

TITLE COMPANIES

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: **OHIO** Filings Made During the Year 2026

ALL STATE REQUIRED FILINGS MAY BE MADE ELECTRONICALLY – SEE NOTE B

| (1) Checklist | (2) Line # | (3) REQUIRED FILING FOR THE ABOVE STATE | (4) NUMBER OF COPIES* | | (5) DUE DATE | (6) FORM SOURCE** | (7) APPLICABLE NOTES*** | | | |
|---|---------------|--|--------------------------|------|-----------------|-------------------------|-------------------------------|-----|--|--|
| | | | Domestic | | | | | | | |
| | | | State | NAIC | | | | | | |
| I. NAIC FINANCIAL STATEMENTS | | | | | | | | | | |
| | 1 | Annual Statement (8 1/2" x 14") | AFF | EO | 0 | 3/1 | NAIC | M,W | | |
| | 1.1 | Printed Investment Schedule detail (Pages E01-E30) | AFF | EO | xxx | 3/1 | NAIC | M,W | | |
| | 2 | Quarterly Financial Statement (8 1/2" x 14") | AFF | EO | 0 | 5/15, 8/15, 11/15 | NAIC | M,W | | |
| II. NAIC SUPPLEMENTS | | | | | | | | | | |
| INS7186 | 11 | Actuarial Opinion | AFF | EO | 0 | 3/1 | Company | M,W | | |
| | 11.1 | Request for Exemption from file Actuarial Opinion | 1 | N/A | 0 | 12/1 | Company | | | |
| | 11.2 | Statement of Actuarial Opinion Exemption Affidavit | 1 | 0 | 0 | 3/1 | State | | | |
| | 12 | Investment Risk Interrogatories | AFF | EO | 0 | 4/1 | NAIC | M,W | | |
| | 13 | Management Discussion & Analysis | 1 | EO | 0 | 4/1 | Company | M,W | | |
| | 14 | Schedule SIS | 1 | N/A | N/A | 3/1 | NAIC | M | | |
| | 15 | Supplemental Compensation Exhibit | 1 | N/A | N/A | 3/1 | NAIC | N | | |
| | 16 | Supplemental Schedule of Business Written By Agency | AFF | N/A | 0 | 4/1 | NAIC | M,W | | |
| III. ELECTRONIC FILING REQUIREMENTS | | | | | | | | | | |
| | 61 | Annual Statement Electronic Filing | xxx | EO | xxx | 3/1 | NAIC | | | |
| | 62 | March .PDF Filing | xxx | EO | xxx | 3/1 | NAIC | | | |
| | 63 | Supplemental Electronic Filing | xxx | EO | xxx | 4/1 | NAIC | | | |
| | 64 | Supplemental .PDF Filing | xxx | EO | xxx | 4/1 | NAIC | | | |
| | 65 | Quarterly Statement Electronic Filing | xxx | EO | xxx | 5/15, 8/15, 11/15 | NAIC | | | |
| | 66 | Quarterly .PDF Filing | xxx | EO | xxx | 5/15, 8/15, 11/15 | NAIC | | | |
| | 67 | June .PDF Filing | xxx | EO | xxx | 6/1 | NAIC | | | |
| IV. AUDIT/INTERNAL CONTROL RELATED REPORTS | | | | | | | | | | |
| INS7160 | 81 | Accountants Letter of Qualifications | 1 | EO | N/A | 6/1 | Company | | | |
| | 82 | Audited Financial Reports | 1 | EO | | 6/1 | Company | | | |
| | 82.1 | Request for Exemption to File Audited Financial Reports | 1 | N/A | 0 | 1/31 | Company | | | |
| INS7166 | 83 | Audited Financial Statements Exemption Affidavit | 1 | N/A | N/A | 6/1 | Company | | | |
| | 84 | Communication of Internal Control Related Matters Noted in Audit | 1 | EO | N/A | 8/1 | Company | | | |
| | 85 | Independent CPA (change) | 1 | N/A | N/A | | Company | | | |
| | 86 | Management's Report of Internal Control Over Financial Reporting | 1 | N/A | N/A | 8/1 | Company | | | |
| | 87 | Notification of Adverse Financial Condition | 1 | N/A | N/A | | Company | | | |
| | 88 | Relief from the five-year rotation requirement for lead audit partner | 1 | EO | | 3/1 | Company | | | |
| | 89 | Relief from the one-year cooling off period for independent CPA | 1 | EO | | 3/1 | Company | | | |
| | 90 | Relief from the Requirements for Audit Committees | 1 | EO | | 3/1 | Company | | | |
| | 91 | Request for Exemption to File Management's Report of Internal Control Over Financial Reporting | | N/A | N/A | | Company | | | |

| (1) Checklist | (2) Line # | (3) REQUIRED FILING FOR THE ABOVE STATE | (4) NUMBER OF COPIES* | | | (5) DUE DATE | (6) FORM SOURCE** | (7) APPLICABLE NOTES*** |
|------------------|---------------|---|--------------------------|------|---------|---|-------------------------|-------------------------------|
| | | | Domestic | | Foreign | | | |
| | | | State | NAIC | State | | | |
| | | V. STATE REQUIRED FILINGS*** | | | | | | |
| INS7004 | 100 | Application for Renewal of Certificate of Authority | 1 | 0 | 1 | 3/1 | State**** | |
| INS7147 | 101 | Foreign Premium Tax Return- DO NOT File Hardcopy | 0 | 0 | EO | 3/1 | State**** | W |
| INS7143 | 102 | Domestic Franchise Tax Return- DO NOT File Hardcopy | EO | 0 | 0 | 3/1 | State**** | W |
| On-line only | 103 | Premium Tax Advance Payment - Invoice Available On-Line 9/1 - Premium Tax On-Line Data (https://gateway.insurance.ohio.gov secured on-line logon) | 0 | 0 | EO | 10/15 | State | E |
| INS7240 | 104 | Electronic Filing Authenticity Affidavit | 1 | 0 | 0 | 3/1,4/15/15, 6/1,8/15, 11/15 | State**** | M,O |
| | 105 | Signed Jurat | 1 | 0 | 0 | 3/1, 5/15, 8/15, 11/15 | NAIC | M,N |
| INS7140 | 106 | Business Tax Credit (If applicable) – DO NOT FILE HARDCOPY | EO | 0 | EO | 3/1 | State**** | W |
| # No Form | 107 | Affix Barcodes | xxx | INFO | xxx | Informational Only | NAIC | K, S |
| INS7150 | 108 | Computation of Deposit (Domestic Title) | 1 | 0 | 0 | 3/1 | State**** | N |
| INS7151 | 109 | Computation of Deposit (Domestic Title and Guarantee Trust) | 1 | 0 | 0 | 3/1 | State**** | N |
| INS7152 | 110 | Computation of Deposit (Foreign Title) | 0 | 0 | 1 | 3/1 | State**** | N |
| INS7062 | 111 | Internet Submissions to NAIC | INFO | INFO | INFO | Informational Only | State**** | S |
| | 112 | Corporate Governance Annual Disclosure***** | 1 | 0 | 0 | 6/1 | Company | |
| | 113 | Form F – Enterprise Risk Report ***** | 1 | 0 | 0 | 6/1 | Company | O |
| | 114 | Form B-Holding Company Registration Statement | 1 | 0 | 0 | 6/1 | Company | |
| | 115 | ORSA***** | 1 | 0 | 0 | 12/31 | Company | |
| | 116 | Group Capital Calculation (File with lead state only)***** | 1 | 0 | 0 | 6/1 | Company | X |
| | 117 | Cybersecurity Program Compliance Certification | | | | 2/15 if Multistate insurer ^{6/1} if Single state insurer | Company | Y |

*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state.

AFF (affidavit only filing);

EO (electronic only filing). *If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and if the data is filed electronically

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

*** Generally, Notes A through K apply to all filings.

****These forms may be downloaded at www.insurance.ohio.gov under “Forms”

*****Ohio has adopted the NAIC Corporate Governance Annual Disclosure Model Act. Therefore, an annual disclosure is required of all insurers or insurance groups by June 1. The Corporate Governance Annual Disclosure is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state if filed at the insurance group level. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm

*****Ohio has adopted the NAIC updated Holding Company Model Act. Therefore, a Form F Filing is required annually by holding company groups. Consistent with the Form B filing requirements, the Form F is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm

*****Ohio has adopted the NAIC Risk Management and Own Risk and Solvency Assessment Model Act. Therefore, a summary report is required annually by insurers and insurance groups above a specified premium threshold. The ORSA Summary Report is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state if filed at the insurance group level. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm

*****- Ohio has adopted the NAIC Group Capital Calculation Model Act. For Groups without international business, the first filing is due is June 1, 2025. For Groups with international business, the first filing was due June 1, 2023. All insurance groups are required to file at least one Group Capital Calculation report. Annual reporting is due by insurance groups that exceed certain criteria, including a specified premium threshold. The Group Capital Calculation Report is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state and filed at the insurance group level. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm

| NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS) | | |
|--|---|---|
| A | Required Filings Contact Person: Annual and Quarterly filings | Risk Assessment (614)644-2647 or Risk.Assessment@insurance.ohio.gov |
| B | Mailing Address for Annual and Quarterly filings: NONE Electronic filings only. NO HARDCOPIES REQUIRED. | Do NOT mail Annual and Quarterly filings. E-mail electronic filings to janice.wheatley@insurance.ohio.gov |
| C | Mailing Address for Filing Fees: Do not send checks for filing fees to the Department of Insurance. You will be billed when due. | <u>NONE</u> |
| D | <u>Mailing Address for Premium & Franchise Tax Returns:</u> NONE. Electronic filing only. DO NOT file hardcopy with the Department of Insurance. DO NOT send tax payments to the Department of Insurance. | <u>NONE.</u> DO NOT Mail Tax Returns. Electronic filing only. |
| E | Mailing Address for Premium Tax Payments: Must be paid by ACH debit. If there are questions about this process, you may contact the Ohio Treasurer of State's office directly by e-mailing TOSINS@tos.ohio.gov | <u>NONE</u> |
| F | Delivery Instructions: | All items must be physically received by the due date. If the due date falls on a weekend or holiday, the due date is the next business day. |
| G | Late Filings: | Statutory penalties apply to required filings not received by the due date. If the due date falls on a weekend or holiday, the due date is the next business day. |
| H | Original Signatures: | Original signatures are required on all filings that require signatures. See Note M and Electronic Filing Authenticity Affidavit (Ohio Form INS7240). |
| I | Signature/Notarization/Certification: | Principal officers are required to sign Quarterly and Annual Statement Jurat Pages. See Annual Statement Instructions and Ohio Form INS7240. |
| J | Amended Filings: | Contact taxes@insurance.ohio.gov for tax amendment forms. Amendments must be accompanied by an explanation and |

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| | | documentation. Original signature requirements apply. |
| K | Bar Codes (NAIC): | Ohio no longer has state specific bar code instructions. Please refer to the Appendix of the NAIC Annual Statement Instructions. |
| L | Exceptions from normal filings: | All companies must include a copy of any extension or exemption granted by their state of domicile. |
| M | Signed Jurat: | Domestic insurers must attach signed, notarized Jurat with Affidavit (Ohio form INS7240). No Jurat required of foreign insurers. Do not file hardcopy Annual or Quarterly Statements. |
| N | NONE Filings: | Must be submitted. Please see NAIC Annual Statement Instructions for Supplemental interrogatories. |
| O | Filings new, discontinued or modified materially since last year: | A “#” sign on the Checklist denotes a new filing. |
| P | All Foreign Insurers: DO NOT FILE Certification of Valuation, Certificate of Compliance or Certificate of Deposit. | These are no longer required. |
| Q | Statement of Compliance with Rule 3901-8-07 and 3901-6-02: | Every insurer subject to Rules 3901-8-07 and/or 3901-6-02 must file a statement of compliance with Ohio insurance laws as implemented and interpreted by these rules on Company letterhead. No form is used for submission. |
| R | Reserved for future use | |
| S | State instructions and filing information: | These items are available for instructional purposes only. The forms content is to be used as a guide only. |
| T | Reserved for future use | |
| U | Reserved for future use | |
| V | IRIS Response: | ONLY required if 4 or more IRIS Ratio Failures. |
| W | Hard Copy Filings (NO HARDCOPIES ARE REQUIRED FOR ELECTRONIC FILINGS) | Do not file hardcopy with Ohio if “NONE”, “AFF”, “EO” or “0” is indicated in column 4 (domestic or foreign) or any forms with “1” for domestic may be filed electronically and no hardcopy required. |

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|---|--|---|
| X | Group Capital Calculation | Ohio domestic insurers where Ohio is the lead state are required to provide (Ohio Revised Code 3901.33(L)(1)) unless the company qualifies for an exemption see Ohio Revised Code 3901.33 (L)(4)(c) and (d), (5-8). |
| Y | Cybersecurity Program Compliance Certification pursuant to Ohio Revised Code Section 3965.02 (I)(1). | Ohio Domestic Insurers must file with the Market Conduct Division written statement certifying that the insurer is in compliance with the requirements set forth in this section (Ohio Revised Code 3965.02). |

**General Instructions
For Companies to Use Checklist**

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will not be sending their own checklist this year.

Electronic filing is intended to be filing(s) submitted to the NAIC via the NAIC Internet Filing Site which eliminates the need for a company to submit diskettes or CD-ROM to the NAIC. Companies are not required to file hard copy filings with the NAIC.

Column (1) Checklist

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when submitting information to the state.

Column (2) Line #

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3) Required Filings

Name of item or form to be filed.

The ***Annual Statement Electronic Filing*** includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The ***March.PDF Filing*** is the .pdf file for the annual statement, detail for investment schedules and all supplements due March 1.

The ***Supplemental Electronic Filing*** includes all supplements due April 1, per the *Annual Statement Instructions*.

The ***Supplemental.PDF Filing*** is the .pdf file for all supplements due April 1.

The ***Quarterly Electronic Filing*** includes the quarterly statement data.

The ***Quarterly.PDF Filing*** is the .pdf for quarterly statement data.

The ***June.PDF Filing*** is the .pdf file for the Audited Financial Statements and Accountants Letter of Qualifications.

Column (4) Number of Copies

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (EX) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5) Due Date

Indicates the date on which the company must file the form.

Column (6) Form Source

This column contains one of three words: "NAIC," "State," or "Company," If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing

instructions (generally, on its web site). If this column contains “Company,” the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7) Applicable Notes

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.

w:\qa\blanks\checklists\2020 filings made in 2021\4 titlechecklist_2020_filingsmade2021.docx