

PRELIMINARY REQUEST LIST

In keeping with the risk focused approach, we will utilize audit workpapers when appropriate and possible. This list is not meant to be all inclusive and there are items included on this list that may not be applicable to all companies. We may have additional requests for information before, during or after fieldwork.

REGULATORY & BACKGROUND INFO:

- Contact information at Parent for Regulatory Liaison
- Contact information at Parent for financial reporting
- Corporate record book, including:
 - Original Certificate of Authority
 - Certificate of General Good
 - Articles of Incorporation
 - All Board of Directors and Shareholder meeting minutes (signed)
 - By-laws (Including all amendments, if applicable)
 - Biographical Affidavits for every Officer and Director in force as of the examination date
 - Yearly signed Conflict of Interest Statements, inclusive of all years since prior examination
 - Stock ledger and stock certificates
- Service agreements
 - Management agreement (if the management agreement has been endorsed to extend the terms, we need the original management agreement with description of services to be provided) in addition to the endorsement
 - Any other service/ancillary agreements in place, including LOCs and surplus notes.
 - Investment custodial and management agreement
- Access to State of Vermont correspondence file with changes in business plan (we *do not* need copies) including licensing orders.
- 5-year financial projections
- Parent Company audited financial statements and/or annual report as of date of examination
- Verification of current President's business e-mail address
- Audit work papers prepared in conjunction with the audited financial statements as of the date of examination.
Note: If there have been any internal control weaknesses identified by the auditors, please provide a copy of their recommendations as well as management's response.
- Fully executed copies of all policies and reinsurance agreements in force as of the date of examination, including all related endorsements
- Access to all policies and reinsurance agreements in force during examination period
- Anti-money laundering policy
- SSAE 16/SOC1 reports applicable to the Company's operations.