

## **Notice of the Authority relating to filing of annual returns and other documents for the fiscal year ending December 31, 2017 – Damage (“P&C”) insurers 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”).

In order to modernize its IT systems and maintain secure on-line business solutions for insurers, the **AMF has replaced the File Transfer Service (FTS) with the AMF E-Services.**

Therefore, for any statutory disclosure required for a fiscal year ending December 31, 2017, **electronic filing through the AMF E-Services is mandatory** for all required or requested documents and information.

The Appendices attached to this Notice contain specific AMF requirements for the filing of documents for the fiscal year ending December 31, 2017.

**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 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)* is posted on the AMF website at:

<https://lautorite.qc.ca/en/professionals/insurers/>

### **Electronic submission of financial returns and other documents**

The *Disclosure Guide (Insurers)* explains the procedure for submitting financial returns and other documents via the AMF E-Services and instructions such as the appropriate file naming convention. To consult this guide, access the AMF website at:

<https://lautorite.qc.ca/en/professionals/insurers/>

**Please note that the *Disclosure Guide (Insurers)* does not list the required or requested documents and information and the dates by which they are to be filed.**

### **Further information**

Further information is available by sending an e-mail to [info-divulgations@lautorite.qc.ca](mailto:info-divulgations@lautorite.qc.ca).

December 14, 2017

**DOCUMENTS TO BE FILED BY P&C INSURERS  
LICENSED IN QUEBEC  
FOR FISCAL YEAR ENDING DECEMBER 31, 2017**

**APPENDIX 1**

QUEBEC	Unstructured Return Code	File Format	Due date
1. P&C Annual Return. Hyperlink to instructions and updated form: <a href="https://lautorite.qc.ca/en/professionals/insurers/">https://lautorite.qc.ca/en/professionals/insurers/</a>	-	Excel	February 28, 2018
2. P&C Annual Return, duly signed.  <b>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:</b> <ul style="list-style-type: none"> <li>- Annual corporate information (pages 10.10 to 10.17)</li> <li>- Corporate organization chart (page 10.30)</li> <li>- Statement of cash flows (page 20.52)</li> <li>- Notes to the financial statements (page 20.60)</li> <li>- Duly <b>signed</b> independent auditor's report to AMF covering pages 20.10 through 20.60 (page 20.70)</li> <li>- Duly <b>signed</b> appointed actuary's Certificate of Opinion (page 20.80)</li> <li>- Duly <b>signed</b> Certification by President/Chief Executive Officer (page 99.10)</li> <li>- Duly <b>signed</b> Affidavit verifying Annual Supplement Return (page 99.20)</li> </ul>	-	pdf	February 28, 2018
3. Independent auditor's report on the Minimum Capital Test (MCT), duly signed * if available before February 28, 2018 you must include the report in the pdf version of the P&C Annual Return form.	-	pdf	March, 31 2018
4. Attestation of Compliance of Versions (P&C), duly signed. <a href="https://lautorite.qc.ca/en/professionals/insurers/">https://lautorite.qc.ca/en/professionals/insurers/</a>	110	pdf	February 28, 2018
5. Copy of major letters of credit and confirmations from trustees of deposits held for the account of the insurer reported on page 70.60 of the annual return. These confirmations must include the following or similar wording: "We confirm that we are holding deposits on behalf of (name of insurer) in the amount of \$_____ for the account of (name of reinsurer) as at December 31, 2017." (if applicable)	180	pdf	February 28, 2018
6. Business Plan for the year 2018. The Business Plan should include a forecast of the Balance Sheet, the Income Statement and the Minimum Capital Test. (MCT)	190	pdf	February 28, 2018
7. Audited financial statements presented to shareholders or members, duly signed. ("Official" version)	200	Searchable pdf file	February 28, 2018
8. Annual report prepared for shareholders or members as soon as possible. (if applicable)	200	pdf	
9. Non-consolidated financial statement of the insurer, and subsidiaries, affiliates and joint ventures in which the insurer has an ownership interest. (if applicable)	300	pdf	February 28, 2018
10. Appointed actuary's report on policy liabilities, including certificate, duly signed.	400	Searchable pdf file	February 28, 2018
11. Data from the Unpaid Claims and Loss Ratio Exhibits. <a href="https://lautorite.qc.ca/en/professionals/insurers/">https://lautorite.qc.ca/en/professionals/insurers/</a>	-	Excel	February 28, 2018
12. Peer review - Appointed actuary's report.	440	pdf	<b>Note 1</b>
13. Dynamic Capital Adequacy Testing - DCAT, duly signed. (The updated instructions are available on the AMF website.)	500	Searchable pdf file	May 31, 2018
14. Excel File containing certain DCAT data. (The Excel file is available on the AMF website.) <a href="https://lautorite.qc.ca/en/professionals/insurers/">https://lautorite.qc.ca/en/professionals/insurers/</a>	510	Excel	May 31, 2018
15. Peer review - DCAT. (if applicable)	520	pdf	<b>Note 1</b>
16. Reinsurance coverage notes relating to all reinsurance treaties or arrangements effective in 2018. (if applicable)	590	pdf	February 28, 2018
17. Earthquake Exposure Data Form. <b>(This form must be completed regardless of whether the company has earthquake exposure or not.)</b> <a href="https://lautorite.qc.ca/en/professionals/insurers/">https://lautorite.qc.ca/en/professionals/insurers/</a>	740	Excel	April 15, 2018
18. Ethics committee report.	760	pdf	February 28, 2018

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

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8. Annual report prepared for shareholders or members as soon as possible. (if applicable)	200	pdf	
9. Financial statements of the insurer, and subsidiaries, affiliates and joint ventures in which the insurer has an ownership interest. (if applicable)	300	pdf	February 28, 2018
10. Appointed actuary's report on policy liabilities, including certificate, duly signed.	400	Searchable pdf file	February 28, 2018
11. Data from the Unpaid Claims and Loss Ratio Exhibits. <a href="https://lautorite.qc.ca/en/professionals/insurers/">https://lautorite.qc.ca/en/professionals/insurers/</a>	-	Excel	February 28, 2018
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1. P&C Annual Return. <b>The Excel file must contain the duly signed certification by the chief agent in Canada (page 99.11) and the notes to the financial statements, draft version.</b> Hyperlink to instructions and updated form: <a href="https://lautorite.qc.ca/en/professionals/insurers/">https://lautorite.qc.ca/en/professionals/insurers/</a>	-	Excel	February 28, 2018
2. P&C Annual Return, duly signed. <b>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:</b> <ul style="list-style-type: none"> <li>- Annual corporate information (page 10.10 to 10.16)</li> <li>- Corporate organization chart (page 10.30)</li> <li>- Statement of cash flows (page 20.52)</li> <li>- Notes to the financial statements (page 20.60)</li> <li>- Duly <b>signed</b> independents auditor's report to primary regulator covering pages 20.10 through 20.60 (page 20.70)</li> <li>- Duly <b>signed</b> independent auditor's report on BAAT</li> <li>- Duly <b>signed</b> appointed actuary's Certificate of Opinion (page 20.80)</li> <li>- Duly <b>signed</b> Certification by the chief agent in Canada (page 99.11)</li> <li>- Duly <b>signed</b> Certification by the president/chief executive officer (page 99.15)</li> </ul>	-	pdf	May 31, 2018
3. Attestation of Compliance of Versions (P&C), duly signed. (The Attestation must be dated and signed further to the issue of the auditor's report.) <a href="https://lautorite.qc.ca/en/professionals/insurers/">https://lautorite.qc.ca/en/professionals/insurers/</a>	110	pdf	May 31, 2018
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5. Business Plan for the year 2018. The Business Plan should include a forecast of the Balance Sheet, the Income Statement and the Branch Adequacy of Assets Test. (BAAT)	190	pdf	February 28, 2018
6. Audited Statutory Financial Statements of the insurer incorporated abroad and operating via a branch in Canada, duly <b>signed</b> . ("Official" version) (Worldwide)	200	pdf	May 31, 2018
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 28, 2018
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**Note 1 : 30 days after transmission to the Audit Committee or the Chief Representative in Canada.**

**DOCUMENTS TO BE FILED BY P&C REINSURERS  
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**APPENDIX 2**

QUEBEC	Unstructured Return Code	File Format	Due date
1. P&C Annual Return. Hyperlink to instructions and updated form: <a href="https://lautorite.qc.ca/en/professionals/insurers/">https://lautorite.qc.ca/en/professionals/insurers/</a>	-	Excel	March 14, 2018
2. P&C Annual Return, duly signed. <b>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:</b> <ul style="list-style-type: none"> <li>- Annual corporate information (pages 10.10 to 10.17)</li> <li>- Corporate organization chart (page 10.30)</li> <li>- Statement of cash flows (page 20.52)</li> <li>- Notes to the financial statements (page 20.60)</li> <li>- Duly <b>signed</b> independent auditor's report to AMF covering pages 20.10 through 20.60 (page 20.70)</li> <li>- Duly <b>signed</b> appointed actuary's Certificate of Opinion (page 20.80)</li> <li>- Duly <b>signed</b> Certification by President/Chief Executive Officer (page 99.10)</li> <li>- Duly <b>signed</b> Affidavit verifying Annual Supplement Return (page 99.20)</li> </ul>	-	pdf	March 14, 2018
3. Independent auditor's report on the Minimum Capital Test (MCT), duly signed. * if available before March 14, 2018 you must include the report in the pdf version of the P&C Annual Return form.	-	pdf	March 31, 2018
4. Attestation of Compliance of Versions (P&C), duly signed. <a href="https://lautorite.qc.ca/en/professionals/insurers/">https://lautorite.qc.ca/en/professionals/insurers/</a>	110	pdf	March 14, 2018
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