

Notice of the Authority relating to filing of annual returns and other documents for the fiscal year ending December 31, 2015 – Insurers of persons licensed in Quebec

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”).

See the Appendices attached to this Notice concerning specific AMF requirements for the filing of documents for the fiscal year ending December 31, 2015.

Please note that following the update of the LIFE Annual Return form, the Affidavit verifying annual return has changed. This certificate must be certified under oath by two directors.

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 Appendix 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)* (the “sanctions framework”) is posted on the AMF website at:

<http://www.lautorite.qc.ca/en/right-practice-pers-pro.html>.

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* (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.

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.

December 10, 2015

**DOCUMENTS TO BE FILED BY INSURERS OF PERSONS
LICENSED IN QUEBEC
FOR FISCAL YEAR ENDING DECEMBER 31, 2015**

APPENDIX 1

QUEBEC	Unstructured Return Code	File Format	Due date
1. LIFE Annual Return. Hyperlink to instructions and updated form: http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	-	Excel & ASCII (.10a)	February 29, 2016
2. LIFE Annual Return, duly signed . 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, among others, the following documents: <ul style="list-style-type: none"> - Duly signed Affidavit verifying Annual Return (page 10.005) - Annual corporate information (pages 10.010 to 10.014) - Corporate organization chart (page 10.040) - Statement of cash flows (page 20.050) - Notes to the financial statements (page 20.060) - Duly signed independent auditor's report to AMF covering pages 20.010 through 20.060 and 60.010 (page 20.070) - Duly signed appointed actuary's Certificate (page 20.085) 	-	pdf	February 29, 2016
3. Attestation of Compliance of Versions (LIFE), duly signed . http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	110	pdf	February 29, 2016
4. Classes of insurance, duly signed . (Regulation under the Act respecting insurance)	120	pdf	February 29, 2016
5. Audited financial statements presented to shareholders or members, duly signed . ("Official" version)	200	Searchable pdf file	February 29, 2016
6. Annual report prepared for shareholders or members as soon as possible. (if applicable)	200	pdf	
7. Financial statements of the insurer, and subsidiaries, affiliates and joint ventures in which the insurer has an ownership interest. (if applicable)	300	pdf	February 29, 2016
8. Appointed actuary's report on policy liabilities, including certificate, duly signed .	400	Searchable pdf file	February 29, 2016
9. Excel file containing certain data in appointed actuary's report on policy liabilities. http://www.lautorite.qc.ca/en/actuary-guide-pro.html	420	Excel	February 29, 2016
10. Peer review - Appointed actuary's report. (if applicable)	440	pdf	Note 1
11. Actuary's review of the method of allocating income and expenses to participating and non-participating business. (section 298.17 of the Act) (if applicable)	450	pdf	February 29, 2016
12. Dynamic Capital Adequacy Testing - DCAT, duly signed . (The updated instructions will be available on the AMF website at the latest March, 2016)	500	Searchable pdf file	December 31, 2016
13. Excel File containing certain DCAT data. (The Excel file will be available on the AMF website at the latest March, 2016) http://www.lautorite.qc.ca/en/actuary-guide-pro.html	510	Excel	December 31, 2016
14. Peer review - DCAT (if applicable).	520	pdf	Note 1
15. 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 (.qfp)	February 29, 2016
16. QFP disclosure Form on Capital Adequacy Requirements guideline - Life and Health Insurance, duly signed . 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 independent auditor's report. Hyperlink to instructions and updated form: http://www.lautorite.qc.ca/en/capital-adequacy-requirements-pro.html	-	pdf	March 31, 2016
17. Attestation of Compliance of Versions (QFP), duly signed . (The Attestation must be dated and signed further to the issue of the auditor's report.) http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	710	pdf	March 31, 2016
18. Appointed actuary's report on Capital Adequacy Requirements Guideline, duly signed .	720	pdf	February 29, 2016
19. Peer review - QFP. (if applicable)	735	pdf	Note 1
20. Ethics committee report, duly signed .	760	pdf	February 29, 2016

Note 1 : 30 days after transmission to the Audit Committee.

**DOCUMENTS TO BE FILED BY INSURERS OF PERSONS
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3. Attestation of Compliance of Versions (LIFE), duly signed . http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	110	pdf	February 29, 2016
4. Classes of insurance, duly signed . (Regulation under the Act respecting insurance)	120	pdf	February 29, 2016
5. Business Plan for the year 2016. The Business Plan should include a forecast of the Balance Sheet and the Income Statement. (New)	190	pdf	February 29, 2016 (New)
5. Audited financial statements presented to shareholders or members, duly signed . ("Official" version)	200	Searchable pdf file	February 29, 2016
6. Annual report prepared for shareholders or members as soon as possible. (if applicable)	200	pdf	
7. Appointed actuary's report on policy liabilities, including certificate, duly signed .	400	Searchable pdf file	February 29, 2016
8. Excel file containing certain data in appointed actuary's report on policy liabilities.	420	Excel	February 29, 2016
9. Peer review - Appointed actuary's report.	440	pdf	Note 1
10. Dynamic Capital Adequacy Testing - DCAT, duly signed .	500	Searchable pdf file	December 31, 2016
11. Excel File containing certain DCAT data. (The Excel file that must be used will be available on the AMF website at the latest March, 2016) http://www.lautorite.qc.ca/en/actuary-guide-pro.html	510	Excel	December 31, 2016
12. Peer review - DCAT.	520	pdf	Note 1
13. OSFI 87, Minimum Continuing Capital and Surplus Requirements - Canadian Life Insurance Companies and Fraternal Benefit Societies (MCCSR). Hyperlink to instructions and updated form: http://www.osfi-bsif.gc.ca/Eng/fi-if/rtn-rlv/fr-rf/ic-sa/lic-sav/Pages/87.aspx	-	Excel & ASCII (.mcc)	February 29, 2016
14. OSFI 87, Minimum Continuing Capital and Surplus Requirements - Canadian Life Insurance Companies and Fraternal Benefit Societies (MCCSR), duly signed . 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 independent auditor's report. Note: Fraternal Benefit Societies must also file a pdf document, according to the above instructions, but need not include the auditor's report.	-	pdf	March 31, 2016
15. Attestation of Compliance of Versions (OSFI-87), duly signed . (The Attestation must be dated and signed further to the issue of the auditor's report) http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	710	pdf	March 31, 2016
16. Appointed actuary's report on the certification of Regulatory Capital Filing.	720	pdf	February 29, 2016
17. Peer Review - MCCSR.	735	pdf	Note 1

Note 1 : 30 days after transmission to the Audit Committee.

**DOCUMENTS TO BE FILED BY INSURERS OF PERSONS
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FOREIGN (Including Fraternal Benefit Societies)	Unstructured Return Code	File Format	Due date
1. LIFE Annual Return, duly signed . The Excel file must contain the duly signed certification by the chief agent in Canada (page 10.002) and the notes to the financial statements, draft version. Hyperlink to instructions and updated form: http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	-	Excel & ASCII (.20a)	February 29, 2016
2. LIFE Annual Return, duly signed . 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, among others, the following documents: <ul style="list-style-type: none"> - Duly signed Certification by the chief agent in Canada (page 10.002) - Duly signed Certification by the President/Chief executive officer (page 10.004) - Annual corporate information (pages 10.010 to 10.012) - Corporate organization chart (page 10.040) - Statement of cash flows (page 20.050) - Notes to the financial statements (page 20.060) - Duly signed independent auditor's report to primary regulator covering pages 20.010 through 20.060 and 60.010 (page 20.070) - Duly signed appointed actuary's Certificate of Opinion (page 20.080) 	-	pdf	May 31, 2016
3. Attestation of Compliance of Versions (LIFE), duly signed . (The Attestation must be dated and signed further to the issue of the auditor's report.) http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	110	pdf	May 31, 2016
4. Classes of insurance, duly signed . (Regulation under the Act respecting insurance)	120	pdf	May 31, 2016
5. Business Plan for the year 2016. The Business Plan should include a forecast of the Balance Sheet and the Income Statement. (New)	190	pdf	February 29, 2016 (New)
6. Audited Statutory Financial Statements of the insurer incorporated abroad and operating via a branch in <u>Canada</u> , duly signed . ("Official" version) (Worldwide)	200	pdf	May 31, 2016
7. Annual report prepared for shareholders or members as soon as possible. (if applicable)	200	pdf	
8. Appointed actuary's report on policy liabilities, including certificate, duly signed .	400	Searchable pdf file	February 29, 2016
9. Excel file containing certain data in appointed actuary's report on policy liabilities.	420	Excel	February 29, 2016
10. Peer review - Appointed actuary's report.	440	pdf	Note 1
11. Dynamic Capital Adequacy Testing - DCAT, duly signed .	500	Searchable pdf file	December 31, 2016
12. Excel File containing certain DCAT data. (The Excel file that must be used will be available on the AMF website at the latest March, 2016) http://www.lautorite.qc.ca/en/actuary-guide-pro.html	510	Excel	December 31, 2016
13. Peer review - DCAT.	520	pdf	Note 1
14. OSFI 86, Test of Adequacy of Assets in Canada and Margin Requirements (TAAM) Foreign Life Insurance Companies and Fraternal Benefit Societies. Hyperlink to instructions and updated form: http://www.osfi-bsif.gc.ca/Eng/fi-if/rtn-rlv/fr-rf/ic-sa/lic-sav/Pages/86.aspx	-	Excel & ASCII (.taa)	February 29, 2016
15. OSFI 86, Test of Adequacy of Assets in Canada and Margin Requirements (TAAM) Foreign Life Insurance Companies and Fraternal Benefit Societies, duly signed . 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 independent auditor's report. Note: Fraternal Benefit Societies must also file a pdf document, according to the above instructions, but need not include the auditor's report.	-	pdf	May 31, 2016
16. Attestation of Compliance of Versions (OSFI-86), duly signed . (The Attestation must be dated and signed further to the issue of the auditor's report.) http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	710	pdf	May 31, 2016
17. Appointed actuary's report on the certification of Regulatory Capital Filing.	720	pdf	February 29, 2016
18. Peer Review - TAAM.	735	pdf	Note 1

Note 1 : 30 days after transmission to the Audit Committee or the Chief Representative in Canada.

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APPENDIX 1

QUEBEC FUNERAL INSURANCE COMPANIES	Unstructured Return Code	File Format	Due date
1. S-20 Annual Return, duly <u>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 <u>must include</u>, among others, the following documents: <ul style="list-style-type: none"> - Annual corporate information required under Sections 205 & 303 of the Quebec Insurance Act (pages 1.1 to 1.4) - Duly signed independent auditor's report to AMF (page 6) - Duly signed appointed actuary's report (page 9) - Duly signed Certification by director's (page 10) 	-	pdf	February 29, 2016
2. S-20 Annual Return. Hyperlink to instructions and updated form: http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	-	Excel	February 29, 2016
3. Attestation of Compliance of Versions (S-20), duly <u>signed</u>. http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	110	pdf	February 29, 2016
4. Annual report or Audited financial statements presented to members, duly <u>signed</u>. ("Official" version)	200	pdf	February 29, 2016
5. Appointed actuary's report on policy liabilities, including certificate, duly <u>signed</u>.	400	Searchable pdf file	February 29, 2016
6. Amended or new reinsurance agreements.	580	pdf	February 29, 2016

**DOCUMENTS TO BE FILED BY REINSURERS OF PERSONS
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APPENDIX 2

QUEBEC	Unstructured Return Code	File Format	Due date
1. LIFE Annual Return. Hyperlink to instructions and updated form: http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	-	Excel & ASCII (.10a)	March 14, 2016
2. LIFE Annual Return, duly signed . 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, among others, the following documents: <ul style="list-style-type: none"> - Duly signed Affidavit verifying Annual Return (page 10.005) - Annual corporate information (pages 10.010 to 10.014) - Corporate organization chart (page 10.040) - Statement of cash flows (page 20.050) - Notes to the financial statements (page 20.060) - Duly signed independent auditor's report to AMF covering pages 20.010 through 20.060 and 60.010 (page 20.070) - Duly signed appointed actuary's Certificate (page 20.085) 	-	pdf	March 14, 2016
3. Attestation of Compliance of Versions (LIFE), duly signed . http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	110	pdf	March 14, 2016
4. Classes of insurance, duly signed . (Regulation under the Act respecting insurance)	120	pdf	March 14, 2016
5. Audited financial statements presented to shareholders or members, duly signed . ("Official" version)	200	Searchable pdf file	March 14, 2016
6. Annual report prepared for shareholders or members as soon as possible. (if applicable)	200	pdf	
7. Financial statements of the insurer, and subsidiaries, affiliates and joint ventures in which the insurer has an ownership interest. (if applicable)	300	pdf	March 14, 2016
8. Appointed actuary's report on policy liabilities, including certificate, duly signed .	400	Searchable pdf file	March 14, 2016
9. Excel file containing certain data in appointed actuary's report on policy liabilities. http://www.lautorite.qc.ca/en/actuary-guide-pro.html	420	Excel	March 14, 2016
10. Peer review - Appointed actuary's report. (if applicable)	440	pdf	Note 1
11. Actuary's review of the method of allocating income and expenses to participating and non-participating business. (section 298.17 of the Act) (if applicable)	450	pdf	March 14, 2016
12. Dynamic Capital Adequacy Testing - DCAT, duly signed . (The updated instructions will be available on the AMF website at the latest March, 2016)	500	Searchable pdf file	December 31, 2016
13. Excel File containing certain DCAT data. (The Excel file will be available on the AMF website at the latest March, 2016) http://www.lautorite.qc.ca/en/actuary-guide-pro.html	510	Excel	December 31, 2016
14. Peer review - DCAT. (if applicable)	520	pdf	Note 1
15. 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 (.qfp)	March 14, 2016
16. QFP disclosure Form on Capital Adequacy Requirements guideline - Life and Health Insurance, duly signed . 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 independent auditor's report. Hyperlink to instructions and updated form: http://www.lautorite.qc.ca/en/capital-adequacy-requirements-pro.html	-	pdf	March 31, 2016
17. Attestation of Compliance of Versions (QFP), duly signed . (The Attestation must be dated and signed further to the issue of the auditor's report.) http://www.lautorite.qc.ca/en/financial-returns-pers-pro.html	710	pdf	March 31, 2016
18. Appointed actuary's report on Capital Adequacy Requirements Guideline, duly signed .	720	pdf	March 14, 2016
19. Peer review - QFP. (if applicable)	735	pdf	Note 1
20. Ethics committee report, duly signed .	760	pdf	February 29, 2016

Note 1 : 30 days after transmission to the Audit Committee.

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4. Classes of insurance, duly signed . (Regulation under the Act respecting insurance)	120	pdf	March 14, 2016
5. Business Plan for the year 2016. The Business Plan should include a forecast of the Balance Sheet and the Income Statement. (New)	190	pdf	March 14, 2016 (New)
6. Audited financial statements presented to shareholders or members, duly signed . ("Official" version)	200	Searchable pdf file	March 14, 2016
7. Annual report prepared for shareholders or members as soon as possible. (if applicable)	200	pdf	
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9. Excel file containing certain data in appointed actuary's report on policy liabilities.	420	Excel	March 14, 2016
10. Peer review - Appointed actuary's report.	440	pdf	Note 1
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2. LIFE Annual Return, duly signed . 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, among others, the following documents: <ul style="list-style-type: none"> - Duly signed Certification by the chief agent in Canada (page 10.002) - Duly signed Certification by the President/Chief executive officer (page 10.004) - Annual corporate information (pages 10.010 to 10.012) - Corporate organization chart (page 10.040) - Statement of cash flows (page 20.050) - Notes to the financial statements (page 20.060) - Duly signed independent auditor's report to primary regulator covering pages 20.010 through 20.060 and 60.010 (page 20.070) - Duly signed appointed actuary's Certificate of Opinion (page 20.080) 	-	pdf	May 31, 2016
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