**MULTIPLE EMPLOYER WELFARE ARRANGEMENTS (MEWA)**

**COMPANY NAME:**

**Contact:**

**CA Company Code:**

**Telephone:**

**REQUIRED FILINGS IN THE STATE OF: CALIFORNIA Filings Made During the Year 2024**

| (1)  Checklist | (2)  Line# | (3)  REQUIRED FILINGS | (4)  NUMBER OF COPIES | (5)  **CA**  Required Filing Format | (6)  DUE DATE\* | (7)  FORM SOURCE | (8)  APPLICABLE NOTES |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | **I. STATE FINANCIAL STATEMENTS** |  |  |  |  |  |
|  | 1 | Certification Required by California Insurance Code Section (CIC §) 742.31(c) | 1 | PDF (Signed) | See Note | Company | FAD106 B |
|  | 2 | Quarterly Statement (8 ½” x 14”) | 1 | PDF (Signed) | See Note | Company | FAD201 B |
|  | 3 | Actuarial Opinion | 1 | PDF | 3/1 | Company | FAD440 A, B |
|  |  | **II. AUDITED FINANCIAL STATEMENTS** |  |  |  |  |  |
|  | 10 | Accountant’s Letter of Qualifications | 1 | PDF | 5/15 | Company | FAD221 B |
|  | 11 | Audited Financial Report | 1 | PDF | 5/15 | Company | FAD220 B |
| *\* For company files on a fiscal year basis, please refer to the applicable note or* [*CIC § 742.31*](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=INS&sectionNum=742.31.)*.* | | | | | | | |

**GENERAL INSTRUCTIONS**

**Contact Information**

For questions regarding filings, please contact Financial Records Unit at (213)346-6423, [Financial\_Records@insurance.ca.gov](mailto:Financial_Records@insurance.ca.gov) or visit the California Department of Insurance’s (“CDI”) website at: [insurance.ca.gov](http://www.insurance.ca.gov/).

**Submission**

All electronic filings must be made via the Online Assistance System for Insurer Submittals (“OASIS”). For documents requiring signature(s)/certification/notarization, the electronic PDF file must contain the required signature(s)/certification/notarization. All documents notarized in the state of California must comply with Section 8202 of the Government Code and Section 1185 of the Civil Code in reference to establishing an affiant’s identity.

**Signature**

Refer to CIC § 903 and CIC § 903.5 for guidance.

**Late Filings**

Electronic filings must be submitted before 12:00 midnight of the due date. Any company that fails to make a timely and complete filing will be subject to penalties.

**Amended Filings**

Amended items must be filed timely along with an explanation of the amendments. If there are signature requirements for the original filing, same should be followed for any subsequent amendment. Please contact Financial Records Unit at (213)346-6423 or [Financial\_Records@insurance.ca.gov](mailto:Financial_Records@insurance.ca.gov) prior to submitting any amendment via OASIS.

**Column (1) Checklist**

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an “x” in this column when mailing information to the state.

**Column (2) Line #**

Line # refers to a standard filing number used for reference only. This line number may change from year to year.

**Column (3) Required Filings**

Name of form or document to be filed.

**Column (4) Number of Copies**

Indicates the number of copies that each company is required to file for each type of form.

**Column (5) CA Required Electronic Filing Format**

Adobe PDF (PDF)

For document requiring signature(s)/certification/notarization, the PDF file must contain the required signature(s)/certification/notarization.

**Column (6) Due Date**

Indicates the date on which the company must file the form.

**Column (7) Form Source**

Company = Company, or its representative is expected to provide the form.

**Column (8) Applicable Notes**

This column contains references to the Notes that apply to each item listed on the checklist. It also contains the CDI form numbers (in red - FADXXX) for reference only. The company should carefully read these notes before submitting a filing.

**NOTES**

|  |  |  |
| --- | --- | --- |
| A | Actuarial Office | Refer any inquiries to the Actuarial Office at (213) 346-6164. |
| B | California Filing Requirements | [CIC § 742.31](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=INS&sectionNum=742.31.) - Each self-funded or partially self-funded multiple employer welfare arrangement transacting business in the state shall file all of the following with the commissioner:   1. No later than May 15th of each calendar year or four months and 15 days after the end of each fiscal year not on a calendar year basis, financial statements audited by a certified public accountant, and no later than March 1 of each calendar year or 60 days after the end of each fiscal year not on a calendar year basis, an actuarial opinion rendered by a qualified actuary that satisfies the requirements of Section 10489.15. The opinion shall be based on standards adopted from time to time by the Actuarial Standards Board and on any additional standards that the commissioner may, by regulation, prescribe. For the purposes of this section, "qualified actuary" means a member in good standing of the American Academy of Actuaries who meets the requirements set forth in regulations of the commissioner. The qualified actuary shall be liable for damages to any person caused by his or her negligence or other tortious conduct. 2. Within 60 days after the end of each fiscal quarter, unaudited financial statements, affirmed by an appropriate officer or agent of the multiple employer welfare arrangement. 3. Within 60 days after the end of each fiscal quarter, a report certifying that the multiple employer welfare arrangement maintains cash or liquid assets in a claim reserve account sufficient to meet its contractual obligations and that it maintains a policy of aggregate and specific stop loss insurance. |