

Notice of the Authority relating to filing of interim returns and other documents for the half year ending June 30, 2014 – Insurers of persons licensed in Québec

Under *An Act respecting insurance*, CQLR, c. A-32, (the “Act”), every insurer is required to file with the *Autorité des marchés financiers* (the “AMF” or the “Authority”), in such form as the AMF may determine and within the prescribed time period, the documents and information required under the Act or requested by the AMF pursuant to specific provisions of the Act (the “required or requested documents and information”).

All required or requested documents and information must be filed electronically via the AMF website using the File Transfer Service (“FTS”)¹.

See Appendices 1 and 2 attached to this Notice concerning specific AMF requirements for the filing of June 30, 2014.

A complete set of paper copies of the signed documents must be kept at the insurer’s premises so that they are available for examination by the AMF, if necessary.

Administrative monetary sanctions

We remind you that each insurer is responsible for ensuring that the AMF receives, **within the prescribed time periods**, all required or requested documents and information in all forms as required.

Under section 405.1 of the Act, the AMF may impose an administrative sanction where any of the documents referred to in the Appendices are filed late or are not filed.

The *Notice of the Autorité des marchés financiers related to administrative monetary sanctions imposed for late filing of information or documents (sections 405.1 and following of the Act)*² (the “sanctions framework”) is posted on the AMF website at: <http://www.lautorite.qc.ca/en/right-practice-pers-pro.html>

¹ Decision no. 2012-PDG-0106 (in French only) dated June 5, 2012 and published in the AMF Bulletin of June 7, 2012, vol. 9, no. 23, section 5.6.

² Update published in the AMF Bulletin (in French only) dated June 7, 2012, vol. 9, no. 23, section 5.1.

Electronic submission of financial returns and other documents

The *File Transfer Service (FTS) User Guide* explains the procedure for submitting data via the AMF website. To consult this guide, access the FTS and click on Help.

The *Guide – Specific File Transfer Service (FTS) Requirements (the “guide of specific requirements”)* contains instructions from the *Direction principale de la surveillance des assureurs et du contrôle du droit d’exercice* (Senior Direction, Supervision of Insurers and Control of Right to Practise), such as the appropriate file naming convention.

Please note that the guide of specific requirements does not list the required or requested documents and information and the dates by which they are to be filed.

A revised version of the guide of specific requirements is available on the AMF website at:
<http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html>

Further information

Further information is available by sending an e-mail to: info-divulgations@lautorite.qc.ca

June 12, 2014

**DOCUMENTS TO BE FILED BY INSURERS OF PERSONS
LICENSED IN QUEBEC
REQUIRED FOR THE HALF YEAR ENDING JUNE 30, 2014**

APPENDIX 1

QUEBEC	Unstructured Return Code	File Format	Due date
1. LIFE-1 Interim Return, <u>duly signed</u> The pdf file must be complete, in printable format, and conform with the «paper» version kept on file at the insurer's premises. It must include the following documents: - Corporate information (pages 10,011, 10,013 and 10,014)	-	pdf	August 14, 2014
2. LIFE-1 Interim Return.	-	Excel ASCII	August 14, 2014
3. Attestation of Compliance of Versions - Interim return, <u>duly signed</u> http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	110	pdf	August 14, 2014
4. QFP disclosure Form on Capital Adequacy Requirements guideline - Life and Health Insurance, <u>duly signed</u> The pdf file must be complete, in printable format, and conform with the «paper» version kept on file at the insurer's premises.	-	pdf	August 14, 2014
5. QFP disclosure Form on Capital Adequacy Requirements guideline - Life and Health Insurance. Hyperlink to instructions and updated form: http://www.lautorite.qc.ca/en/capital-adequacy-requirements-pro.html	-	Excel ASCII	August 14, 2014
6. Attestation of Compliance of Versions (QFP), <u>duly signed</u> http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	710	pdf	August 14, 2014
FEDERAL AND EXTRA-PROVINCIAL (including Fraternal Benefit Societies)	Unstructured Return Code	File Format	Due date
1. LIFE-1 Interim Return, <u>duly signed</u> The pdf file must be complete, in printable format, and conform with the «paper» version kept on file at the insurer's premises.	-	pdf	August 14, 2014
2. LIFE-1 Interim Return.	-	Excel ASCII	August 14, 2014
3. Attestation of Compliance of Versions - Interim return, <u>duly signed</u> http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	110	pdf	August 14, 2014
4. OSFI 87, Minimum Continuing Capital and Surplus Requirements (MCCSR) Canadian Life Insurance Companies and Fraternal Benefit Societies, <u>duly signed</u> The pdf file must be complete, in printable format, and conform with the «paper» version kept on file at the insurer's premises.	-	pdf	August 14, 2014
5. OSFI 87, Minimum Continuing Capital and Surplus Requirements (MCCSR) Canadian Life Insurance Companies and Fraternal Benefit Societies.	-	Excel ASCII	August 14, 2014
6. Attestation of Compliance of Versions (OSFI-87), <u>duly signed</u> http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	710	pdf	August 14, 2014
FOREIGN (Including Fraternal Benefit Societies)	Unstructured Return Code	File Format	Due date
1. LIFE-2 Interim Return, <u>duly signed</u> The pdf file must be complete, in printable format, and conform with the «paper» version kept on file at the insurer's premises.	-	pdf	August 14, 2014
2. LIFE-2 Interim Return.	-	Excel ASCII	August 14, 2014
3. Attestation of Compliance of Versions - Interim return, <u>duly signed</u> http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	110	pdf	August 14, 2014
4. OSFI 86, Test of Adequacy of Assets in Canada and Margin Requirements (TAAM) Foreign Life Insurance Companies and Fraternal Benefit Societies, <u>duly signed</u> The pdf file must be complete, in printable format, and conform with the «paper» version kept on file at the insurer's premises.	-	pdf	August 14, 2014
5. OSFI 86, Test of Adequacy of Assets in Canada and Margin Requirements (TAAM) Foreign Life Insurance Companies and Fraternal Benefit Societies.	-	Excel ASCII	August 14, 2014
6. Attestation of Compliance of Versions (OSFI-86), <u>duly signed</u> http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	710	pdf	August 14, 2014

**DOCUMENTS TO BE FILED BY REINSURERS OF PERSONS
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REQUIRED FOR THE HALF YEAR ENDING JUNE 30, 2014**

APPENDIX 2

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2. LIFE-1 Interim Return.	-	Excel ASCII	August 30, 2014
3. Attestation of Compliance of Versions - Interim return, <u>duly signed</u> http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	110	pdf	August 30, 2014
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5. QFP disclosure Form on Capital Adequacy Requirements guideline - Life and Health Insurance. Hyperlink to instructions and updated form: http://www.lautorite.qc.ca/en/capital-adequacy-requirements-pro.html	-	Excel ASCII	August 30, 2014
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