

**Office of Insurance Regulation**  
*Specialty Product Administration*

**FLORIDA COMPANY  
CODE:**

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**FEDERAL EMPLOYER  
IDENTIFICATION NUMBER:**

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**SALES AND FINANCIAL REPORT  
FOR A NON-OPERATIONAL FACILITY**

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(Continuing Care Provider)

**TO THE  
OFFICE OF INSURANCE REGULATION  
OF THE  
STATE OF FLORIDA**

Specialty Product Administration  
200 East Gaines Street  
Tallahassee, FL 32399 - 0331

**FOR PERIOD ENDED**

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**GENERAL INFORMATION AND INSTRUCTIONS**

1. Financial statements must be prepared in accordance with generally accepted accounting principles and as prescribed in the Florida Statutes.
2. The Balance Sheet, Statement of Operations and the Statement of Cash flows must be prepared based on year-end amounts.
3. All terms used in this report will have their general meaning except where specific statutory language applies under the applicable provisions of the Florida Insurance Code.
4. This form is submitted electronically. Adobe Reader version 7.0.5 or higher is required. If you do not have that version, please upgrade at <http://www.adobe.com> prior to downloading any forms.
5. When you downloaded this report, you were assigned a session key. This session key has an expiration date that was also assigned prior to downloading this form. **Please make sure you save or submit prior to this expiration date or all work up until the last save will be lost.**

This session will expire on:

Eastern Time

6. To assist you in completing this form click both "Highlight Fields" and "Highlight Required Fields" in the upper right hand corner of the report page. This will highlight the fields where you may enter data.
7. The report form will calculate all totals and pre-populate fields based upon your responses. Data cannot be entered into the total and pre-populated fields.
8. Please enter all numeric fields with numbers only (no commas, dashes, dollar signs, etc.). Unanswered questions and blank lines on schedules will not be accepted. If no answers or entries are to be made, enter "0" on all lines asking for a numeric response and "None" or "N/A" on all lines requesting a non-numeric response. Additionally, certain Schedules and Exhibits provide the option "Check if N/A" if the information requested is not applicable to your company.
9. Line descriptions may not be altered or added. When in doubt where to place an item, show the item in an appropriate "Other" line and include a supplemental schedule describing the items listed in the "Other" category. Any item which is of an extraordinary nature should also be entered on an appropriate "Other" line.
10. "Save" or "Submit" buttons are provided on the last page of this report. Hit the ALT+s keys to go to the last page. By clicking the Save button, all data entered on the form will be saved to our website. **It is strongly recommended that you save your data periodically as you fill in this form.** You will receive a confirmation message once the data is successfully saved.
11. When you either save or submit the form, all data is checked for completeness; you will be notified if errors have occurred. When submitting data, you will be asked to correct these validation errors. Once the form is successfully submitted, the form becomes read-only. **To update information after submission, an amended form must be filed through REFS.**
12. If additional explanations, supporting statements or schedules are added or are necessary, the additions should be properly cross-referenced to the item being answered. This additional information should be in electronic format (i.e. Word, Excel, PDF, etc) or, if in paper format, scanned in as a PDF, and should be attached and uploaded to the filing as a Miscellaneous Document through REFS.
13. When you have completed a form and selected "Submit Final," your report form is uploaded as a "Completed" document to your Component List; this does not submit the report to the Office of Insurance Regulation. Upon completion of all required items, the "Begin Submission Process" button (bottom right of the screen) will activate. You must select and complete the "Begin Submission Process" to successfully submit your entire filing to OIR.
14. Please print, sign, notarize and upload a PDF version of the Jurat/Attestation Page (see next page) under the corresponding component in REFS. If you do not have a component so named, please upload a signed PDF under the Miscellaneous Documents component.

### ATTESTATION

Please see the Instructions Page OR you may notarize this form electronically by entering the Notary Public, Commission Number and Expiration Date on the form prior to submitting.

**NOTE: ATTESTATIONS SUBMITTED MANUALLY MUST HAVE ORIGINAL SIGNATURES. COPIES ARE NOT ACCEPTABLE.**

- I. Regardless of the form of the organization, this report **must** be attested to by the Facility Administrator or Executive Director **AND** one of the following:
  - A. If you are an individual, the report must be attested to by you.
  - B. If the organization is a corporation, the report must be attested to by one of its corporate officers.
  - C. If the organization is a partnership or unincorporated association, the report must be attested to by the managing general partner.
  - D. If the organization is a trust, the report must be attested to by all trustees and officers.
  
- II. As an insurer licensed to transact business in the state of Florida, I am familiar with the laws of Florida relating to continuing care contracts and do hereby certify under penalty of filing false or misleading documents pursuant to 817.2341, FS, or 837.06, FS, that the information reported provided herein is a full and true reporting of the requested information. This report is submitted for compliance with Chapter 651, FS.

Print this page

<p>_____ (Typed Name)</p> <p>_____ (Signature)</p> <p>_____ (Title)</p> <p>Subscribed and sworn to before me</p> <p>This ____ day of _____, 20__</p> <p>Notary Public: _____</p> <p>Commission Number: _____</p> <p>Expiration Date: _____</p> <p><input type="checkbox"/> Personally Known or <input type="checkbox"/> Produced Identification</p> <p>_____ (Type of Identification Produced)</p>	<p>_____ (Typed Name)</p> <p>_____ (Signature)</p> <p>_____ (Title)</p> <p>Subscribed and sworn to before me</p> <p>This ____ day of _____, 20__</p> <p>Notary Public: _____</p> <p>Commission Number: _____</p> <p>Expiration Date: _____</p> <p><input type="checkbox"/> Personally Known or <input type="checkbox"/> Produced Identification</p> <p>_____ (Type of Identification Produced)</p>	<p>_____ (Typed Name)</p> <p>_____ (Signature)</p> <p>_____ (Title)</p> <p>Subscribed and sworn to before me</p> <p>This ____ day of _____, 20__</p> <p>Notary Public: _____</p> <p>Commission Number: _____</p> <p>Expiration Date: _____</p> <p><input type="checkbox"/> Personally Known or <input type="checkbox"/> Produced Identification</p> <p>_____ (Type of Identification Produced)</p>
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**UNIT RESERVATIONS**

The line 1 amount field should equal the amount you would receive if all units were sold. The line 3 amount field should equal the full entrance fee amount for each unit sold, not just the deposit amount.

<b>Total CCRC Contracts:</b>  _____		
	Number	Amount
1. Total CCRC contracts available for sale, beginning of this period:	_____	_____
2. Plus units returned to inventory due to:		
a. Cancellation of Reservation	_____	_____
b. Death	_____	_____
c. Other	_____	_____
d. Total	_____	_____
3. Less CCRC contracts reserved during this period:	( _____ )	( _____ )
4. Total CCRC contracts available for sale, end of this period: (Line 1 + Line 2d - Line 3)	_____	_____

**UNIT RESERVATIONS (At-Home)**

The line 1 amount field should equal the amount you would receive if all units were sold. The line 3 amount field should equal the full entrance fee amount for each unit sold, not just the deposit amount.

<b>Total CCRC At-Home Contracts:</b>  _____		
	Number	Amount
1. Total CCRC at-home contracts available for sale, beginning of this period:	_____	_____
2. Plus units returned to inventory due to:		
a. Cancellation of Reservation	_____	_____
b. Death	_____	_____
c. Other	_____	_____
d. Total	_____	_____
3. Less CCRC at-home contracts reserved during this period:	( _____ )	( _____ )
4. Total CCRC at-home contracts available for sale, end of this period: (Line 1 + Line 2d - Line 3)	_____	_____

Company Name:

Period Ending:

### ENTRANCE FEE CASH SUMMARY REPORT

1. Total Entrance Fees Collected this period: (Include all initial entrance fee deposits and installments collected (\$):	_____	
	<b>Number</b>	<b>Amount</b>
2. Beginning Refunds Due	_____	_____
3. Refunds Incurred this Period	_____	_____
4. Refunds Paid this Period	( _____ )	( _____ )
5. Refunds Due End of Period <b>(Please provide an aging breakdown on any balance due)</b>	_____	_____
<b>Refund Balances at End of Period (Aging)</b>	<b>Number</b>	<b>Amount</b>
6. Less than 30 Days	_____	_____
7. 30 - 60 Days	_____	_____
8. 61 - 90 Days	_____	_____
9. 91 - 120 Days	_____	_____
10. * Over 120 Days	_____	_____
11. <b>TOTAL (Must equal Line 5 above)</b>	_____	_____
<b>* Explanation required for Refunds over 120 days past due (limited to 1000 characters):</b>		

Company Name:

Period Ending:

**ENTRANCE FEE/RESERVATION FEE RECONCILIATION  
OF ESCROW STATEMENT**

1. Beginning Balance: (Should agree to ending balance for prior period)		_____
2. Add:		
a. Sales Deposits	_____	
b. Interest Earned	_____	
c. Other (Explain, limited to 100 characters)	_____	
<b>d. Total</b>		_____
3. Less:		
a. Refunds	( _____ )	
b. Interest Withdrawal	( _____ )	
c. Escrow Agent Fee	( _____ )	
d. Other (Explain, limited to 100 characters)	( _____ )	
<b>e. Total</b>		( _____ )
4. Ending Balance per Reconciliation		_____
5. Ending Balance per Escrow Statement <b>(Attach copy of Escrow Statement supporting balance)</b>		_____
6. Difference (Provide detailed explanation below, limited to 1000 characters)		_____

Company Name:

Period Ending:

## SAVE/SUBMIT PAGE

**Save** - Use this button to save your data to our server. **It is strongly recommended that you save your data periodically as you fill in this form.** You can still save your data even if you have validation errors appear below.

**Submit Final** - Use this button if you have entered all the required information and want to submit this data to our server. If you have validation errors, they must be corrected before being able to submit the form data. **Once you successfully submit the form data, you can no longer make changes.**

The session key will expire on:

Eastern Time

Save

Submit Final