

## **Notice of the Authority relating to filing of the interim return and other documents for the half year ending April 30, 2018 – 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 E-Services.**

See Appendix attached to this Notice concerning specific AMF requirements for the filing of April 30, 2018.

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

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

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

The *E-Services Disclosure Guide (Insurers)* explains the procedure for submitting financial returns and other documents via the AMF E-Services and gives 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 *E-Services 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).

April 26, 2018

**INSURERS OF PERSONS  
LICENSED IN QUEBEC  
WITH AN OCTOBER 31 YEAR-END  
DOCUMENTS REQUIRED FOR THE HALF YEAR ENDING APRIL 30, 2018**

**APPENDIX**

<b>FEDERAL AND EXTRA-PROVINCIAL (Including Fraternal Benefit Societies)</b>	<b>Unstructured Return Code</b>	<b>File Formats</b>	<b>Due date</b>
1. LIFE 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	June 14, 2018
2. LIFE Interim Return.	-	Excel	June 14, 2018
3. Attestation of Compliance of Versions - Interim Return, <u>duly signed</u> . <a href="https://lautorite.qc.ca/en/professionals/insurers/disclosures/insurance-of-persons-life-and-health/">https://lautorite.qc.ca/en/professionals/insurers/disclosures/insurance-of-persons-life-and-health/</a>	110	pdf	June 14, 2018
4. Life Insurance Capital Adequacy Test (LICAT), <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	June 14, 2018 *Extension: <b>July 5, 2018</b>
5. Life Insurance Capital Adequacy Test (LICAT)	-	Excel	June 14, 2018 *Extension: <b>July 5, 2018</b>
6. Attestation of Compliance of Versions (LICAT), <u>duly signed</u> . <a href="https://lautorite.qc.ca/en/professionals/insurers/disclosures/insurance-of-persons-life-and-health/">https://lautorite.qc.ca/en/professionals/insurers/disclosures/insurance-of-persons-life-and-health/</a>	710	pdf	June 14, 2018 *Extension: <b>July 5, 2018</b>

\*An extension to the filing of the LICAT related documents has been allowed. Insurers are encouraged to submit these documents within the normal deadlines, if feasible, or as soon as possible after the normal due dates. Insurers opting to file these documents after normal due dates are required to submit the pro-forma capital ratios and their components (i.e. available capital/available margin, surplus allowance, eligible deposits and solvency buffer). For the submission of this information, you must use the appropriate disclosure schedule, available in the SEL, by selecting the box "Other documents".