



DEPARTMENT OF FINANCIAL REGULATION

SUBMITTAL FORM

Submit electronically to: DFR.CaptiveFinancialFilings@vermont.gov

****MANDATORY FOR ALL COMPANIES FILING ON VERMONT CAPTIVE ANNUAL REPORT BLANK****
REFER TO GENERAL INSTRUCTIONS

Date: _____
License #: _____
Name of Company: _____
Submitted by: _____
Submitter E-mail Address: _____

Check if enclosed	Filing Description	Instructions
<input type="checkbox"/>	Vermont Captive Annual Report (VCAR)	Complete Section A
<input type="checkbox"/>	Vermont Premium Tax Return (copy as filed with the VT Dept. of Taxes) Fiscal filers also include VCAR page (5) PREMIUMS	Complete Section B
<input type="checkbox"/>	Annual Audited Financial Statements and required letters	Complete Section C
<input type="checkbox"/>	Annual Certification of Loss Reserves and Loss Expense Reserves	Complete Section D

Section A - Vermont Captive Annual Report

1. Is the filing signed by a minimum of two executive officers? Select
2. Is the filing properly notarized? Select
3. Are there NO check sheet differences on page (9) CROSSCHECK? Select
4. Does the company meet the statutory minimum capital requirement? Select
If no, has management filed a capital remediation plan and described on page (4) QUESTIONNAIRE? Select

Section B - Vermont Premium Tax Return

1. Do direct and assumed premiums per the VT Premium Tax Return agree to direct and assumed premiums per the VCAR? Select
If no, management should provide an explanation on VCAR page (5) PREMIUMS.

Section C - Annual Audited Financial Statements and required letters

1. Is the Audit Opinion adverse or qualified for reasons other than an approved permitted practice? Select
2. Do the Audited Financial Statements reflect any audit adjustments impacting net income and surplus? Select
If yes, a reconciliation to the VCAR is required in the footnotes to the Audited Financial Statements.
3. Are the following letters attached to this filing?
Report of Evaluation of Internal Controls Select
Accountant's Letter of Qualifications Select
Certification of Review of Audit Work Papers Select
4. Does the Report of Evaluation of Internal Controls identify any unremediated material weaknesses? Select
If yes, management should file a plan via DFR.CaptiveMail@vermont.gov describing remediations

Section D - Annual Certification of Loss Reserves and Loss Expense Reserves

1. Do the loss and LAE reserves per the Statement of Actuarial Opinion agree with the reserves as reported on the balance sheet of the VCAR and/or Audited Financial Statements? Select
If no, management should provide an explanation in the comments section below.

Comments