

**Tennessee Captive Insurer Supplemental Annual Report  
(RRGs only)  
2019 Oversight Document Checklist**

Please certify that the following documents are current as filed with the Captive Insurance Section, are new (and attached), or are not applicable, at this time for:

\_\_\_\_\_ .  
*Captive Insurance Company name*

<b>REQUIRED DOCUMENTS</b>	<b>Current as FILED</b>	<b>NEW</b>	<b>N/A</b>
1. Executed agreement between owner and captive manager.			
2. Executed agreement with audit firm.*			
3. Executed agreement with actuarial firm.*			
4. Executed agreements with any other service provider in excess of \$5,000 per year.			
5. A copy of all policies issued by captive.			
6. Minutes and resolutions of all board meetings.			
7. Executed reinsurance and/or pooling agreement.			
8. Statement of investment policy.			
9. Code of ethics and certificate of acknowledgement by owners.			
10. Conflict of interest policy statement & owner's certificate of acknowledgement.			

To the best of my knowledge, the above documents have either been filed with the Captive Insurance Section (and no changes have been made), are attached hereto, or are not applicable.

\_\_\_\_\_ .  
Captive Manager

\_\_\_\_\_ .  
Date

**\*Note:** Companies that elect to **not** perform annual audits and actuarial reviews may be subject to accelerated examination dates.

**Direct Economic Impact of Tennessee Captive Insurance  
Companies Calendar Year 2019  
Tennessee Expenditures**

<b>Premium Taxes Paid to Tennessee</b>	
<b>Other Tennessee Expenditures</b>	
1. Rent	
2. Legal Services	
3. Actuarial Services	
4. Accounting Services	
5. Audit Services	
6. TPA Services	
7. Investment Advisory Services	
8. Captive Management Fees	
9. Director Fees	
10. Banking Fees (Including LOC Fees)	
11. Equipment Purchases	
12. Miscellaneous Tennessee Expenditures	
13. Subtotal Other Tennessee Expenditures	
<b>14. Total Tennessee Expenditures</b>	

**Management and Lodging**

15. Tennessee Payroll	
16. Full-Time Employees in Tennessee	
17. Percentage of Captive Management Performed in Tennessee	
18. Number of Person Days Spent in Tennessee	
19. Total Hotel Room Nights in Tennessee	
20. Number of Days of Conference Meeting Space in Tennessee	
21. Number of Meals in Tennessee	

**Cash and Invested Assets Held in Tennessee**

22. Total value of LOC with Tennessee Banks	
23. Cash (Including depository agreements, checking/saving accounts, CDs, cash equivalents)	
24. Investments (include bonds, stocks, mutual funds, U.S. treasuries)	
25. Other Invested Assets (include real estate, mortgage loans, etc.)	
<b>26. Total year end deposit balances in Tennessee financial institutions</b> (includes initial capitalization (LOCs & depository agreements), plus premiums and surplus)	

*To the best of my knowledge, the above amounts have been identified as Tennessee expenditures and may be used to report to the Governor or any economic impact survey generated on behalf of the Captive Section.*

\_\_\_\_\_  
Captive Manager

\_\_\_\_\_  
Captive Insurance Company name