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**Initial Request for Company Data**

1. **Holding Company**

Please provide organizational charts for the holding company as of the Examination Date. The organizational chart should show all affiliated companies with which the Company does business or has intercompany agreements with, as well as all parent and subsidiary companies.

1. **Amendments**

Please provide documentation of any amendments to the Charter (Articles of Incorporation) and Bylaws on or after the start of the examination period.

1. **Board of Directors**

Please provide a list of the Board of Directors as of the Examination Date. The listing should, include the name, residence address, business address, employer, and title/position held. If retired, indicate former employer and position held. Designate the Chairman and Vice-Chairman of the board. Indicate memberships on directors’ committees by code (e.g. E-Executive, I-Investment, A-Audit).

1. **Company Officers**

Please provide a list of company officers as of the Examination Date, by name and title/position.

1. **Insurance Policies**

Please provide copies of declaration pages for insurance policies (e.g. general liability, workers compensation, etc.) in effect as of the Examination Date, including the named insureds on each policy.

1. **Rating/Memberships**

Please provide a list of memberships held by the Company in Rating and Statistical organizations (e.g. AM Best, S&P, etc.), a copy of the current rating of the Company, current rating of the Company’s parent, and include:

* Copies of the most recent rating agency report, including write-ups on Enterprise Risk Management (ERM), if any.
* Copy of most recent presentation materials prepared and presented to the rating agencies.

1. **Prior Exam Finding Steps**

Please provide a brief summary of steps taken to address each prior examination finding, if any.

1. **Litigation**

Please provide a listing of all financially significant pending or threatened litigation, other than in the ordinary course of business, not settled as of the Examination Date, along with the current status.

1. **Trial Balances**

Please provide trial balances for the current and prior year under review, in electronic format such as Excel.

* Reconciliation of the [Last completed year under exam – note that this might not be the last year under examination if the year is not completed] Trial Balance to the Annual Statement in Excel format.
* For the reconciliation, general ledger accounts should be listed in order of the Annual Statement balance sheet and income statement accounts and totaled by annual statement account.
* Any manual adjustments not in the general ledger or trial balance should be listed in a separate column and added to the general ledger account totals to arrive at the totals by account per the Annual Statement.
* On a tab of the Excel worksheet, manual adjustments should be shown in a journal entry format (showing both the debit and credit side of the entry), along with the reason for the adjustment.

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1. **Actuary**

Please provide the name, address, phone number for the Company’s actuary. Firm Name will be requesting a copy of the actuary’s supporting analysis for the year ended as of the Examination Date, early in the examination.

1. **CPA**

Please provide name, address, and telephone number (partner or manager) for the Company’s independent auditor. Firm Name will be requesting copies of the independent audit work papers for the year ended as of the Examination Date, early in the examination.

1. **Independent Auditor Reports**

Please provide copies of the independent auditor’s management letter reports and internal control reports for the years under review.

1. **Internal Audit Unit**

If you have an internal audit unit, provide a listing of all internal audit reports issued during the years under review and subsequent periods.

1. **Reinsurance**
2. Please provide a summary of the company’s reinsurance program by contract, type, contract period, reinsurer/reinsured, coverage, limits, retentions, etc.
3. Please provide copies of contracts for ceded and assumed reinsurance entered into since the last examination and amendments to previously existing agreements.
4. Please provide any trust agreements or letters of credit related to the reinsurance agreements.
5. **Memberships**

Please provide a list of memberships in reinsurance pools, syndicates and associations and copies of membership agreements.

1. **Financially Significant Contracts with Third Parties**

Please provide a list of financially significant contracts with third parties (other than reinsurance or intercompany contracts), indicating the purpose of each contract and the effective date[e.g. Managing General Agents, Third Party Administrators, investment management services, consultants (including present and former employees), etc.]

1. **Intercompany Agreements**

Please provide a list of all intercompany agreements, indicating the parties to the agreement, effective date and termination date of each agreement, and type of agreement.

1. **Cybersecurity Policy/Guidance with Approval**

Please provide a copy of any cybersecurity policy/guidelines and evidence of the Board of Directors’ adoption/approval.

1. **Investment Policy/Guidelines with Approval**

Please provide most recently approved investment policy/guidelines and derivative policy and evidence of the Board of Directors’ adoption/approval.

1. **Securities Lending, Repurchase and/or Reverse Repurchase Agreements**

Please provide copies of any Securities Lending Agreements, Repurchase Agreements, and/or Reverse Repurchase Agreements or a statement that the Company does not have any such agreements.

1. **Custody Agreements**

Please provide copies of custody agreement(s) entered into and copies of any agreement or amendments to the agreement entered into during the examination period.

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1. **Other Regulatory Reports**

Please provide a listing of other regulatory reports (IRS audit reports, SEC reports, other state Insurance Department market conduct reports, etc.) on the Company issued during the period under examination.

1. **Permitted Practices**

Please provide copies of all Permitted Practices granted during the years under examination.

1. **Minutes**

Have available or provide access to the minutes of the Board of Directors and Committees for the period the start of the examination period to the current period.

1. **Conflicts of Interest Statements**

Please provide copies of signed conflict of interest statements for all directors, officers and key personnel for each year of the exam period.

1. **Oath of Office**

Please provide copies of signed Oaths of Office for each director serving as of the examination date.

1. **Budget**

Please provide the current financial plan (budget), marketing plan and long-term strategic plans.

1. **Enterprise Risk Management**

Please provide an outline of current Enterprise Risk Management (ERM) procedures and related activities.

1. **Own Risk and Solvency Assessment**

If applicable, please provide a copy of the Own Risk and Solvency assessment (ORSA).

1. **Cash**

* Please provide a list of banks, with account numbers and addresses, in which company maintained a financially significant balance during the examination period.
* Please provide a list of authorized signers on all bank accounts.