

**CAPTIVE FILING REQUIREMENTS FOR
DOMESTIC SERIES LLC AND SERIES BUSINESS UNITS
AND SPONSORED CAPTIVES**

REQUIRED FILINGS FOR DELAWARE	DUE DATE
I. FINANCIAL STATEMENTS	
Delaware Annual Statement	3/1
Consolidated Statement at the Core (Form F-1) and Balance sheet and income statement for each SBU or Cell (Form F-2)	
II. AUDITED FINANCIAL STATEMENTS	
Audited Financial Statements	6/30
Letter of Qualifications	6/30
Report of Significant Deficiencies in Internal Controls	6/30
III. STATEMENT OF ACTUARIAL OPINION	
NAIC P&C Actuarial Opinion for each SBU	6/30
IV. OTHER REQUIRED FILINGS	
Premium Tax	3/1
License Renewal Fees	3/1

	NOTES AND INSTRUCTIONS	
A	Copies	<p>Emailed pdf scans of all documents contained in the filing or mailed pdf scans on CD or flash drive of all documents in the filing and the ORIGINAL signature pages of all Notarized documents. The scanned documents need to arrive by the due date, but the original pages may be mailed thereafter.</p> <p>We do not require original CPA and actuary reports.</p>
B	Required Filings Contact Person:	<p>Annual Statement - Jamie Bafundo captive@state.de.us (302) 577-5281 Premium Taxes - Ann Fletcher Ann.Fletcher@state.de.us (302) 674-7383</p>
C	Mailing Address:	<p>Delaware Department of Insurance Captive Insurance Bureau 820 N. French Street Suite 325A Wilmington, DE 19801</p>
D	Mailing Address for Premium Tax Payments and License Renewal Fees:	<p>Delaware Department of Insurance Attn: Premium Tax Section 841 Silver Lake Blvd. Dover, DE 19904-2465</p>
E	Delivery Instructions:	<p>All filings must be postmarked or emailed no later than the date due. If the due date falls on a weekend or holiday, then the deadline is extended to the next business day.</p>
F	Late Filings:	<p>Company's license may be suspended for refusal or failure to submit an annual report per Del. C. §6909a.</p>
G	Signature/Notarization/Certification:	<p>Two executive officers or other authorized persons.</p>
H	Amended Filings:	<p>File within 10 days of Amendment with explanation for the original filing, same should be followed for any amendment.</p>
I	Exceptions from normal filings:	<p>Apply at least 30 days prior to due date with written explanation. This letter should not be in the business plan or presented with the application.</p>
J	Sponsored Cells and Series SBUs	<p>The Owner Sign-off Sheet, Balance Sheet and Income Statement are to be filed for each SBU or Cell along with the Consolidated Financial Statement.</p>