

NAIC BLANKS (E) WORKING GROUP

Blanks Agenda Item Submission Form

CONTACT PERSON: _____ TELEPHONE: _____ EMAIL ADDRESS: _____ ON BEHALF OF: _____ NAME: <u>Kevin Fry</u> TITLE: <u>Chair VOSTF</u> AFFILIATION: <u>Illinois Department of Insurance</u> ADDRESS: <u>320 W Washington St., 4th Fl.</u> <u>Springfield, IL 62767</u>	DATE: <u>07/18/2016</u>	<u>FOR NAIC USE ONLY</u>		
	Agenda Item # <u>2016-28BWG</u> Year <u>2017</u> Changes to Existing Reporting <input checked="" type="checkbox"/> [X] New Reporting Requirement <input type="checkbox"/> []			
	<u>REVIEWED FOR ACCOUNTING PRACTICES AND PROCEDURES IMPACT</u>			
	No Impact <input checked="" type="checkbox"/> [X] Modifies Required Disclosure <input type="checkbox"/> []			
	<u>DISPOSITION</u>			

BLANK(S) TO WHICH PROPOSAL APPLIES

- | | | |
|--|---|--|
| <input checked="" type="checkbox"/> ANNUAL STATEMENT | <input checked="" type="checkbox"/> QUARTERLY STATEMENT | <input checked="" type="checkbox"/> BLANK |
| <input checked="" type="checkbox"/> INSTRUCTIONS | <input type="checkbox"/> CROSSCHECKS | |
| <input checked="" type="checkbox"/> Life and Accident & Health | <input checked="" type="checkbox"/> Property/Casualty | <input checked="" type="checkbox"/> Health |
| <input type="checkbox"/> Separate Accounts | <input checked="" type="checkbox"/> Fraternal | <input checked="" type="checkbox"/> Title |
| <input type="checkbox"/> Other Specify | | |

Anticipated Effective Date: Annual 2017

IDENTIFICATION OF ITEM(S) TO CHANGE

Add new interrogatory question to the annual and quarterly general interrogatories regarding self-designated 5*GI securities.

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

This Blanks proposal is drafted to reflect a policy change in which insurers will be required to certify within the general interrogatories whether 5*GI investments comply with the requirements of the Purposes and Procedures Manual of the NAIC Investment Analysis Office. This is a change from existing process that requires insurers to file individual investment certifications with the NAIC SVO.

NAIC STAFF COMMENTS

Comment on Effective Reporting Date: _____

Other Comments:

** This section must be completed on all forms.

ANNUAL STATEMENT BLANK – LIFE, HEALTH, PROPERTY, FRATERNAL AND TITLE

GENERAL INTERROGATORIES

PART 1 – COMMON INTERROGATORIES

GENERAL

⌞
⌟
⌞
⌟

Detail Eliminated To Conserve Space

INVESTMENT

⌞
⌟
⌞
⌟

Detail Eliminated To Conserve Space

32.1 Have all the filing requirements of the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* been followed? Yes No

32.2 If no, list exceptions:

33. By self-designating 5*GI securities, the reporting entity is certifying the following elements for each self-designated 5*GI security:

a Documentation necessary to permit a full credit analysis of the security does not exist.

b Issuer or obligor is current on all contracted interest and principal payments.

c The insurer has an actual expectation of ultimate payment of all contracted interest and principal.

Has the reporting-entity self-designated 5*GI securities? Yes No

OTHER

3334.1 Amount of payments to trade associations, service organizations and statistical or rating bureaus, if any? \$ _____

3334.2 List the name of the organization and the amount paid if any such payment represented 25% or more of the total payments to trade associations, service organizations and statistical or rating bureaus during the period covered by this statement.

1 Name	2 Amount Paid
	\$
	\$
	\$
	\$

3435.1 Amount of payments for legal expenses, if any? \$ _____

3435.2 List the name of the firm and the amount paid if any such payment represented 25% or more of the total payments for legal expenses during the period covered by this statement.

1 Name	2 Amount Paid
	\$
	\$
	\$
	\$

3536.1 Amount of payments for expenditures in connection with matters before legislative bodies, officers or departments of government, if any? \$ _____

3536.2 List the name of the firm and the amount paid if any such payment represented 25% or more of the total payment expenditures in connection with matters before legislative bodies, officers or departments of government during the period covered by this statement.

1 Name	2 Amount Paid
	\$
	\$
	\$
	\$

QUARTERLY STATEMENT BLANK – LIFE, HEALTH, PROPERTY, FRATERNAL AND TITLE

GENERAL INTERROGATORIES

PART 1 – COMMON INTERROGATORIES

GENERAL

Detail Eliminated To Conserve Space

INVESTMENT

Detail Eliminated To Conserve Space

18.1 Have all the filing requirements of the Purposes and Procedures Manual of the NAIC Investment Analysis Office been followed? Yes [] No []

18.2 If no, list exceptions:.....

19. By self-designating 5*GI securities, the reporting entity is certifying the following elements for each self-designated 5*GI security:

a Documentation necessary to permit a full credit analysis of the security does not exist.

b Issuer or obligor is current on all contracted interest and principal payments.

c The insurer has an actual expectation of ultimate payment of all contracted interest and principal.

Has the reporting-entity self-designated 5*GI securities? Yes [] No []