

Captive Insurer Annual Filing Portal – Instructions

For help, contact the Arizona Department of Insurance Captive Insurance Division at (602) 364-4490

Please use the Portal to upload all the following that pertain to your annual filing (except a domestic risk retention group must file with the NAIC):

| Document Type | Required File Format |
|--|---|
| Captive Insurer Annual Report Jurat Page | Adobe Acrobat document (pdf) |
| Captive Insurer Annual Report | Microsoft Excel workbook (xls or xlsx) |
| Actuarial Opinion (including Exhibits A and B) | Adobe Acrobat document (pdf) |
| Actuarial Opinion Exemption or Waiver | Adobe Acrobat document (pdf) |
| Actuarial Opinion Summary | Adobe Acrobat document (pdf) |
| Management Discussion and Analysis | Adobe Acrobat document (pdf) |
| Form E-178: Certificate of Disclosure | Adobe Acrobat document (pdf) |
| Audited Financial Report – Financials | Adobe Acrobat document (pdf) |
| Audited Financial Report – Letter of Qualification | Adobe Acrobat document (pdf) |
| Audited Financial Report – Internal Control Letter | Adobe Acrobat document (pdf) |
| Financial Statement – Parent/Affiliate | Adobe Acrobat document (pdf) |
| Other (use the description field to describe the document) | Microsoft Excel (xls or xlsx), Adobe Acrobat (pdf), Microsoft Word (doc or docx), or graphics file (png, jpg, jpeg, gif) |

Uploading Instructions

1. Enter the fiscal year end date and NAIC/license number, and click the **[Search]** button. The system will display the captive insurer's name, business type, and entity type. *Contact us if displayed information is incorrect.*
2. Complete the "Contact information for this filing" section.
3. Click the **[+ Select Files]** button. On the "File Upload" screen, you can drag and drop files from a directory on your computer/network or you can click the **[Navigate to files]** button, which will open a file explorer window that you can use to locate and select files to be uploaded. *You can upload more than one file at a time.* Files you selected to upload will be listed under the **[+ Select Files]** button.
4. For each file, select the "Document Type" from the dropdown list.

The screenshot shows the web portal interface with three numbered callouts:

- 1:** Points to the top search section containing fields for "Fiscal Year End* (MM/DD/YYYY)", "NAIC/License Number*", "Entity Name", "Current Business Type", and "Current Entity Type". A blue "Search" button is located to the right of the NAIC/License Number field.
- 2:** Points to the "Contact information for this filing" section, which includes fields for "First Name*", "Last Name*", "Title", "Telephone* (###) ###-####", and "Email Address*".
- 3:** Points to the "Documents" section, which features a green "+ Select Files" button and a "File Upload" modal window. The modal window contains a "Drag files here" area, an "Or" separator, and a "Navigate to files" button.

5. If you assign “Other” as a Document Type, enter text into the “If document type is other, please describe” area to briefly describe the document you are submitting.
6. After entering information for all documents, click the **[Submit]** button.

Documents + Select Files

File name: SampleExcelSpreadsheetFile.xlsx

File size: 818.25 KB

If document type is other - please describe.

Document Type*

- Captive Insurer Annual Report Jurat Page
- Captive Insurer Annual Report
- Actuarial Opinion (including Exhibits A and B)
- Actuarial Opinion Exemption or Waiver
- Actuarial Opinion Summary
- Actuarial Opinion Summary Exemption or Waiver
- Management Discussion and Analysis
- Certificate of Disclosure
- Audited Financial Report – Financials
- Audited Financial Report – Letter of Qualification
- Audited Financial Report – Internal Control Letter
- Financial Statement – Parent/Affiliate
- Other

🗑️ Remove

File name: SampleWordDocumentFile.docx

File size: 37.45 KB

If document type is other - please describe.

Document Type*

- Captive Insurer Annual Report Jurat Page
- Captive Insurer Annual Report
- Actuarial Opinion (including Exhibits A and B)
- Actuarial Opinion Exemption or Waiver
- Actuarial Opinion Summary
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- Management Discussion and Analysis
- Certificate of Disclosure
- Audited Financial Report – Financials
- Audited Financial Report – Letter of Qualification
- Audited Financial Report – Internal Control Letter
- Financial Statement – Parent/Affiliate
- Other

🗑️ Remove

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Submit

7. The system will present you a “Success!” report, which you should print and retain as documentation of your filing submission.
8. Send your annual renewal fee either with a copy of your “Success!” report or with a completed Captive Insurer Annual Report and Renewal Fee Transmittal Form payable to **Arizona Department of Insurance**.

For questions about annual filing requirements or using the portal, please contact us at (602) 364-4490.