NAIC BLANKS (E) WORKING GROUP

Blanks Agenda Item Submission Form

DATE: 05/14/2012

CONTACT PERSON: ____________________________

TELEPHONE: ____________________________

EMAIL ADDRESS: ____________________________

ON BEHALF OF: 

NAME: Elaine Wieche

TITLE: 

AFFILIATION: Connecticut Insurance Department

ADDRESS: 153 Market St., 11th Fl.

Hartford, CT 06142-0816

FOR NAIC USE ONLY

Agenda Item # 2012-30BWG MOD

Year 2013

[ X ] Changes to Existing Reporting

[ ] New Reporting Requirement

REVIEWED FOR ACCOUNTING PRACTICES AND PROCEDURES IMPACT

[ X ] No Impact

[ ] Modifies Required Disclosure

DISPOSITION

[ ] Rejected For Public Comment

[ ] Referred To Another NAIC Group

[ ] Received For Public Comment

[ X ] Adopted Date 08/11/2012

[ ] Rejected Date

[ ] Deferred Date

[ ] Other (Specify)

BLANK(S) TO WHICH PROPOSAL APPLIES

[ X ] ANNUAL STATEMENT

[ X ] QUARTERLY STATEMENT

[ X ] INSTRUCTIONS

[ ] CROSSCHECKS

[ ] BLANK

[ X ] Life and Accident & Health

[ X ] Property/Casualty

[ X ] Health

[ X ] Separate Accounts

[ X ] Fraternal

[ X ] Title

[ ] Other Specify

Anticipated Effective Date: 1st Quarter 2013

IDENTIFICATION OF ITEM(S) TO CHANGE

Add an electronic only column to capture the Legal Entity Indicator (LEI) number for mortgagors, counterparties, depositories and the issuers of equity and fixed income securities in the detail investment schedules (A, B, BA, D, DA, DB, DL and E) who have been assigned a LEI number. Any entity engaged in financial transactions will be able to have an LEI assigned to it by a Local Operating Unit (LOU) designated by the regulatory agencies of their jurisdiction. Some jurisdictions, including the United States, will have multiple LOU’s.

REASON, JUSTIFICATION FOR AND/OR BENEFIT OF CHANGE**

The LEI will improve consistency of reporting and give state insurance regulators a significant tool to aggregate exposures across the many different investment activities that insurers are engaged in. This will be an additional tool for focusing on risk concentration factors. The LEI will also greatly enhance the ability to analyze and understand interconnectedness and systemic issues within insurance entities and across the insurance industry. The LEI system will also tie together reference data such as ownership hierarchies and country of domicile giving users an additional risk management tool. The reference data library is expected to evolve over time with different data points added as needed to address global capital markets issues.

NAIC STAFF COMMENTS

Comment on Effective Reporting Date:________________________________________

Other Comments:________________________________________

** This section must be completed on all forms. Revised 6/13/2009

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Drafting Note: Proposal currently shows “XXXXXXXX” for the name of the entity that will assign the LEI. When that is settled the name will be included in the instructions along with the location of where the LEIs can be looked up when known.

ANNUAL STATEMENT – ALL STATEMENT TYPES

SCHEDULE A – PART 1

REAL ESTATE OWNED DECEMBER 31 OF CURRENT YEAR

** Column 18 and through 19-20 will be electronic only **

Column 20 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.

SCHEDULE A – PART 2

REAL ESTATE ACQUIRED AND ADDITIONS MADE DURING THE YEAR

** Column 10 will be electronic only **

Column 10 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.
SCHEDULE A – PART 3

REAL ESTATE DISPOSED DURING THE YEAR

** Column 21 will be electronic only **

Column 21 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.

SCHEDULE B – PART 1

MORTGAGE LOANS OWNED DECEMBER 31 OF CURRENT YEAR

** Column 16 will be electronic only **

Column 16 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for any mortgagor as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.
### SCHEDULE B – PART 2

**MORTGAGE LOANS ACQUIRED AND ADDITIONS MADE DURING YEAR**

<table>
<thead>
<tr>
<th>Column 10 – Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide the 20 character digit Legal Entity Identifier (LEI) for any mortgagor as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.</td>
</tr>
</tbody>
</table>

### SCHEDULE B – PART 3

**MORTGAGE LOANS DISPOSED, TRANSFERRED OR REPAYED DURING THE YEAR**

<table>
<thead>
<tr>
<th>Column 19 – Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide the 20 character digit Legal Entity Identifier (LEI) for any mortgagor as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.</td>
</tr>
</tbody>
</table>
### SCHEDULE BA – PART 1

**OTHER LONG-TERM INVESTED ASSETS OWNED DECEMBER 31 OF CURRENT YEAR**

**Detail Eliminated To Conserve Space***

**Column 21 and through 22-23 will be electronic only**

**Detail Eliminated To Conserve Space***

Column 23  — Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.

**Detail Eliminated To Conserve Space***

### SCHEDULE BA – PART 2

**OTHER LONG-TERM INVESTED ASSETS ACQUIRED AND ADDITIONS MADE DURING THE YEAR**

**Detail Eliminated To Conserve Space***

**Column 12 will be electronic only**

Column 12  — Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.

**Detail Eliminated To Conserve Space***
## SCHEDULE BA – PART 3

**OTHER LONG-TERM INVESTED ASSETS DISPOSED, TRANSFERRED OR REPAID DURING THE YEAR**

**Detail Eliminated To Conserve Space**

**** Column 21 will be electronic only **

### Column 21 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.

**Detail Eliminated To Conserve Space**

## SCHEDULE D – PART 1

**LONG-TERM BONDS OWNED DECEMBER 31 OF CURRENT YEAR**

**Detail Eliminated To Conserve Space**

** Column 23 through 29-30 will be electronic only **

### Column 30 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.

**Detail Eliminated To Conserve Space**
SCHEDULE D – PART 2 – SECTION 1

PREFERRED STOCKS OWNED DECEMBER 31 OF CURRENT YEAR

** Column 22 and through 23-24 will be electronic only **

Column 24 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by XXXXXa designated Local Operating Unit. If no LEI number has been assigned leave blank.

SCHEDULE D – PART 2 – SECTION 2

COMMON STOCKS OWNED DECEMBER 31 OF CURRENT YEAR

** Column 19 and through 20-21 will be electronic only **

Column 21 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by XXXXXa designated Local Operating Unit. If no LEI number has been assigned leave blank.
### SCHEDULE D – PART 3

**LONG-TERM BONDS AND STOCKS ACQUIRED DURING CURRENT YEAR**

| | | **Detail Eliminated To Conserve Space** |

**Column 10 and 11 will be electronic only)**

| | | **Detail Eliminated To Conserve Space** |

**Column 11 – Legal Entity Identifier (LEI)**

Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.

| | | **Detail Eliminated To Conserve Space** |

### SCHEDULE D – PART 4

**LONG-TERM BONDS AND STOCKS SOLD, REDEEMED OR OTHERWISE DISPOSED OF DURING CURRENT YEAR**

| | | **Detail Eliminated To Conserve Space** |

**Column 22 and 23 will be electronic only)**

| | | **Detail Eliminated To Conserve Space** |

**Column 23 – Legal Entity Identifier (LEI)**

Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.

| | | **Detail Eliminated To Conserve Space** |
SCHEDULE D – PART 5

LONG-TERM BONDS AND STOCKS ACQUIRED DURING THE YEAR AND FULLY DISPOSED OF DURING CURRENT YEAR

** Column 22 and 23 will be electronic only **

Column 23 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.

SCHEDULE D – PART 6 – SECTION 1

VALUATION OF SHARES OF SUBSIDIARY, CONTROLLED OR AFFILIATED COMPANIES

** Column 11 will be electronic only **

Column 11 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.
### SCHEDULE D – PART 6 – SECTION 2

**Column 7 will be electronic only.**

<table>
<thead>
<tr>
<th>Column 7</th>
<th>Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.</td>
</tr>
</tbody>
</table>

### SCHEDULE DA – PART 1

**Column 22 will be electronic only.**

<table>
<thead>
<tr>
<th>Column 22</th>
<th>Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.</td>
</tr>
</tbody>
</table>
### SCHEDULE DB – PART A – SECTION 1

**OPTIONS, CAPS, FLOORS, COLLARS, SWAPS AND FORWARDS OPEN**

**DECEMBER 31 OF CURRENT YEAR**

<table>
<thead>
<tr>
<th>Column 26 – Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide the 20 character digit Legal Entity Identifier (LEI) for any counterparty as assigned by a designated Local Operating Unit</td>
</tr>
</tbody>
</table>

### SCHEDULE DB – PART A – SECTION 2

**OPTIONS, CAPS, FLOORS, COLLARS, SWAPS AND FORWARDS TERMINATED**

**DURING CURRENT YEAR**

<table>
<thead>
<tr>
<th>Column 26 – Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide the 20 character digit Legal Entity Identifier (LEI) for any counterparty as assigned by a designated Local Operating Unit</td>
</tr>
</tbody>
</table>

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SCHEDULE DB – PART B – SECTION 1

FUTURES CONTRACTS OPEN
DECEMBER 31 OF CURRENT YEAR

** Column 21 and through 22-23 will be electronic only **

** Detail Eliminated To Conserve Space **

Column 23 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for any counterparty as assigned by a designated Local Operating Unit.

** Detail Eliminated To Conserve Space **

SCHEDULE DB – PART B – SECTION 2

FUTURES CONTRACTS TERMINATED
DURING CURRENT YEAR

** Column 20 will be electronic only **

Column 20 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for any counterparty as assigned by a designated Local Operating Unit.

** Detail Eliminated To Conserve Space **
### SCHEDULE DB – PART D

**COUNTERPARTY EXPOSURE FOR DERIVATIVE INSTRUMENTS OPEN**

**DECEMBER 31 OF CURRENT YEAR**

<table>
<thead>
<tr>
<th>Column 13 – Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide the 20 character digit Legal Entity Identifier (LEI) for any counterparty as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.</td>
</tr>
</tbody>
</table>

### SCHEDULE DL – PART 1

**SECURITIES LENDING COLLATERAL ASSETS**

**Reinvested Collateral Assets Owned December 31 Current Year**

<table>
<thead>
<tr>
<th>Column 10 – Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide the 20 character digit Legal Entity Identifier (LEI) for any mortgagor, issuer or counterparty as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.</td>
</tr>
</tbody>
</table>
### SCHEDULE DL – PART 2

**SECURITIES LENDING COLLATERAL ASSETS**

Reinvested Collateral Assets Owned December 31 Current Year

<table>
<thead>
<tr>
<th>Column 8</th>
<th>Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Provide the 20 character digit Legal Entity Identifier (LEI) for any mortgagor, issuer or counterparty as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.</strong></td>
<td></td>
</tr>
</tbody>
</table>

| **Detail Eliminated To Conserve Space** |

**Column 8 and through 10 will be electronic only**

### SCHEDULE E – PART 1 – CASH

<table>
<thead>
<tr>
<th>Column 8</th>
<th>Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Provide the 20 character digit Legal Entity Identifier (LEI) for any depository as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.</strong></td>
<td></td>
</tr>
</tbody>
</table>

| **Detail Eliminated To Conserve Space** |
** Column 9 will be electronic only **

<table>
<thead>
<tr>
<th>Column 9</th>
<th>Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>----------</td>
<td>------------------------------</td>
</tr>
</tbody>
</table>

Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.

** Column 910 will be electronic only **

<table>
<thead>
<tr>
<th>Column 910</th>
<th>Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>------------</td>
<td>------------------------------</td>
</tr>
</tbody>
</table>

Provide the 20 character digit Legal Entity Identifier (LEI) for issuer that has been assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.
### SCHEDULE A – PART 3

REAL ESTATE DISPOSED DURING THE YEAR

<table>
<thead>
<tr>
<th><strong>Column 21 will be electronic only</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Column 21 – Legal Entity Identifier (LEI)</strong></td>
</tr>
<tr>
<td>Provide the 20 character digit Legal Entity Identifier (LEI) for issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.</td>
</tr>
</tbody>
</table>

### SCHEDULE B – PART 2

MORTGAGE LOANS ACQUIRED AND ADDITIONS MADE DURING YEAR

<table>
<thead>
<tr>
<th><strong>Column 10 will be electronic only</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Column 10 – Legal Entity Identifier (LEI)</strong></td>
</tr>
<tr>
<td>Provide the 20 character digit Legal Entity Identifier (LEI) for mortgagor as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.</td>
</tr>
</tbody>
</table>
SCHEDULE B – PART 3
MORTGAGE LOANS DISPOSED, TRANSFERRED OR REPAID DURING THE YEAR

** Column 19 will be electronic only **

Column 19  –  Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for mortgagor as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.

SCHEDULE BA – PART 2
OTHER LONG-TERM INVESTED ASSETS ACQUIRED AND ADDITIONS MADE DURING THE YEAR

** Column 14 will be electronic only **

Column 14  –  Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.
### SCHEDULE BA – PART 3

**OTHER LONG-TERM INVESTED ASSETS DISPOSED, TRANSFERRED OR REPAID DURING THE YEAR**

**Column 21 will be electronic only**

<table>
<thead>
<tr>
<th>Column 21 – Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide the 20 character digit Legal Entity Identifier (LEI) for issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.</td>
</tr>
</tbody>
</table>

### SCHEDULE D – PART 3

**LONG-TERM BONDS AND STOCKS ACQUIRED DURING CURRENT YEAR**

**Column 11 and 12 will be electronic only**

<table>
<thead>
<tr>
<th>Column 12 – Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide the 20 character digit Legal Entity Identifier (LEI) for issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.</td>
</tr>
</tbody>
</table>
SCHEDULE D – PART 4
LONG-TERM BONDS AND STOCKS SOLD, REDEEMED OR OTHERWISE DISPOSED OF DURING CURRENT YEAR

** Column 23 and 24 will be electronic only **

Column 24 – Legal Entity Identifier (LEI)
Provide the 20 character digit Legal Entity Identifier (LEI) for issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.

** Columns 24 and through 25-26 will be electronic only **

Column 26 – Legal Entity Identifier (LEI)
Provide the 20 character digit Legal Entity Identifier (LEI) for counterparty as assigned by a designated Local Operating Unit.
SCHEDULE DB – PART B – SECTION 1
FUTURES CONTRACTS OPEN
DECEMBER 31 OF CURRENT YEAR

** Column 21 will be electronic only **

Column 21 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for counterparty as assigned by a designated Local Operating Unit.

SCHEDULE DB – PART D
COUNTERPARTY EXPOSURE FOR DERIVATIVE INSTRUMENTS OPEN
DECEMBER 31 OF CURRENT YEAR

** Column 13 will be electronic only **

Column 13 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for counterparty as assigned by a designated Local Operating Unit.
<table>
<thead>
<tr>
<th>Column 8 – Legal Entity Identifier (LEI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide the 20 character digit Legal Entity Identifier (LEI) for any mortgagor, issuer or counterparty as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.</td>
</tr>
</tbody>
</table>
** Column 10 will be electronic only **

Column 10 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for any depository as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.

** Column 9 will be electronic only **

Column 9 – Legal Entity Identifier (LEI)

Provide the 20 character digit Legal Entity Identifier (LEI) for any issuer as assigned by a designated Local Operating Unit. If no LEI number has been assigned leave blank.