

Notice of the Authority relating to filing of annual returns and other documents for the fiscal year ending December 31, 2017 – 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").

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.

December 14, 2017

**DOCUMENTS TO BE FILED BY INSURERS OF PERSONS
LICENSED IN QUEBEC
FOR FISCAL YEAR ENDING DECEMBER 31, 2017**

APPENDIX 1

QUEBEC	Unstructured Return Code	File Format	Due date
1. LIFE Annual Return. Hyperlink to instructions and updated form: https://lautorite.qc.ca/en/professionals/insurers/	-	Excel	February 28, 2018
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 28, 2018
3. Attestation of Compliance of Versions (LIFE), duly signed . https://lautorite.qc.ca/en/professionals/insurers/	110	pdf	February 28, 2018
4. Business Plan for the year 2018. The Business Plan should include a forecast of the Balance Sheet and the Income Statement.	190	pdf	February 28, 2018
5. Audited financial statements presented to shareholders or members, duly signed . ("Official" version)	200	Searchable pdf file	February 28, 2018
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 28, 2018
8. Appointed actuary's report on policy liabilities, including certificate, duly signed .	400	Searchable pdf file	February 28, 2018
9. Excel file containing certain data in appointed actuary's report on policy liabilities. https://lautorite.qc.ca/en/professionals/insurers/	420	Excel	February 28, 2018
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 28, 2018
12. Dynamic Capital Adequacy Testing - DCAT, duly signed . (The updated instructions will be available on the AMF website by March, 2018.)	500	Searchable pdf file	December 31, 2018
13. Excel File containing certain DCAT data. (The Excel file will be available on the AMF website by March, 2018.) https://lautorite.qc.ca/en/professionals/insurers/	510	Excel	December 31, 2018
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: https://lautorite.qc.ca/en/professionals/insurers/		Excel	February 28, 2018
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.	-	pdf	March 31, 2018
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.) https://lautorite.qc.ca/en/professionals/insurers/	710	pdf	March 31, 2018
18. Appointed actuary's report on Capital Adequacy Requirements Guideline, duly signed .	720	pdf	February 28, 2018
19. Peer review - QFP. (if applicable)	735	pdf	Note 1
20. Ethics committee report, duly signed .	760	pdf	February 28, 2018

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

**DOCUMENTS TO BE FILED BY INSURERS OF PERSONS
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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 28, 2018
8. Excel file (Non-Quebec charter) containing certain data in appointed actuary's report on policy liabilities. (The Excel file is available on the AMF website.) https://lautorite.qc.ca/en/professionals/insurers/	410	Excel	February 28, 2018
9. Excel file containing certain data in appointed actuary's report on policy liabilities. (The Excel file that you will submit to your primary regulator.)	420	Excel	February 28, 2018
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, 2018
12. Excel File containing certain DCAT data. (The Excel file that must be used will be available on the AMF website by March, 2018.) https://lautorite.qc.ca/en/professionals/insurers/	510	Excel	December 31, 2018
13. Peer review - DCAT.	520	pdf	Note 1
14. OSFI 87, Minimum Continuing Capital and Surplus Requirements - Canadian Life Insurance Companies and Fraternal Benefit Societies (MCCSR).	-	Excel	February 28, 2018
15. 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, 2018
16. 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.) https://lautorite.qc.ca/en/professionals/insurers/	710	pdf	March 31, 2018
17. Appointed actuary's report on the certification of Regulatory Capital Filing.	720	pdf	February 28, 2018
18. Peer Review - MCCSR.	735	pdf	Note 1

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

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FOREIGN (Including Fraternal Benefit Societies)	Unstructured Return Code	File Format	Due date
1. LIFE Annual Return. 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, <u>draft version</u>. Hyperlink to instructions and updated form: https://lautorite.qc.ca/en/professionals/insurers/	-	Excel	February 28, 2018
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 <u>must include</u>, among others, the following documents: - 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, 2018
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.) https://lautorite.qc.ca/en/professionals/insurers/	110	pdf	May 31, 2018
4. Business Plan for the year 2018. The Business Plan should include a forecast of the Balance Sheet and the Income Statement.	190	pdf	February 28, 2018
5. Audited Statutory Financial Statements of <u>the insurer incorporated abroad and operating via a branch in Canada</u> , duly signed . ("Official" version) (Worldwide)	200	pdf	May 31, 2018
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 28, 2018
8. Excel file (Non-Quebec charter) containing certain data in appointed actuary's report on policy liabilities. (The Excel file is available on the AMF website.) https://lautorite.qc.ca/en/professionals/insurers/	410	Excel	February 28, 2018
9. Excel file containing certain data in appointed actuary's report on policy liabilities. (The Excel file that you will submit to your primary regulator.)	420	Excel	February 28, 2018
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, 2018
12. Excel File containing certain DCAT data. (The Excel file that must be used will be available on the AMF website by March, 2018.) https://lautorite.qc.ca/en/professionals/insurers/	510	Excel	December 31, 2018
13. Peer review - DCAT.	520	pdf	Note 1
14. OSFI 86, Test of Adequacy of Assets in Canada and Margin Requirements - Foreign Life Insurance Companies and Fraternal Benefit Societies (TAAM).	-	Excel	February 28, 2018
15. OSFI 86, Test of Adequacy of Assets in Canada and Margin Requirements - Foreign Life Insurance Companies and Fraternal Benefit Societies (TAAM), 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, 2018
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.) https://lautorite.qc.ca/en/professionals/insurers/	710	pdf	May 31, 2018
17. Appointed actuary's report on the certification of Regulatory Capital Filing.	720	pdf	February 28, 2018
18. Peer Review - TAAM.	735	pdf	Note 1

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

**DOCUMENTS TO BE FILED BY INSURERS OF PERSONS
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APPENDIX 1

QUEBEC FUNERAL INSURANCE COMPANIES	Unstructured Return Code	File Format	Due date
<p>1. S-20 Annual Return, duly signed.</p> <p>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:</p> <ul style="list-style-type: none"> - Annual corporate information required under Sections 205 & 303 of the Quebec Insurance Act (pages 0100 to 0140) - Duly signed independent auditor's report to AMF (page 0600) - Duly signed appointed actuary's report (page 0900) - Duly signed Certification by director's (page 1000) 	-	pdf	February 28, 2018
<p>2. S-20 Annual Return.</p> <p>Hyperlink to instructions and updated form: https://lautorite.qc.ca/en/professionals/insurers/</p>	-	Excel	February 28, 2018
<p>3. Attestation of Compliance of Versions (S-20), duly signed. https://lautorite.qc.ca/en/professionals/insurers/</p>	110	pdf	February 28, 2018
<p>4. Annual report or Audited financial statements presented to members, duly signed. ("Official" version)</p>	200	pdf	February 28, 2018
<p>5. Appointed actuary's report on policy liabilities, including certificate, duly signed.</p>	400	Searchable pdf file	February 28, 2018
<p>6. Amended or new reinsurance agreements.</p>	580	pdf	February 28, 2018

**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: https://lautorite.qc.ca/en/professionals/insurers/	-	Excel	March 14, 2018
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, 2018
3. Attestation of Compliance of Versions (LIFE), duly signed . https://lautorite.qc.ca/en/professionals/insurers/	110	pdf	March 14, 2018
4. Business Plan for the year 2018. The Business Plan should include a forecast of the Balance Sheet and the Income Statement.	190	pdf	March 14, 2018
5. Audited financial statements presented to shareholders or members, duly signed . ("Official" version)	200	Searchable pdf file	March 14, 2018
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, 2018
8. Appointed actuary's report on policy liabilities, including certificate, duly signed .	400	Searchable pdf file	March 14, 2018
9. Excel file containing certain data in appointed actuary's report on policy liabilities. https://lautorite.qc.ca/en/professionals/insurers/	420	Excel	March 14, 2018
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, 2018
12. Dynamic Capital Adequacy Testing - DCAT, duly signed . (The updated instructions will be available on the AMF website by March, 2018.)	500	Searchable pdf file	December 31, 2018
13. Excel File containing certain DCAT data. (The Excel file will be available on the AMF website by March, 2018.) https://lautorite.qc.ca/en/professionals/insurers/	510	Excel	December 31, 2018
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18. Appointed actuary's report on Capital Adequacy Requirements Guideline, duly signed .	720	pdf	March 14, 2018
19. Peer review - QFP. (if applicable)	735	pdf	Note 1
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