

DEPARTMENT OF INSURANCE AND FINANCIAL INSTITUTIONS

AUDITED FINANCIAL REPORT INTERNAL CONTROL FILINGS TRANSMITTAL FORM DUE AUGUST 1

<u>GENERAL INSTRUCTIONS:</u> In addition to your Audited Financial Report (AFR), you are required to file with us internal control documents that are prepared in accordance with the NAIC Annual Financial Reporting Model Regulation.

THIS E-AFR.IC TRANSMITTAL FORM MUST BE COMPLETED AND ATTACHED TO THE INTERNAL CONTROL DOCUMENTS THAT ARE FILED WITH US BY AUGUST 1:

- Communication of Internal Control Related Matters Noted in an Audit Must comply with Section 11 of the NAIC Annual Financial Reporting Model Regulation.
- Management's Report of Internal Control Over Financial Reporting Must comply with Section 17 of the NAIC Annual Financial Reporting Model Regulation. *Not required if annual premiums are less than \$500,000,000.*

E-mail completed form to financialfilings@difi.az.gov. DO NOT send a hard copy.

Name the document using this format "Internal Control-NAIC Number-Insurer Name" (e.g. Internal Control-55555-INSURERNAME).

A penalty fee of up to \$25 per day may be assessed for any part of your AFR filing that is filed late. ARS § 20-223.

SPECIAL INSTRUCTION FOR COMPANIES FILING CONSOLIDATED REPORTS:

Each company in the group must separately file a copy of each internal control document with us along with a transmittal **Form E-AFR.IC.RE** attached.

IMPORTANT – ENTER THE CALENDAR YEAR OF THE ATTACHED FILING:		
Enter the NAIC number and name of the insurance company whose individual internal control document is attached or on whose behalf a copy of a consolidated internal control document is attached.		
NAIC #	Name of Insurance Company	
Contact Name		Title
Email Address		Telephone Number
E-AFR.IC.RE (v 20201031)		