only. You will have to submit it again the following year if it is granted by your state. You can send the extension to the Data Administrator assigned to your company or to FDRadmin@naic.org. Your e-mail will be forwarded to the Data Administrator assigned to your company.

What is the mailing address for the NAIC?

NAIC Database
Attn: Data Administrators
1100 Walnut Street, Suite 1500
Kansas City, MO 64106-2197
(816) 783-8600

Contacts for Questions

Whom do I contact for questions on how to complete my Annual and Quarterly statement?

For questions concerning how to complete your statement contact the Financial Regulatory Services Accounting & Reporting Unit Questions Help Line at (816) 783-8400.

Whom do I contact when I have a question about my electronic filing?

Please contact FDR Data Administrators at (816) 783-8600 for assistance. When you call, please leave your name, telephone number, 5-digit NAIC Company Code, and a brief description of your question. You can also e-mail FDRadmin@naic.org.

Who do I contact when having problems with my Internet NAIC User Name and Password?
Please contact the NAIC Help Desk at (816) 783-8500 or e-mail at Help@naic.org.

Do I have to sign up separately in order to submit a combined filing using Internet Filing?
Your NAIC User Name and Password will allow you to submit any Financial Statement type, however the current financial statement contact for that company will need to grant you the privilege to file.

What should I do if my company is involved in a merger?
If your company has been involved in a merger, please fax one of the following items directly to Jennifer Heinz. Her fax number is (816) 460-7521.
1. Copy of the merger order. –**OR**-
2. A letter of instruction, which should include the name of the companies involved in the merger, the effective date of the merger and the name of the surviving company.

If you have additional questions concerning merged companies, you can contact Jennifer Heinz at (816) 783-8605 or e-mail JHeinz@naic.org.

I received a letter from the NAIC; to whom do I speak to about the letter?
You need to contact the individual that sent you the letter. The person's name should be listed in the correspondence. If the name is not present and you have the name of the department, you can contact the NAIC operator at (816) 842-3600 and you will be directed to a member of that department.

Whom do I contact about filing fees and remittance invoice questions?
Contact the NAIC Accounting Department about inquiries dealing with filing fees and the remittance invoice. You can contact a member of the Accounts Receivable Department by calling (816) 783-8089 or e-mail AcctgRec@naic.org.

How can I get IRIS results?
1. Go to https://ifs.naic.org/internetfiling/servlet/IFHome
2. Sign into Internet Filing using the NAIC user name and password assigned to your company.
The site is case-sensitive and cannot be all caps.
3. Click the "**IRIS Results**" button on the right side of the page.
4. The most recent IRIS results will be displayed. You can also, in most instances, retrieve current IRIS results plus the past four prior years provided that your company had results for these data years.
5. Follow the instructions on the screen to print the IRIS with or without the Internet Filing banner.
A company receives **only** its own IRIS Ratio Results. You can *purchase* the Insurance Regulatory Information System (IRIS) Ratio Results through the NAIC Insurance Products & Services Division by calling (816) 783-8300 or e-mail prodserv@naic.org.

Whom do I contact when I would like to send in an explanation for my IRIS ratios?

The NAIC does not require, nor collect, explanations for IRIS ratios. If you wish to provide an explanation for IRIS ratio(s) having unusual values (outside the normal ranges), you should contact your state of domicile.

Life and Fraternal Explanations	Property Explanations
Jane Koenigsman Accounting & Reporting Unit Division 1100 Walnut Street, Suite 1500 Kansas City, Mo 64106-2197	Andy Daleo Accounting & Reporting Unit Division 1100 Walnut Street, Suite 1500 Kansas City, Mo 64106-2197

Can I obtain another company's IRIS results?

A company can **only** request their own IRIS ratios results. You can purchase the IRIS Ratio Results Publication through the NAIC Insurance Products and Services Division. You can contact them at (816) 783-8300 or e-mail them at ProdServ@naic.org for more information.

How can I find out about the status of my NY supplement filing?

Companies may submit the New York Supplement using the NAIC's Internet Filing application, but the NAIC Data Administrators do not have access to these filings. Please contact:

Earl Weekes
212 480 2328
Earl.Weekes@dfs.ny.gov

William Pow
212 480 4635
wpow@INS.STATE.NY.US

Do not send these filings to the NAIC Database (on a diskette or CD-ROM) with your Annual Statement filing.

Whom do I contact about how to use my vendor software?

You may contact your Annual, Quarterly, and Risk-Based Capital Software Vendor by using the information below:

Vendor	Product	E-mail	Contact Number
A.M. Best Company http://www.ambest.com/ Ambest Road Oldwick, NJ 08858	Life, Property, Health, Separate Accounts, Title and RBC (Health, Life and Property)	BestESP_sales@ambest.com	Phone: (908) 439-2200 x5238 Fax: (908) 439-3385
Booke Seminars http://www.bookeseminars.com/ 1100 Reynolds Blvd Winston, Salem, NC 27105	Life, Property, Health, Title, Fraternal, Separate Accounts and RBC (Health, Life and Property)	info@bookeseminars.com	Phone: (800) 277-1120 Fax: (336) 896-8083
Financial Software Innovations www.fsi-inc.com 3102 Bee Caves Road, Suite 200 Austin, TX 78746	Life, Property, Title, Fraternal, Health, Separate Accounts and RBC (Health, Life and Property)	help@fsi-inc.com	Phone: (800) 969-7979 Fax: (512) 328-1984
StoneRiver (formerly Fiserv Insurance Solutions) http://www.stoneriver.com/ 2110 Wiley Blvd. SW Cedar Rapids, IA 52404	Life, Property, Health, Separate Accounts and RBC (Health, Life and Property)	solutions@stoneriver.com	Phone: (800) 373-3366 Fax: (319) 294-3226
SunGard iWORKS LLC (formerly SunGard Insurance Systems) http://www.sungardinsurance.com/ 321 Susan Drive, Suite C Normal, IL 61761	Life, Property, Health, Separate Accounts, Fraternal and RBC (Health, Life and Property)	iWorks.StatutorySupport@SunGard.com	Phone: (309) 862-4300 Fax: (309) 888-2130

EagleTM www.byetm.com 1425 60th Street, Suite 400 Cedar Rapids, IA 52402	Life, Property, Health, Separate Accounts and RBC (Health, Life and Property)	sales@byetm.com	Phone: (319) 739-3501 Fax(319) 447-2330