



NEW YORK STATE  
DEPARTMENT of  
FINANCIAL SERVICES

Andrew M. Cuomo  
Governor

Maria T. Vullo  
Superintendent

GENERAL ACCOUNT VALUATION FILING CHECK-LIST  
December 31, 2016

Name of Domestic Company \_\_\_\_\_

Please confirm with a "YES", "NO" or "NOT APPLICABLE" that instructions have been followed.

1. VALUATION MATERIAL:
  - a. Does a cover letter accompany the valuation submission? \_\_\_\_\_
  - b. Is there a complete index of all material which contains page/tab/binder/electronic file references? \_\_\_\_\_
  - c. Are all listings, summaries, and schedules bound and tabbed? \_\_\_\_\_
  - d. Do detail listings contain page numbers, column headings, and the Company name? \_\_\_\_\_
  - e. Is detail support at the cell level for the items specified in Item I.10 of the General Requirements provided? \_\_\_\_\_
  - f. Do the summaries explicitly show the addition on one summary sheet when different sources are added together? \_\_\_\_\_
  - g. Are translations of valuation codings as well as descriptions of reserve bases and plans included? \_\_\_\_\_
2. Has the Company provided an explanation for all instances where the Analysis of Valuation Reserves does not agree with the corresponding Exhibits or Schedules of the Annual Statement? \_\_\_\_\_
3. EDP submission verification: Please complete the following table: (Based on Criteria in Item III of Instructions for Filing Valuations)
 

	Gross Reserves as of 12/31/2016	Was an EDP System Filing Made?
a. Traditional Life	_____	_____
b. Interest Sensitive Life	_____	_____
c. Structured Settlement & Immediate Annuities	_____	_____
d. Accumulation-Type Annuities	_____	_____
4. Does the Company have Group Life Insurance in force?  
If yes, how many Group Life Insurance Questionnaires are included in the submission? \_\_\_\_\_
5. Does the Company have Interest Sensitive Life Insurance in force?  
If yes, how many Interest Sensitive Life Questionnaires are included in the submission? \_\_\_\_\_
6. Does the Company have Structured Settlement and Fixed Payment Annuities in force?  
If yes, how many Structured Settlement and Fixed Payment Annuity Questionnaires are included in the submission? \_\_\_\_\_
7. Does the Company have Accumulation-Type Annuities in force?  
If yes, how many Accumulation-Type Annuity Questionnaires are included in the submission? \_\_\_\_\_
8. Does the Company have Accident & Health business in force?  
If yes, how many A&H Questionnaires are included in the submission? \_\_\_\_\_
9. Has the Company sent a filing pursuant to Regulation 126 directly to the Reserve Section of the Life Bureau? \_\_\_\_\_
10.
  - a. Does the Company rely on an aggregate basis per Section 4217(f)(1) for Life Insurance? \_\_\_\_\_
  - b. Does the Company rely on the aggregate basis per Section 4217(f)(2) for Annuities? \_\_\_\_\_
  - c. Does the Company rely on the aggregate basis per Section 4217(f)(3) for A&H Insurance? \_\_\_\_\_
11. Has a signed copy of the 2016 Annual Statement been submitted directly to the Life Bureau, Reserve Section? \_\_\_\_\_
12. If the Company has Separate Account business, has the Company included a distinct filing for such? \_\_\_\_\_
13. Has the Company verified the accuracy and completeness of items 1 - 12 above? \_\_\_\_\_

\_\_\_\_\_  
Appointed Actuary

\_\_\_\_\_  
Date

CHKLST