



**STATE OF NEW YORK
INSURANCE DEPARTMENT**
25 BEAVER STREET
NEW YORK, NEW YORK 10004

**Circular Letter No. 38 (1999)
December 27, 1999**

TO: All Licensed Hospital, Medical, and Dental Service or Indemnity Article 43 Corporations and Public Health Law Article 44 Health Maintenance Organizations

RE: New York Supplements to the Annual Statement and Quarterly Statement Electronic Filing Requirements

The New York State Insurance Department (Department) is committed to the concept of electronic filing of insurer financial statements. The Department supports the NAIC's Financial Database Re-engineering (FDR) project for both the electronic filing and collection of insurer financial statement information. The primary objectives of the FDR project are to meet or exceed business requirements not currently being met; improve the flexibility, efficiency and cost effectiveness of current financial reporting systems; and reduce the cost of regulatory compliance in the area of financial reporting.

This Letter confirms the Department's commitment to electronic filing by adopting important changes in regard to electronic filing with the Department for the New York Supplement and Data Requirements. Electronic Filing for New York Supplements follow the standards set forth by the NAIC's FDR project. Filing requirements under FDR include the submission of a data file that contains financial information and an Adobe Acrobat (PDF) file which contains an electronic representation of the printed statement.

Several commercial software vendors offer personal computer-based software packages to facilitate your compliance with this filing requirement. Sets of the detailed specifications are required only by those insurers intent upon developing their own computer software. Questions about FDR requirements for the New York Supplement and Data Requirements should be directed to Mr. Robert Kerrigan at (212) 480-2333.

The complete set of instructions and statement blanks for the filing of New York Supplement and Data Requirements are available at <http://www.ins.state.ny.us/mailling.htm>.

Effective with the 1999 New York Supplement to the Annual Statement filing due March 1, 2000, all captioned Article 43 Corporations that file their New York Supplement to Hospital, Medical & Dental Services or Indemnity Annual Statement blank pursuant to Section 307 or 308 of the New York Insurance Law are required to submit in addition to their New York Supplement in hard copy, the Supplement in electronic format.

Effective with the 1999 Data Requirements for Health Maintenance Organizations (a.k.a. 1999 Data Requirements) due April 1, 2000, all captioned Public Health Law Article 44 HMO's that file their Data Requirement blank pursuant to the New York Public Health Law and Regulations and Section 308 of the New York Insurance Law are required to submit, in addition to their Data Requirements in hard copy, the Data Requirements in electronic format.

Effective with the 1st Quarter New York Supplement and Data Requirements due May 15, 2000, all captioned insurers and HMOs are required to file their quarterly New York Supplement Statements and Data Requirements in electronic format in addition to hard copy.

DUE DATES & MAILING ADDRESSES FOR HMDI INSURER FILINGS					
TYPE	DUE DATE	HARD COPIES	DISKETTE COPY	WHERE TO FILE HARD COPIES	WHERE TO FILE DISKETTE COPY**
HMDI Annual Statement Blank	3/1/2000	2	1		

				Insurance Regulatory System Bureau New York State Insurance Department Empire State Plaza, Agency Building 1, 3rd Floor Albany, NY 12257	Ms Karen Gervais New York State Insurance Department Empire State Plaza, Agency Building 1, 3rd Floor Albany, NY 12257
HMDI NY Supplement	3/1/2000	2	1		
HMDI March NAIC Quarterly HMDI June NAIC Quarterly HMDI September NAIC Quarterly	5/15/2000 8/15/2000 11/15/2000	2 2 2	1 1 1		
HMDI March NY Quarterly HMDI June NY Quarterly HMDI September NY Quarterly	5/15/2000 8/15/2000 11/15/2000	2 2 2	1 1 1	Ms Mary Lee Kreuter New York State Insurance Department Health Bureau 25 Beaver Street 2nd Floor New York, NY 10004-2319	Ms Karen Gervais New York State Insurance Department Empire State Plaza, Agency Building 1, 3rd Floor Albany, NY 12257

DUE DATES & MAILING ADDRESSES FOR HMO INSURER FILINGS					
TYPE	DUE DATE	HARD COPIES	DISKETTE COPY	WHERE TO FILE HARD COPIES	WHERE TO FILE DISKETTE COPY**
HMO Annual Statement	4/1/2000	2	1		
Data Requirements For Health Maintenance Organization	4/1/2000	2	1	Insurance Regulatory System Bureau New York State Insurance Department Empire State Plaza, Agency Building 1, 3rd Floor Albany, NY 12257	Ms Karen Gervais New York State Insurance Department Empire State Plaza, Agency Building 1, 3rd Floor Albany, NY 12257
HMO March NAIC Quarterly HMO June NAIC Quarterly HMO September NAIC Quarterly	5/15/2000 8/15/2000 11/15/2000	2 2 2	1 1 1		
HMO March NY Quarterly HMO June NY Quarterly HMO September NY Quarterly	5/15/2000 8/15/2000 11/15/2000	2 2 2	1 1 1	Ms Mary Lee Kreuter New York State Insurance Department Health Bureau 25 Beaver Street 2nd Floor New York, NY 10004-2319	Ms Karen Gervais New York State Insurance Department Empire State Plaza, Agency Building 1, 3rd Floor Albany, NY 12257

**Certain Diskette Filings may be accepted over the internet in lieu of diskette filing beginning with filings due on March 1, 2000 and April 1, 2000. Instructions will be forthcoming.

Note: In addition, two copies of both the annual and quarterly NAIC statements and the annual and quarterly Data Requirements should be filed with the Department of Health, one to each of the following:

Patricia Kutel, Assistant Director
Bureau of Managed Care Financing
New York State Department of Health
Empire State Plaza
Tower Building — Room 1970
Albany, New York 12237

Patrick Roohan, Director
Bureau of Quality Management and Outcomes Research
New York State Department of Health
Empire State Plaza
Tower Building — Room 1938
Albany, New York 12237

Charles Henricks
Chief Insurance Examiner
Health Bureau

