

**PERIODIC REPORTS  
FOR MEDICARE ADVANTAGE AND PRESCRIPTION DRUG PLANS  
LINES OF BUSINESS  
(INCLUDING PLAN TO PLAN CONTRACTS) †**

Description of Report	Periodic - Frequency	Periodic - Due Date	Event-Driven	Citation
Audit Report – Requested			Within 90 days of the receipt of a request from the Director	1384(a)
Audit Report - Surrender			Within 105 days of a notice of surrender or order of revocation	1384(b)
Charitable or Public Activity Report			Upon occurrence of certain specified events	1300.84.7
Charitable Trust Obligation Report			Upon conversion or restructure	1399.70
Enrollment Report	Annual	May 15		1300.84.6
Federally Qualified HMOs	Annual	Not Specified		1383
Financial Report	Quarterly	Within 45 days of the close of each quarter		1300.84.2
Financial Statement-Annual	Annual	Within 120 days of close of fiscal year		1384(c); 1300.84.06
Non-Contracting Provider Reimbursement Report			If payment to non-contracting providers exceeds 10% of total health care costs	1377(b); 1377(c); 1300.77.3
Point-of-Service Failure to Meet TNE Requirements Financial Reports			Within 30 days of the close of any month in which the plan does not meet minimum TNE requirements	1374.64(b)(1)(A)(ii); 1374.64(b)(2)(A)(ii); 1300.84.3(d)
Risk-Bearing Organization Report-Annual	Annual	May 15		1375.4(b)(6); 1300.75.4.3(b)
Risk-Bearing Organization Report-Quarterly	Quarterly	Within 45 days of the close of each quarter		1375.4(b)(6); 1300.75.4.3(a)
TNE Requirements Failure Financial Report			Within 30 days of the close of any month in which the plan does not meet minimum TNE requirements	1300.84.3(d)

† These periodic reports are required by DMHC statute and/or regulations. This listing does not include entries for reports that a plan must file with the DMHC as a result of amendments, material modifications, or undertakings.