**UNDERWRITTEN TITLE COMPANIES**

**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 |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Domestic  |  |
|  |  | **I. STATE FINANCIAL STATEMENTS** |  |  |  |  |  |
|  | 1 | Annual Statement (8 ½” x 14”) | 1 | PDF (Signed) & XLS | 3/31 | CA | FAD203 |
|  | 2 | Quarterly Financial Statement (8 ½” x 14”) | 1 | PDF (Signed) & XLS | 4/30, 7/30, 10/30 | CA | FAD203 |
|  | 3 | State Filing Fees | 1 | PDF | 3/31 | CA | FAD206A |
|  | 4 | Auditor’s Report | 1 | PDF | 3/31 | Company | FAD1B |
|  | 5 | Notes to Financial Statements | 1 | PDF | 3/31 | Company | FAD2B |
|  | 6 | Recommendations from Auditor | 1 | PDF | 3/31 | Company | FAD3B |
|  | 7 | Explanation of Escrow Discrepancies | 1 | PDF | 3/31 | Company | FAD4B |
|  | 8 | Schedule J | 1 | PDF | 3/31 | Company | FAD5B |
|  | 9 | Underwriting Agreements | 1 | PDF | 3/31 | Company | FAD6B |
|  | 10 | Articles of Incorporation | 1 | PDF | 3/31 | Company | FAD7B |
|  | 11 | List of Shareholders | 1 | PDF | 3/31 | Company | FAD8B |
|  | 12 | Required Documentation for Changing Auditors | 1 | PDF | 3/31 | Company | FAD9B |
|  | 13 | Management Agreements | 1 | PDF | 3/31 | Company | FAD10B |
|  | 14 | Controlled Business Statement | 1 | PDF | 3/31 | Company | FAD11B |
|  | 15 | Controlled Business Report | 1 | PDF | 3/31 | Company | FAD12B |
|  | 16 | UTC Monthly Financial Report | 1 | PDF & XLS | Upon Request | Company | C |
|  | 17 | Request for Extension  | 1 | PDF | When Applicable | Company | FAD125 |

**GENERAL INSTRUCTIONS**

**Submission**

All electronic filings must be made via the Online Assistance System for Insurer Submittals (“[OASIS](https://www.insurance.ca.gov/0250-insurers/0400-oasis/)”). 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 California Insurance Code Section (“CIC §”) [903](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=INS&sectionNum=903.) and CIC § [903.5](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=INS&sectionNum=903.5.) for guidance.

**Contact Information**

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

**Late Filings**

Electronic filings must be submitted before 12:00 midnight of the due date. Pursuant to [CIC § 12389(b)(4)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=INS&sectionNum=12389.)(D), any company that fails to file any audit or other report on or before the due date shall pay a penalty fee. Failure to pay the penalty fee or any other fee, or make the required filing, the company shall forfeit the privilege of accepting new business until the delinquency is corrected. Penalty fee shall be submitted online through OASIS.

**Amended Filings**

Amended items must be filed timely. 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 prior to submitting any amendment via OASIS.

**Request for Extension to File**

Pursuant to [CIC § 12389 (b)(4)(A)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=INS&sectionNum=12389.), the time for furnishing any audit may be extended, for good cause shown, on written approval of the commissioner for a period, not to exceed 60 days. Please be aware that extensions of the due date will be granted only for rare and unusual circumstances. Inadequate planning by the company or its independent auditor will not be accepted as justification for an extension.

Any request for an extension must be received by CDI no later than March 1. An extension request shall include the following documents:

1. A copy of the year-end unaudited financial statement. The company may use the quarterly statement form to fulfill this requirement.
2. A letter from an officer of the company to the California Insurance Commissioner that provides the basis for the extension request; and a statement from the officer certified under penalty of perjury that the attached unaudited financial statement is accurate to the best of his or her knowledge.
3. A letter from the company’s independent auditor to the California Insurance Commissioner that includes the following:
* A statement by the independent auditor certified under penalty of perjury that to the best of his or her knowledge based on the audit work performed to date, he or she has no reason to believe that there will be any material adjustment to the unaudited financial statement submitted by the company and the unaudited financial statement is not misleading.
* A detailed description of the amount of remaining field work to be performed and the time needed to complete the audit.
* An explanation why the audit cannot be completed by March 31.
* A description of any disagreements with the company on the application of any matter of accounting principles and/or financial disclosures.

**NONE or 0 Filings:**

When there is nothing to report or the form is not applicable, the word “NONE” or “0” must appear stamped/written on the required form. Company information must be filled in (e.g., Company name and Company ID #).

**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 item or form to be filed.

**Column (4) Number of Copies**

Indicates the number of copies that each domestic 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.

MS Excel (XLS)

For document requiring an Excel version, the related form is provided on our Website. The Excel version does not require signature(s)/certification/notarization.

**Column (6) Due Date**

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

**Column (7) Form Source**

* CA = CDI will prescribe the forms with the filing instructions.
* 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 | State Filing Fees | State filing fees, assessed pursuant to [CIC § 12389(b)(4)(B)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=INS&sectionNum=12389.), must be submitted via OASIS no later than March 31. Do not send checks. Submission of the Annual Report will not be allowed unless the filing fee is paid.  |
| B | UTC Annual Statement Supplements | All supplements must be submitted via OASIS. CD/DVD submissions will not be accepted. |
| C | UTC Monthly Financial Report | CDI may request additional financial reports on a monthly basis. Upon request, please e-mail the UTC Monthly Financial Reports directly to the assigned analyst. |