

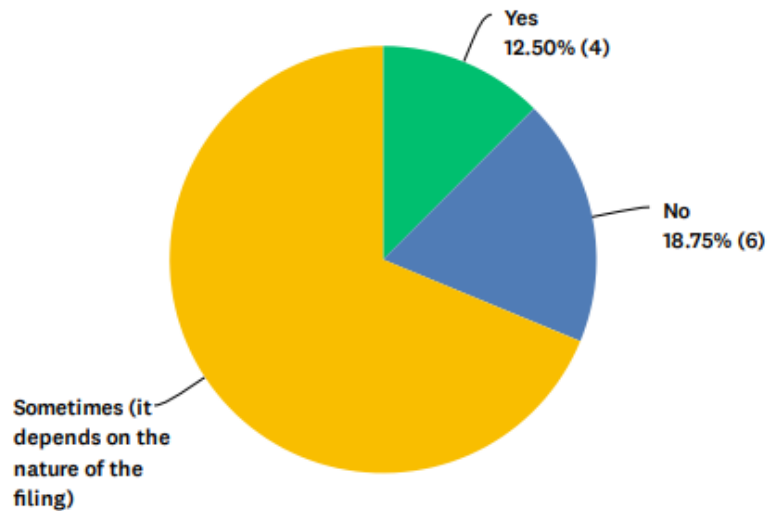
CEFLI Quick Poll

April 2020

Regulatory Filings: Review of Filings by the Legal Department

Q1 Insurance companies are regularly required to file data and reports with the state insurance departments. Such filings may include include financial statements, tax filings, fraud reports, natural disaster information, producer licensing data, complaint information, suitability information, etc. Does your company require that such materials be reviewed by the company's Legal Department prior to filing with a state insurance regulator?

Answered: 32 Skipped: 0

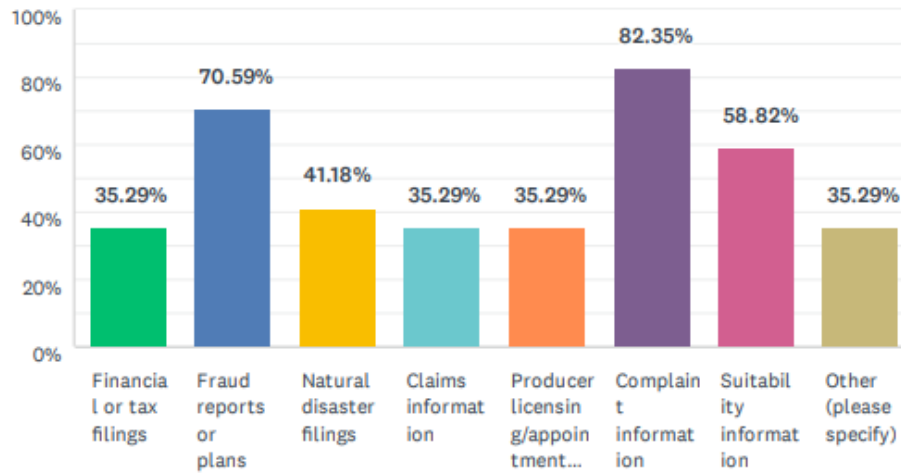


ANSWER CHOICES	RESPONSES	
Yes	12.50%	4
No	18.75%	6
Sometimes (it depends on the nature of the filing)	68.75%	22
TOTAL		32

(more on next page)

Q2 What types of filings does your company's Legal Department review? Please check all that apply.

Answered: 17 Skipped: 15



ANSWER CHOICES	RESPONSES	
Financial or tax filings	35.29%	6
Fraud reports or plans	70.59%	12
Natural disaster filings	41.18%	7
Claims information	35.29%	6
Producer licensing/appointment/termination information	35.29%	6
Complaint information	82.35%	14
Suitability information	58.82%	10
Other (please specify)	35.29%	6
Total Respondents: 17		

(more on next page)

Responses provided for "Other (please specify)":

Most ad-hoc requests (e.g., NY 308 letters or various inquiries from states)

4/16/2020 9:09 AM

Market conduct responses

4/16/2020 8:53 AM

These reports are reviewed by our Legal Department, if required.

4/16/2020 8:08 AM

Litigations, Human Resources matters

4/16/2020 7:38 AM

data calls

4/16/2020 5:33 AM

Filings that are directed to CEO

4/15/2020 6:13 PM
