



Insurance Regulatory Reporting Checklist

Data Gathering & Validation

Ensuring accurate and complete data collection from various sources for regulatory reporting.

Policy Count (Active)

Claims Reported

Cut-off Date for Data

Data Source

- ☐ Core System
- ☐ Excel Spreadsheet
- ☐ Third-Party Vendor

Data Fields Verified

- ☐ Policy Number
- ☐ Insured Name
- ☐ Premium Amount
- ☐ Claim Status

Data Validation Notes

Write something...

Reporting Form Selection & Completion

Identifying the correct reporting form based on regulatory requirements and filling it out accurately.

Reporting Form Type

- ☐ Quarterly Statistical Report
- ☐ Annual Financial Report
- ☐ Event-Driven Report
- ☐ Other (Specify)

Reporting Period

- ☐ Q1
- ☐ Q2
- ☐ Q3
- ☐ Q4

Policy Count - Life

Enter a number...

Policy Count - Auto

Enter a number...

Claim Ratio

Enter a number...

Report Submission Date

Enter date...

Notes/Comments

Write something...

Calculations & Reconciliation

Performing necessary calculations and reconciling data with internal records.

Gross Written Premium

Enter a number...

Losses Paid

Enter a number...

Expense Ratio

Enter a number...

Combined Ratio

Enter a number...

Reserve Adequacy Ratio

Enter a number...

Reconciliation Method

- ☐ Manual
- ☐ Automated
- ☐ Hybrid

Reconciliation Date

Enter date...

System & Technology Checks

Verifying data integrity and system functionality related to regulatory reporting.

System Uptime Percentage (Last 24 Hours)

Enter a number...

Data Encryption Status (At Rest)

- ☐ Enabled
- ☐ Disabled
- ☐ N/A

Access Control Verification Performed?

- ☐ Yes
- ☐ No
- ☐ N/A

Last System Security Patch Applied

Enter date...

Number of Failed Data Transfers

Enter a number...

Description of any system errors encountered during reporting

Write something...

Legal & Compliance Review

Ensuring compliance with relevant laws, regulations, and reporting guidelines.

Applicable Regulatory Framework(s)

- ☐ NAIC Model Laws
- ☐ State-Specific Regulations
- ☐ Federal Regulations (e.g., GLBA)
- ☐ International Regulations (e.g., GDPR)

Summary of Key Compliance Risks

Write something...

Date of Last Legal Review

Enter date...

Confirmation of Legal Counsel Review

- ☐ Reviewed and Approved
- ☐ Reviewed, Minor Changes Required
- ☐ Not Yet Reviewed

Record of Legal Counsel Comments/Recommendations

Write something...

Supporting Legal Documentation (e.g., Opinion Letters)

 Upload File

Submission & Archiving

Submitting the completed report to the regulatory body and archiving records for audit trails.

Submission Date

Submission Time

Submission Method


☐ Online Portal

☐ Email

☐ Mail

Confirmation Number (if applicable)

Confirmation Receipt (if applicable)

 Upload File

Notes/Comments Regarding Submission

Documentation & Audit Trail

Maintaining thorough documentation of the reporting process for audit and review purposes.

Date of Report Preparation

Enter date...

Description of Data Sources Used

Write something...

Preparer Signature


Report Version Number

Enter a number...

Summary of Key Assumptions Made

Write something...

Supporting Documentation (e.g., calculations)

 Upload File

Name of Preparer

Write something...

Version Control & Updates

Managing versions of reporting forms and processes to reflect regulatory changes.

Last Updated Date

Enter date...

Version Number

Write something...

Summary of Changes

Write something...

Reason for Update

- ☐ Regulatory Change
- ☐ Process Improvement
- ☐ System Upgrade
- ☐ Data Correction

Previous Version Number

Enter a number...

Supporting Documentation (e.g., Regulation PDF)

 Upload File