

CHECKLIST for **FOREIGN (US DOMICILED) INSURERS**
CALIFORNIA LASLI FILING REQUIREMENTS

Please make checks payable to the **California Department of Insurance** (CDI). All documents must be submitted with a cover letter to:

**Accounting Services Bureau
State of California Department of Insurance
300 Capitol Mall
Sacramento, CA 95814**

For LASLI applicants, the documents must be filed in duplicate (one original and one photocopy). For current LASLI companies, only one original copy is required. However, for both LASLI applicants and current LASLI companies, Biographical Affidavits must be filed in triplicate (one original and two photocopies).

If a required document is available from the National Association of Insurance Commissioners (NAIC) or other public source, then the document need not be filed with the CDI. However, the insurer will have to submit a verified statement to the CDI identifying the document that is available from the NAIC or other public source along with the appropriate filing fee.

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| <input type="checkbox"/> Filing Fee:
____ LASLI Application : \$6,113
____ Annual Renewal : \$3,057
____ Updated Financial Document : \$341
____ Updated Non-Financial or Supplemental Document : \$50 | <input type="checkbox"/> Verified Regulatory Disclosure Statement |
| <input type="checkbox"/> Certified Annual Statement (including all supplementary reports, exhibits, and schedules required by the NAIC) | <input type="checkbox"/> Proposed Business Plan/Plan of Operation in California |
| <input type="checkbox"/> Audited Financial Report
____ Certified or ____ Verified | <input type="checkbox"/> Biographical Affidavit on the Officers and Directors |
| <input type="checkbox"/> Certified Current License or Certificate of Authority | <input type="checkbox"/> Certified Report of Examination |
| <input type="checkbox"/> Certified of Good Standing or Certificate of Compliance.
If the domiciliary jurisdiction does not issue such a certificate, see Exhibit D . | <input type="checkbox"/> List of Surplus Lines Brokers Authorized to Issue Policies |
| <input type="checkbox"/> Agent for Service of Process | <input type="checkbox"/> March 31st Quarterly Statement & Supplements
____ Certified or ____ Verified |
| <input type="checkbox"/> Principal Place of Business | <input type="checkbox"/> June 30th Quarterly Statement & Supplements
____ Certified or ____ Verified |
| <input type="checkbox"/> Market Conduct Report/Information
____ Certified or ____ Verified | <input type="checkbox"/> September 30th Quarterly Statement & Supplements
____ Certified or ____ Verified |

CHECKLIST for **ALIEN (NON-US DOMICILED) INSURERS**
CALIFORNIA LASLI FILING REQUIREMENTS

Please make checks payable to the **California Department of Insurance (CDI)**. All documents must be submitted with a cover letter to:

**Accounting Services Bureau
State of California Department of Insurance
300 Capitol Mall
Sacramento, CA 95814**

For LASLI applicants, the documents must be filed in duplicate (one original and one photocopy). For current LASLI companies, only one original copy is required. However, for both LASLI applicants and current LASLI companies, Biographical Affidavits must be filed in triplicate (one original and two photocopies).

If a required document is available from the National Association of Insurance Commissioners (NAIC) or other public source, then the document need not be filed with the CDI. However, the insurer will have to submit a verified statement to the CDI identifying the document that is available from the NAIC or other public source along with the appropriate filing fee.

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| <input type="checkbox"/> Filing Fee
____ LASLI Application : \$6,113
____ Annual Renewal : \$3,057
____ Updated Financial Document : \$341
____ Updated Non-Financial or Supplemental Document : \$50 | <input type="checkbox"/> Agent for Service of Process |
| <input type="checkbox"/> Audited Financial Report (including financial statements converted into US dollars)
____ Certified or ____ Verified | <input type="checkbox"/> Principal Place of Business |
| <input type="checkbox"/> Certified Financial Statement and/or Standard IID (International Insurers Department) Financial Reporting Format | <input type="checkbox"/> Market Conduct Report/Information
____ Certified or ____ Verified |
| <input type="checkbox"/> Certified Trust Agreement (as Amended January 1, 2007) | <input type="checkbox"/> Verified Regulatory Disclosure Statement |
| <input type="checkbox"/> Verified List of Trust Assets as of March 31st | <input type="checkbox"/> Premiums Written in California by Lines of Business |
| <input type="checkbox"/> Verified List of Trust Assets as of June 30th | <input type="checkbox"/> Proposed Business Plan/Plan of Operation in California |
| <input type="checkbox"/> Verified List of Trust Assets as of September 30th | <input type="checkbox"/> Biographical Affidavit on the Officers and Directors |
| <input type="checkbox"/> Verified List of Trust Assets as of December 31st | <input type="checkbox"/> Certified Report of Examination |
| <input type="checkbox"/> Certified Current License or Certificate of Authority | <input type="checkbox"/> List of Surplus Lines Brokers Authorized to Issue Policies |
| <input type="checkbox"/> Certificate of Good Standing or Certificate of Compliance
If the domiciliary jurisdiction does not issue such a certificate, see Exhibit D . | <input type="checkbox"/> Quarterly or Semi-Annual Results
as of _____
____ Certified or ____ Verified |