



SERFF provides helpful tools to minimize the data entry required to input information into the Statement of Intent Schedule for mix-and-match filing submissions with the IIPRC.

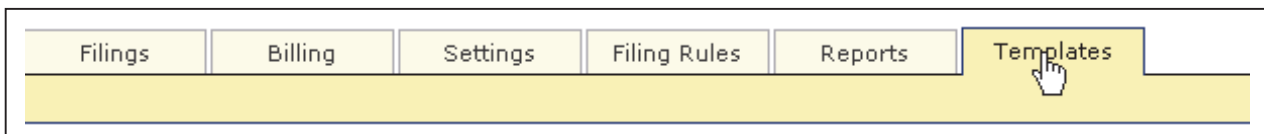
The use of Templates allows industry filers to create reusable Schedules containing Statement of Intent information. A Template can be attached to any draft filing. Once attached to a filing, a Schedule Item created from a Template is identical to any other Schedule Item. It can be edited prior to submission and will appear in the same manner as other Schedules Items at both the state and industry level.

As of November 1, 2012, industry filers can also create, save and modify an Excel file (in the format provided by SERFF) that can be automatically uploaded into the Statement of Intent Schedule using the Template functionality (see *Using the Template to Automatically Upload to the SOI Schedule* below). The Excel file format can be found on the Insurance Company Resources web page of the IIPRC website, http://www.insurancecompact.org/industry_resources.htm, or in the IIPRC's General Instructions or SERFF Online Help both within SERFF.

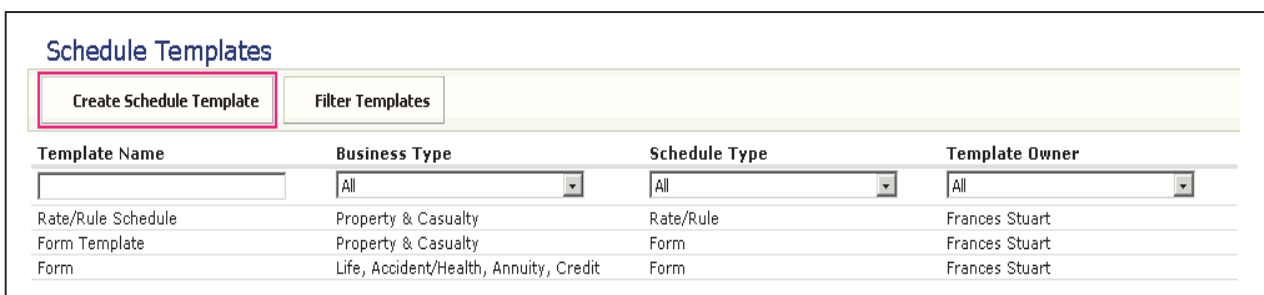
Statement of Intent Template

How to Create a Statement of Intent Template

1. Click on the Templates tab.



2. Click on the **Create Schedule Template** button.



3. Select the Business and Schedule Type.

Create Schedule Template


Next Cancel

Template Owner: * ZSERFF Staff ZZIndustrySupportSD

Industry Name: * BALBOA01

Business Type: * Life, Accident/Health, Annuity, Credit

Schedule Type: * Statement Of Intent

4. Click the  button.

5. Enter the Schedule Template Name.

Preview Template

Previous Save Apply Cancel

Template Owner: * ZSERFF Staff ZZIndustrySupportSD

Industry Name: * BALBOA01

Business Type: * Life, Accident/Health, Annuity, Credit

Schedule Type: * Statement Of Intent

Schedule Template Name: * SOI Template

State *	Form Number	Tracking Number	Regulatory Method	Date
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Delete Selected Add Single SOI Row Add Multiple SOI Rows Add SOI Rows From Excel File

Previous Save Apply Cancel

How to Use Templates to Populate the SOI Schedule

1. Using the Template to Manually Build the SOI Schedule

- a. To add a single Statement of Intent schedule item, click . Select a state from the dropdown and enter data as needed.

Preview Template

Previous Save Apply Cancel

Template Owner: * ZSERFF Staff ZZIndustrySupportSD

Industry Name: * BALBOA01

Business Type: * Life, Accident/Health, Annuity, Credit

Schedule Type: * Statement Of Intent

Schedule Template Name: * SOI Template

State *	Form Number	Tracking Number	Regulatory Method	Date Legally Implemented	Document Name
<input type="checkbox"/> Copy -Please Select-		<input type="radio"/> SERFF Tracking Number <input type="radio"/> State Tracking Number <input type="radio"/> Not Available <input type="radio"/> Exempt	-Please Select-	<input type="radio"/> Date: [] <input type="radio"/> Prior 1970 <input type="radio"/> Exempt <input type="radio"/> Not Available	

Delete Selected Add Single SOI Row Add Multiple SOI Rows Add SOI Rows From Excel File

Previous Save Apply Cancel

- b. To add multiple Statement of Intent schedule items at the same time, click **Add Multiple SOI Rows**. Enter data as needed; select the states to insert the data for, and how many SOI line items to add for each state.

State Product Components

Form Number	Tracking Number	Regulatory Method	Date Legally Implemented	Document Name/Description	Comments
<input type="text"/>	<input type="radio"/> SERFF <input type="radio"/> Tracking Number <input type="radio"/> State <input type="radio"/> Tracking Number <input type="radio"/> Not Available <input type="radio"/> Exempt	<input type="text"/> -Please Select-	<input type="radio"/> Date: <input type="text"/> <input type="radio"/> Prior 1970 <input type="radio"/> Exempt <input type="radio"/> Not Available	<input type="text"/>	<input type="text"/>

Select State(s)

Select State(s)	Number of Rows	Select State(s)	Number of Rows	Select State(s)	Number of Rows
<input type="checkbox"/> Select All	<input type="text"/>	<input type="checkbox"/> Maryland	<input type="text"/>	<input type="checkbox"/> Pennsylvania	<input type="text"/>
<input type="checkbox"/> Alabama	<input type="text"/>	<input type="checkbox"/> Massachusetts	<input type="text"/>	<input type="checkbox"/> Puerto Rico	<input type="text"/>
<input type="checkbox"/> Alaska	<input type="text"/>	<input type="checkbox"/> Michigan	<input type="text"/>	<input type="checkbox"/> Rhode Island	<input type="text"/>
<input type="checkbox"/> Arizona	<input type="text"/>	<input type="checkbox"/> Minnesota	<input type="text"/>	<input type="checkbox"/> South Carolina	<input type="text"/>
<input type="checkbox"/> Colorado	<input type="text"/>	<input type="checkbox"/> Mississippi	<input type="text"/>	<input type="checkbox"/> Tennessee	<input type="text"/>
<input type="checkbox"/> Florida	<input type="text"/>	<input type="checkbox"/> Missouri	<input type="text"/>	<input type="checkbox"/> Texas	<input type="text"/>
<input type="checkbox"/> Georgia	<input type="text"/>	<input type="checkbox"/> Nebraska	<input type="text"/>	<input type="checkbox"/> Utah	<input type="text"/>
<input type="checkbox"/> Hawaii	<input type="text"/>	<input type="checkbox"/> Nevada	<input type="text"/>	<input type="checkbox"/> Vermont	<input type="text"/>
<input type="checkbox"/> Idaho	<input type="text"/>	<input type="checkbox"/> New Hampshire	<input type="text"/>	<input type="checkbox"/> Virginia	<input type="text"/>
<input type="checkbox"/> Illinois	<input type="text"/>	<input type="checkbox"/> New Jersey	<input type="text"/>	<input type="checkbox"/> Washington	<input type="text"/>
<input type="checkbox"/> Indiana	<input type="text"/>	<input type="checkbox"/> New Mexico	<input type="text"/>	<input type="checkbox"/> West Virginia	<input type="text"/>
<input type="checkbox"/> Iowa	<input type="text"/>	<input type="checkbox"/> North Carolina	<input type="text"/>	<input type="checkbox"/> Wisconsin	<input type="text"/>
<input type="checkbox"/> Kansas	<input type="text"/>	<input type="checkbox"/> Ohio	<input type="text"/>	<input type="checkbox"/> Wyoming	<input type="text"/>
<input type="checkbox"/> Kentucky	<input type="text"/>	<input type="checkbox"/> Oklahoma	<input type="text"/>		
<input type="checkbox"/> Louisiana	<input type="text"/>	<input type="checkbox"/> Oregon	<input type="text"/>		
<input type="checkbox"/> Maine	<input type="text"/>				

2. Using the Template to Automatically Upload to the SOI Schedule.

- a. SERFF now allows Compact filers to complete or download information into an Excel spreadsheet, save the Excel spreadsheet as a Template and then upload the Template into the SOI Schedule.
- b. Download the Excel file(SOI Template) which can be retrieved in the General Instructions for the Insurance Compact ("SOI_Parsing_TemplateFinal.xls) or on the Insurance Company Resources page of the Insurance Compact website at http://www.insurancecompact.org/industry_resources.htm or in SERFF Online Help by clicking on Help > Help Topics > Interstate Compact>.
- c. Complete the Excel spreadsheet (a filer can program its back-office system to populate the pre-formatted spreadsheet)
 - i. Complete the 'Insurer Name' and 'SERFF Template Name' fields.

Statement of Intent and Certification List of Forms					
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Complete this information for all State Product Components for all Compacting States included in this template.					

- ii. Enter the state abbreviation. In order to correctly upload, the state abbreviation must be used and do not skip lines between states or line entries.

Complete this information for all State Product Components for all Compacting States included in this template.					
State	Form Number	Tracking Number	Regulatory Method	Date Legally Implemented	Document Name/Description
MO					

iii. Enter the Form Number.

Complete this information for all State Product Components for all Compacting States included in this template.					
State	Form Number	Tracking Number	Regulatory Method	Date Legally Implemented	Document Name/Description
MO	S330-33-SJD				

iv. Select the Tracking Number type from the drop-down list found in the first column under the 'Tracking Number' header.

Complete this information for all State Product Components for all Compacting States included in this template.					
State	Form Number	Tracking Number	Regulatory Method	Date Legally Implemented	Document Name/Description
MO	S330-33-SJD	<div style="border: 1px solid black; padding: 2px;"> SERFF Tracking Number State Tracking Number Exempt Not Available </div>			

v. If a corresponding Tracking Number has been identified, enter the number in the second column under the 'Tracking Number' header.

Complete this information for all State Product Components for all Compacting States included in this template.					
State	Form Number	Tracking Number	Regulatory Method	Date Legally Implemented	Document Name/Description
MO	S330-33-SJD	SERFF Tracking Number SERF-123456789			

vi. Select the Regulatory Method type from the drop-down list in under the 'Regulatory Method' column header.

Complete this information for all State Product Components for all Compacting States included in this template.					
State	Form Number	Tracking Number	Regulatory Method	Date Legally Implemented	Document Name/Description
MO	S330-33-SJD	SERFF Tracking Number SERF-123456789	<div style="border: 1px solid black; padding: 2px;"> Approved File and Use Use and File Informational Exempt </div>		

vii. Select the Date type from the drop-down list found in the first column under the 'Date Legally Implemented' header.

Complete this information for all State Product Components for all Compacting States included in this template.					
State	Form Number	Tracking Number	Regulatory Method	Date Legally Implemented	Document Name/Description
MO	S330-33-SJD	SERFF Tracking Number SERF-123456789		<div style="border: 1px solid black; padding: 2px;"> Date Prior 1970 Exempt Not Available </div>	

viii. If a corresponding Implementation Date has been identified, enter the date as mm/dd/yyyy in the second column under the 'Date Legally Implemented' header.

Complete this information for all State Product Components for all Compacting States included in this template.					
State	Form Number	Tracking Number	Regulatory Method	Date Legally Implemented	Document Name/Description
MO	S330-33-SJD	SERFF Tracking Number SERF-123456789	Approved	Date	01/01/2011

ix. Enter a Document Name/Description.

Complete this information for all State Product Components for all Compacting States included in this template.							
State	Form Number	Tracking Number		Regulatory Method	Date Legally Implemented	Document Name/Description	
MO	S330-33-SJD	SERFF Tracking Number	SERF-123456789	Approved	Date	01/01/2011	Individual Variable Universal Life (VUL)

x. Enter Comments, if any.

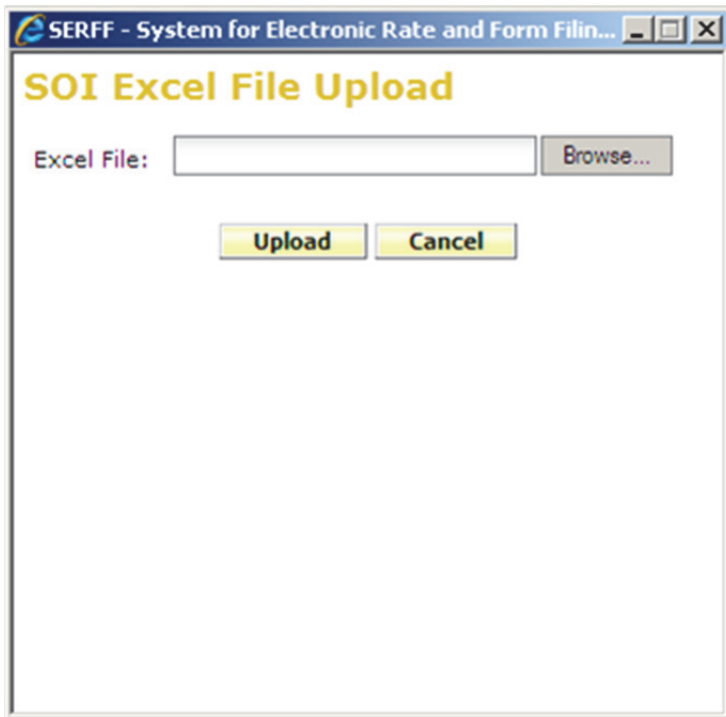
Tracking Number	Regulatory Method	Date Legally Implemented	Document Name/Description	Comments		
SERFF Tracking Number	SERF-123456789	Approved	Date	01/01/2011	Individual Variable Universal Life (VUL)	This is an example - comments.

xi. Repeat for all SOI lines. Do not skip lines and do not leave the Template until each SOI line item has been created and saved!

c. Save the Excel document as a Template.





d. To automatically upload the Template from an Excel file, click **Add SOI Rows From Excel File**.

- i. When uploading, do not leave the Template until each SOI line item has been created and saved.
- ii. More than one SOI Excel Template may be uploaded into an SOI, but only one at a time.
- iii. SOI Excel Template may be imported into any Insurance Compact filing even if it contains a state(s) not included in the filing. Only information pertaining to the states including in the filing will be imported and a notice will be generated indicating the states have been successfully imported.






How to Save, Edit, Copy, Delete and Import Templates

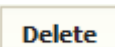
1. While creating the Template, the Template author may then click on one of the following four options:

- a. Click the  button to go back a step.
- b. Click the  button to save the Schedule Template.
- c. Click the  button to save, but stay in Edit mode.
- d. Click the  button to cancel this action.

2. Once the Template has been saved, any user on the instance, may do one of the following:

- a. Click the  button to update the Schedule Template.
- b. Click the  button to create another Schedule Template based off the selected template.
- c. Click the  button to close the Schedule Template.

3. Once the Template has been saved, only the Template author or Filing Manager may delete a Template as follows:

Click the  button to delete the Schedule Template

4. Once the Template has been saved, any user on the instance, may import SOI Schedule Template into any new or draft filing.

- a. Select a filing from the “My Draft Filings” in the Filing Wizard.
- b. Click on “Import Templates”.
- c. Select the Template you want to import into the draft filing
- d. Click on “Import”.
- e. Information contained in the template for states not included in your filing will not be imported.

If you have any questions or issues with completing the Statement of Intent Schedule or utilizing the Template tools, please contact the SERFF Help Desk at serffhelp@naic.org or 816-783-8990 or the IIPRC Office at comments@insurancecompact.org or 202-471-3962.