## GENERAL INTERROGATORIES

### PART 1 – COMMON INTERROGATORIES

#### GENERAL

1. **Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act?**
   
   Yes [ ] No [ ]

2. **If yes, has the report been filed with the domiciliary state?**
   
   Yes [ ] No [ ]

3. **Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity?**
   
   Yes [ ] No [ ]

4. **If yes, what are the reasons for the change?**
   
   Yes [ ] No [ ]

5. **Has the reporting entity been a party to a merger or consolidation during the period covered by this statement?**
   
   Yes [ ] No [ ]

6. **If yes, provide the name of entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.**

<table>
<thead>
<tr>
<th>1</th>
<th>Name of Entity</th>
<th>2</th>
<th>NAIC Company Code</th>
<th>3</th>
<th>State of Domicile</th>
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5. **If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved?**
   
   Yes [ ] No [ ] N/A [ ]

6. **State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity.**
   
   ________________

7. **State the as of date that the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity.**
   
   ________________

8. **Have there been any substantial changes in the organizational chart since the prior quarter end?**
   
   Yes [ ] No [ ]

9. **If the response to 3.2 is yes, provide a brief description of those changes.**
   
   Yes [ ] No [ ]

10. **Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments?**
    
    Yes [ ] No [ ] N/A [ ]

11. **Have all of the recommendations within the latest financial examination report been complied with?**
    
    Yes [ ] No [ ] N/A [ ]

12. **Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board?**
    
    Yes [ ] No [ ]

13. **If yes, provide the name of entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.**

14. **State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity.**
    
    ________________

15. **State the as of date that the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity.**
    
    ________________

16. **Is the reporting entity publicly traded or a member of a publicly traded group?**
    
    Yes [ ] No [ ]

17. **If the response to 3.4 is yes, provide the CIK (Central Index Key) code issued by the SEC for the entity/group.**
    
    ____________________________

18. **If yes, state the as of what date the latest financial examination of the reporting entity was made or is being made.**
    
    ________________

19. **If yes, have the recommendations within the latest financial examination report been complied with?**
    
    Yes [ ] No [ ]

20. **If yes, state the as of what date the latest financial examination report became available from either the state of domicile or the reporting entity.**
    
    ________________

21. **If yes, provide the name of entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.**

22. **State the as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity.**
    
    ________________

23. **Have there been any substantial changes in the organizational chart since the prior quarter end?**
    
    Yes [ ] No [ ]

24. **If the response to 3.2 is yes, provide a brief description of those changes.**
    
    Yes [ ] No [ ]

25. **Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments?**
    
    Yes [ ] No [ ] N/A [ ]

26. **Have all of the recommendations within the latest financial examination report been complied with?**
    
    Yes [ ] No [ ] N/A [ ]

27. **Is the company affiliated with one or more banks, thrifts or securities firms?**
    
    Yes [ ] No [ ]

28. **If yes, please provide the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate’s primary federal regulator.**

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<tr>
<th>1</th>
<th>Affiliate Name</th>
<th>2</th>
<th>Location (City, State)</th>
<th>3</th>
<th>FRB</th>
<th>4</th>
<th>OCC</th>
<th>5</th>
<th>FDIC</th>
<th>6</th>
<th>SEC</th>
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29. **If yes, state the as of what date the latest financial examination report became available from either the state of domicile or the reporting entity.**
    
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30. **If yes, provide the name of entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.**

31. **State the as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity.**
    
    ________________

32. **Have there been any substantial changes in the organizational chart since the prior quarter end?**
    
    Yes [ ] No [ ]

33. **If the response to 3.2 is yes, provide a brief description of those changes.**
    
    Yes [ ] No [ ]