

## 2022 APPLICATION FILING REQUIREMENTS

### DOCUMENT

### DESCRIPTION

#### *Application Company*

- 1) 2021 Annual Statutory Financial Statement  
Provide a 2021 Annual Statutory Financial Statement, 8½” by 14”.
- 2) 2021 Management Discussion and Analysis (MD&A)  
A copy of the MD&A that accompanies the 2021 Annual Statutory Financial Statement.
- 3) Current license or Certificate of Authority of the Company  
If dated more than 60 days prior to submission date, include a current insurance department issued certificate indicating lines of business authorized to write.
- 4) 2021 NAIC IRIS Test Results  
A copy of the 2021 IRIS test results and, where applicable, any responses by the company to the NAIC regarding unusual values.
- 5) Statement of Actuarial Opinion (SAO) and Actuarial Opinion Summary (AOS) 2021  
Completed by qualified actuary under NAIC requirements.
- 6) Report on Examination and Market Conduct Report  
A copy of the latest Report on Examination and if applicable the Market Conduct Report of the Company.
- 7) Copy of Applicant’s Business Plan and/or Plan of Operations  
Provide a copy of the applicant’s Business Plan and/or Plan of Operations.
- 8) Copies of Binding Authority Agreements  
A copy of such agreements should be filed for anyone producing 10% or more of your New York or national business.
- 9) Current Reinsurance Program Summary  
Outline intercompany pooling / reinsurance, if applicable, or reinsurance program, by treaty or facultative, quota share, excess, catastrophe cover, stop loss, surplus or other type, classes of business covered, attachment point(s), limits, whole account or by program and identify each current reinsurer with their participations on each reinsurance contract.
- 10) Listing of Intercompany Agreements and their Respective Proposes  
Provide a list of intercompany agreements, if applicable, and a brief description of their purpose facilitating applicants Plan of Operations.
- 11) EL-1 Form – Certifying New York Business Written  
A report of N.Y. business bound during 2021 as required by [Reg. 41 §27.14\(a\)](#). This document should be prominently stamped “Confidential – Proprietary Information not to be released to third parties.” The required EL-1 Report format is available on the Department of Financial Services’ website [DFS EL-1 Portal](#).  
**The completed report should be emailed to the New York State Department of Financial Services, and a copy to ELANY with the application.**

#### *Parent Company / Group*

- 12) 2021 Combined Annual Statutory Financial Statement  
A copy of the 2021 Combined Annual Statutory Financial Statement if the company is required to file.
- 13) 2021 Parent Company Financial Statement  
A copy of the 2021 financial statement for the ultimate parent of the company.
- 14) Copy of Parent Company Audit Report of 2021  
A copy of the parent company audit report for the 2021 Financial Statement.