

**2020 FILING CHECKLIST FOR: Foreign Risk Retention Group (RRG) or Risk Purchasing Group (RPG)**
**Electronic Submissions only. See Filing address per filing type.**

 See Title 8: Banking and Insurance/Chapter 142: Risk Retention Groups and Risk Purchasing Groups [Vermont Statute Title 8 Chapter 142](#)

<b>Filing</b>	<b>Description</b>	<b>Due Date ** /Date Submitted</b>
<b>NAIC FINANCIAL STATEMENT</b> <b>Property &amp; Casualty</b>	Submit one unsecured PDF (reference captive name and license # in file name)	Prior to 3/1 **
<b>Foreign RRG Filers</b> (as of 12/31/xxxx)	Electronic Address: <a href="mailto:DFR.CaptiveFinancialFilings@vermont.gov">DFR.CaptiveFinancialFilings@vermont.gov</a>	
<b>Annual Statement (8 1/2" x 14")</b>	Signed and notarized Jurat Page (verified by oath of two of its executive officers)	
	Copy of executed Vermont Premium Tax Return (Link to myVTax at bottom of this page)	
<b>NAIC Supplements (if applicable)</b>	Risk-Based Capital (RBC) Report	
	Reinsurance Summary Supplemental Filing	
	Reinsurance Attestation Supplement	
	Stockholder Information Supplement	
	Supplement A (Medical Malpractice Supplement)	
	Submit one unsecured PDF (reference Foreign RRG name and NAIC # in file name)	Prior to 4/1 **
(as of 12/31/xxxx)	Electronic Address: <a href="mailto:DFR.CaptiveFinancialFilings@vermont.gov">DFR.CaptiveFinancialFilings@vermont.gov</a>	
<b>NAIC Supplements (if applicable)</b>	Insurance Expense Exhibit	
	Management Discussion & Analysis	
	Investment Risk Interrogatories	
<b>NAIC QUARTERLY STATEMENT</b>	Submit one unsecured PDF (reference Foreign RRG name and NAIC # in file name)	Due Quarterly 5/15, 8/15, 11/15
<b>Foreign RRG Filers</b> (as of 3/31/xxxx) (as of 6/30/xxxx) (as of 9/30/xxxx)	Electronic Address: <a href="mailto:DFR.CaptiveFinancialFilings@vermont.gov">DFR.CaptiveFinancialFilings@vermont.gov</a>	
	NAIC Quarterly Statement Form (Due 5/15/xxxx)	
	NAIC Quarterly Statement Form (Due 8/15/xxxx)	
	NAIC Quarterly Statement Form (Due 11/15/xxxx)	
<b>AUDIT</b>	Submit one unsecured PDF (reference Foreign RRG name and NAIC # in file name)	On or before 6/30
<b>Foreign RRG Filers</b> (as of 12/31/xxxx)	Electronic Address: <a href="mailto:DFR.CaptiveFinancialFilings@vermont.gov">DFR.CaptiveFinancialFilings@vermont.gov</a>	
	Certified by CPA	
<b>Audited Financial Statement</b>	Audited Financial Statement, including:	
	Report of Evaluation of Internal Controls	
	Accountant's Letter of Qualifications	
<b>ACTUARIAL</b>	Submit one unsecured PDF (reference Foreign RRG name and NAIC # in file name)	
<b>Foreign RRG Filers</b> (as of 12/31/xxxx)	Electronic Address: <a href="mailto:DFR.CaptiveFinancialFilings@vermont.gov">DFR.CaptiveFinancialFilings@vermont.gov</a>	
	Certified by Actuary	
<b>Certification of Loss Reserves and Loss Expense Reserves</b>	Statement of Actuarial Opinion	Prior to 3/1 **

\*\*\*\*\*NO LICENSE OR FILING FEES DUE FOR FOREIGN RRGs NOR RPGs. See below for Premium Tax Payments\*\*\*\*\*

\*NOTE: The Insurance Premium Tax (IPT) returns and payments are to be filed no later than February 28th and are to be electronically filed and paid via the Vermont Department of Taxes online system. (new look same system)

[https://www.myvtax.vermont.gov/ /](https://www.myvtax.vermont.gov/)

\*\* Please note that the due date references of "Prior to", for our purposes we interpret the date to be the same as would fall under our filing due date reference "On or before". Example: If the Due date is Prior to March 15th, we consider the filing due date to be no later than March 15th, after which an extension would need to be requested. Additionally if a statutory due date falls on a weekend, we accept as on time if filed by the next business day. In the case of a filing due date falling on a public holiday, it would then fall as due by the next business day.