



**Captive Insurance Division**  
**Arizona Department of Insurance**  
 2910 North 44<sup>th</sup> Street, Suite 210, Phoenix, Arizona 85018-7269  
 Phone: (602) 364-4490 | Web: <https://insurance.az.gov>

**CAPTIVE INSURER ANNUAL REPORT AND RENEWAL FEE TRANSMITTAL**

File your annual report using the Captive Insurer Annual Report web portal, accessible from <https://insurance.az.gov/insurers/financial-reporting-domestic-entities/captive-insurer>

**INFORMATION ABOUT THE INSURER**

Company Name			NAIC #	
Home Office Street Address		City	State	ZIP Code
On what date each year does the insurer's fiscal year end? ►	Month	Day		

**INFORMATION ABOUT THE PREPARER**

Preparer's Name		Title	Area Code & Phone Number	
Preparer's Email Address			Fax Number	
Preparer's Mailing Address		City	State	ZIP Code

**REQUIREMENTS CHECKLIST** (submit payment by mail; submit all other documents through the Portal)

<input type="checkbox"/> <b>\$5,500.00</b> (Pay Code 87) <b>Certificate of Authority Renewal Fee</b> •Make payable to <b>Arizona Department of Insurance</b> . •Write the license/NAIC number in the memo section of the payment or on the payment stub. •Mail payment to the address at the top of this form.
<input type="checkbox"/> <b>Captive Insurer Annual Report Jurat Page</b> signed by two officers of the captive insurer and the captive manager and submitted as an Adobe Acrobat PDF file.
<input type="checkbox"/> <b>Captive Insurer Annual Report</b> , submitted as a Microsoft Excel workbook
<b>Actuarial Opinion:</b> Adobe Acrobat PDF file of one of the following: <input type="checkbox"/> Actuarial opinion (including Exhibits A and B) OR <input type="checkbox"/> exemption reason OR <input type="checkbox"/> requirement waiver reason
<input type="checkbox"/> <b>Actuarial Opinion Summary (if not exempt or waived):</b> Adobe Acrobat PDF file
<input type="checkbox"/> <b>Management Discussion and Analysis</b> – original plus one printed copy
<input type="checkbox"/> <b>Form E-178: Certificate of Disclosure</b>
<input type="checkbox"/> <b>Most recent audited financial statements</b> as of the due date
<input type="checkbox"/> <b>Most recent financial statements of the captive's parent</b> as of the due date

**IMPORTANT:** Any captive insurer failing to file its annual report or pay its annual renewal fee on or before the due date is subject to financial penalties and suspension of its Arizona Certificate of Authority pursuant to A.R.S. §20-1098.07.