

Notice relating to the filing of the interim return and other documents for the six months ending April 30, 2021 – Insurers of persons («life and health insurers») authorized to carry on activities in Quebec

Under the *Insurers Act*, CQLR, c. A-32.1 (the «Act»), every authorized insurer must prepare and send the *Autorité des marchés financiers* (the «AMF») according to the form, content and date the AMF determines, the documents and information provided under the Act or requested by the AMF (the «required documents and information»).

All required documents and information must be filed electronically via AMF E-Services.

See Appendices attached to this Notice detailing specific requirements for the documents to be filed for the six months ending April 30, 2021.

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

Monetary administrative penalties

We remind you that each insurer is responsible for ensuring that the AMF receives, on the dates it determines, all required documents and information.

Pursuant to sections 491 and following of the Act, monetary administrative penalties may be imposed if an authorized insurer fails to send the required documents and information to the AMF or if they are incomplete or filed late or if it refuses to communicate or provide access to the documents.

Electronic submission of financial returns and other documents

The *E-Services Disclosure Guide (Insurers)* explains the procedure for submitting files via AMF E-Services and provides instructions for, among other things, naming files.

The guide is available on the AMF website at:

<https://lautorite.qc.ca/en/professionals/insurers/disclosures/insurance-of-persons-life-and-health/>

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

Further information:

For further information send an e-mail to Info-Divulgations@lautorite.qc.ca.

April 22, 2021

**INSURERS AND REINSURERS OF PERSONS
AUTHORIZED TO CARRY ON ACTIVITIES IN QUEBEC
DOCUMENTS REQUIRED FOR THE SIX MONTHS ENDING APRIL 30, 2021**

QUEBEC CHARTER

APPENDIX 1

Business corporation, Mutual Company, Mutual benefit association	Return Code	File Format	<u>Deadline</u> Number of days following the end of the semester
1. LIFE Interim Return, <u>duly signed</u> . The PDF file must be complete, in printable format, and conform with the version kept on file at the insurer's premises.	-	PDF	45 days
2. LIFE Interim Return.	-	Excel	45 days
3. Attestation of Compliance of Versions - Interim Return, <u>duly signed</u> . https://lautorite.qc.ca/en/professionals/insurers/disclosures/insurance-of-persons-life-and-health/(Forms and instructions)	110	PDF	45 days
4. Capital Adequacy Requirements - Life and Health Insurance (CARLI), <u>duly signed</u> . The PDF file must be complete, in printable format, and conform with the version kept on file at the insurer's premises.	-	PDF	45 days
5. Capital Adequacy Requirements - Life and Health Insurance (CARLI)	-	Excel	45 days
6. Attestation of Compliance of Versions (CARLI), <u>duly signed</u> . https://lautorite.qc.ca/en/professionals/insurers/disclosures/insurance-of-persons-life-and-health/(Forms and instructions)	710	PDF	45 days

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CANADIAN CHARTER

APPENDIX 2

Business corporation, Mutual Company, Mutual benefit association	Return Code	File Format	<u>Deadline</u> Number of days following the end of the semester
1. LIFE Interim Return, <u>duly signed</u>. The PDF file must be complete, in printable format, and conform with the version kept on file at the insurer's premises.	-	PDF	45 days
2. LIFE Interim Return.	-	Excel	45 days
3. Attestation of Compliance of Versions - Interim Return, <u>duly signed</u>. https://lautorite.qc.ca/en/professionals/insurers/disclosures/insurance-of-persons-life-and-health/(Forms and instructions)	110	PDF	45 days
4. Life Insurance Capital Adequacy Test (LICAT), <u>duly signed</u>. The PDF file must be complete, in printable format, and conform with the version kept on file at the insurer's premises.	-	PDF	45 days
5. Life Insurance Capital Adequacy Test (LICAT)	-	Excel	45 days
6. Attestation of Compliance of Versions (LICAT), <u>duly signed</u>. https://lautorite.qc.ca/en/professionals/insurers/disclosures/insurance-of-persons-life-and-health/(Forms and instructions)	710	PDF	45 days