

**CAPTIVE INSURER ANNUAL REPORT AND RENEWAL FEE TRANSMITTAL - RRGs**

File the annual report and most related filings using the NAIC online system or the Captive Insurer filing portal as instructed.

**INFORMATION ABOUT THE RISK RETENTION GROUP**

Company Name			NAIC #	
Home Office Street Address		City	State	ZIP Code
On what date each year does the insurer's fiscal year end? ▶	Month	Day		

**INFORMATION ABOUT THE PREPARER**

Preparer's Name		Title	Area Code & Phone Number	
Preparer's Email Address			Fax Number	
Preparer's Mailing Address		City	State	ZIP Code

**REQUIREMENTS CHECKLIST** (submit payment by mail or electronically through the portal; submit all other documents not filed directly with the NAIC through the AZ DIFI filing portal unless noted otherwise below)

<input type="checkbox"/> <b>\$5,500.00</b> (Pay Code 87) <b>Certificate of Authority Renewal Fee</b> <ul style="list-style-type: none"> <li>• Make check payable to <b>Arizona Department of Insurance and Financial Institutions</b>.</li> <li>• Write the license/NAIC number in the memo section of the payment or the payment stub.</li> <li>• Mail payment to the address at the top of this form. Payment may also be made via e-check or credit card through the Captive Insurer Annual Report web portal.</li> </ul>
<input type="checkbox"/> <b>RRG Annual Statement</b> , submitted electronically directly to the NAIC
<input type="checkbox"/> <b>RRG Annual Statement Jurat Page</b> , signed by two officers of the captive insurer and the captive manager, submitted via the portal (also applicable for quarterly filings)
<input type="checkbox"/> <b>Risk Based Capital Report</b> , submitted electronically to the NAIC
<input type="checkbox"/> <b>Actuarial Opinion</b> , submitted electronically to the NAIC, unless exempt or waived <input type="checkbox"/>
<input type="checkbox"/> <b>Actuarial Opinion Summary</b> , submitted via the portal, unless exempt or waived <input type="checkbox"/>
<input type="checkbox"/> <b>Management Discussion and Analysis</b> , submitted electronically to the NAIC
<input type="checkbox"/> <b>Form E-178: Certificate of Disclosure</b> , submitted via the portal
<input type="checkbox"/> <b>Annual audited financial report</b> , submitted to the NAIC, unless exempt or waived <input type="checkbox"/>
<input type="checkbox"/> <b>Holding Company filings if applicable (e.g. Form B, C, F, etc.)</b> , submitted via e-mail to <a href="mailto:financialfilings@difi.az.gov">financialfilings@difi.az.gov</a>
<input type="checkbox"/> <b>Annual disclosure regarding RRG Board independence (A.R.S. 20-2402.C.2)</b>

**IMPORTANT:** Any risk retention group failing to file its annual report or pay its annual renewal fee on or before the due date is subject to financial penalties and suspension of its Arizona Certificate of Authority pursuant to A.R.S. §20-1098.07.