Decoding the Financial Statement PDF File Naming Convention

The file naming convention and terminology are designed by the National Association of Insurance Commissioners (NAIC).

1) The file name can vary in length but will have a suffix extension of "**.PDF**".

2) The file name to the left of the "**.PDF**" extension consists of the following fields, which are delimited by an underscore ("_") character. The letters are not case-sensitive.

3) The general form of the file name is **ccccc_vc_s_yyyy_f_d_vv_sa_ss_fb_p.PDF**

Field	Meaning	Field Number (shown solely to help decode)
ccccc	Company code (a unique five-digit number assigned by the NAIC).	1
vc	Vendor code. Identifies which vendor created the software for preparing the files. The code number is assigned by the NAIC, but it is not important for viewing purposes.	2
s	Statement code. This identifies the type of financial statement, which may be different from the business type of the company.	3
	Code — Statement Type	
	F — Fraternal	
	L — Life, Accident, and Health	
	P — Property and Casualty	
	T — Title	
	X — Health	
yyyy	**Year of the data**	4
f	Filing code.	5
	Code — Meaning	
	O — Original filing	
	A — Amendment filing—contains pages that supercede the original filing.	
	R — Refiling (should not appear since they are specific to the needs of the NAIC)	
d	Data group code.	6
	Code — Meaning	
	M — March (the **ANNUAL financial statement** and supplements)	
	A — April (the annual statement **supplements** that are due April 1)	
	J — June (The **AUDITED financial statements** and supplements)	
	1, 2 or 3 — Show which **quarter** the financial statements include.	
	C — Combined statement (property / casualty only)	
	S — Separate Accounts—applicable only to certain Life and Fraternal companies	
v v	Filing version number. Will be the same as the version number on the ZIP file.	7
sa	Separate Account ID. Zero unless the Submission Group Code is "S". Used to distinguish between a company's different separate account filings, if applicable.	8

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ss	State Supplement Code. Used along with the Filing BLOB code.		**9**
	Code	Meaning	
	NA	The NAIC has created a uniform filing code for the document.	
	WA	A Washington-only filing.	
fb	Filing BLOB type code (the meaning of BLOB is not relevant to viewing).		**10**
	Code	Meaning	
	Uniform codes assigned by the NAIC (State Supplement Code NA):		
	Annual Statement (the M group type code) (The S group type also uses PK, PI and PO)		
	PI	Investment Annual Statement Schedules	
	PK	Key Annual Statement Schedules (**this contains the main financial statements and exhibits)**	
	PO	Other Annual Statement Schedules	
	PR	Reinsurance Attestation Supplement—may apply to property and casualty	
		Actuarial documents:	
	PA	Statement Of Actuarial Opinion	
	PB	Reasonableness of Assumptions Actuarial Certification—may apply to Life and Fraternal	
	PC	Reasonableness and Consistency of Assumptions Actuarial Certification—may apply to Life and Fraternal	
	PD	Reasonableness of Assumptions Actuarial Certification for Implied Guaranteed Rate Method—may apply to Life and Fraternal	
	PE	Reasonableness and Consistency of Assumptions Actuarial Certification (Updated Average Market Value)—may apply to Life and Fraternal	
	PG	Reasonableness and Consistency of Assumptions Actuarial Certification (Updated Market Value)—may apply to Life and Fraternal	
	PN	Statement Of Non-Guaranteed Elements—may apply to Life and Fraternal	
	PP	Actuarial Opinion on Participating and Non-Participating Policies—may apply to Life and Fraternal	
	April Supplements (in the A group type code)		
	P	Statement	
	PM	Management's Discussion and Analysis	
	PH	Accident and Health Policy Experience Exhibit	
	Quarterly Statements and **Combined Statements** (the 1, 2, 3 and C group type codes)		
	P	Statement	
	Quarterly Statements might also have a PB, PC, PD, PE or PG. See the Annual Statement.		
	Audited Financial Statement (in the J group type code)		
	PF	Audited Financial Statements	
	Codes assigned by the state of Washington (State Supplement Code WA):		
	Annual Statement Supplements (in the M group type code)		
	PC	Supplemental Compensation Exhibit	
	PD	Additional Data Statement Form (HCSCs, HMOs and MEWAs only)	

	PU	The RCW 48.43.045(2) report (not necessary if the entity files a Supplemental Compensation Exhibit)	
	PY	Schedule SIS (Stockholder Information Supplement; filed only if the company has 100 or more stockholders)	
	April Supplements (in the A group type code)		
	PT	Business Written by Agency (Title only)	
	Audited Financial Statements Supplements (in the J group type code)		
	PE	CPA report on significant internal control deficiencies	
	PQ	CPA qualifications letter	
p	The public disclosure indicator added by the OIC during processing of a company's filing.		**11**
	Code	Meaning	
	N	Designated as containing public information	
	S	May contain non-public or personal information	
.PDF	The file name extension identifies the file as a PDF file.		

Examples of how to decode the field information:

65105_10_x_2007_o_m_1_0_na_pa_n.pdf
1. 65105 = the NAIC company code for LifeWise Health Plan of Arizona.
2. 10 = (not important for viewing purposes.)
3. X = a Health financial statement.
4. 2007 = contains data for 2007.
5. O = is an Original filing.
6. M = the March submission group.
7. 1 = the version number (a unique number).
8. 0 = not a Separate Account filing.
9. NA = a uniform NAIC document.
10. PA = the **Statement of Actuarial Opinion**.
11. N = designated as a public document.

65105_10_X_2007_O_M_1_0_NA_PI_N.PDF
   Fields 1 through 9 and 11 are the same as above. The PI in field 10 = the **Investment schedules** of the annual statement.

65105_10_x_2007_o_m_1_0_na_pk_n.pdf
   Fields 1 through 9 and 11 are the same as above. The PK in field 10 = the **Key schedules** of the annual statement.

65105_10_X_2007_O_M_1_0_NA_PO_N.PDF
   Fields 1 through 9 and 11 are the same as above. The PO in field 10 = the **Other schedules** of the annual statement.

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50970_13_t_2007_o_j_1_00_na_pf_n.pdf
1. 50970 = the NAIC company code for Pacific Northwest Title Insurance Company.
2. 13 = (not important for viewing purposes.)
3. T = a Title financial statement.
4. 2007 = contains data for 2007.
5. O = an Original filing.
6. J = the June submission group.
7. 1 = the version number.
8. 00 = not a Separate Accounts filing.
9. NA = a uniform NAIC document.
10. PF = the **Audited Financial Statements**.
11. N = designated as a public document.

40738_10_P_2007_O_M_1_0_NA_PR_N.PDF
1. 40738 = the NAIC company code for Physicians Insurance A Mutual Company.
2. 10 = (not important for viewing purposes.)
3. P = a Property / Casualty financial statement.
4. 2007 = contains data for 2007.
5. O = an Original filing.
6. M = the March submission group.
7. 1 = the version number.
8. 0 = not a Separate Accounts filing.
9. NA = a uniform NAIC document.
10. PR = the **Reinsurance Attestation Supplement**.
11. N = designated as a public document.

68608_10_L_2008_O_1_1_0_NA_PC_N.PDF
1. 68608 = the NAIC company code for Symetra Life Insurance Company.
2. 10 = (not important for viewing purposes.)
3. L = a Life financial statement.
4. 2008 = contains data for 2008.
5. O = an Original filing.
6. 1 = a first quarter filing (combine with the data year to know it's March 31, 2008).
7. 1 = the version number.
8. 0 = not a Separate Accounts filing.
9. NA = a uniform NAIC document.
10. PC = the **Reasonableness and Consistency of Assumptions Actuarial Certification**.
11. N = designated as a public document.

96270_07_X_2007_O_M_1_0_WA_PD_N.PDF
1. 96270 = the NAIC company code for Molina Healthcare of Washington, Inc.
2. 07 = (not important for viewing purposes.)
3. X = a Health financial statement
4. 2007 = contains data for 2007.
5. O = an Original filing.
6. M = the March submission group.
7. 1 = the version number.
8. 0 = not a Separate Account filing.
9. WA = a Washington-only document.
10. PD = the **Additional Data Statement Form.**
11. N = designated as a public document.