









Lesson 4

Whether you are filing to one state or multiple states, SERFF's Filing Wizard makes the process quick and easy. Speed-to-Market Tools such as the NAIC Product Coding Matrices and Uniform Transmittal Documents are built into the system. Instance and user preferences and other ease of use features make creating and submitting a SERFF filing simple. A single, efficient system means less time creating and submitting your filing, which translates into increased productivity. This lesson covers the basics of preparing a SERFF filing.

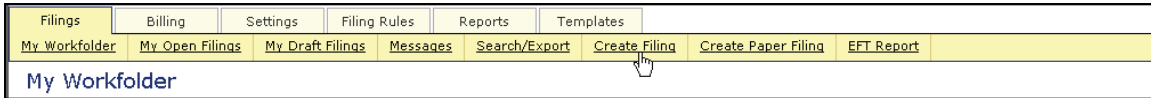
This lesson covers the following topics:

-  [Create a Filing](#)
-  [Create a Single/Multi State Filing](#)
-  [P&C Filing at a Glance](#)
-  [LAH Filing at a Glance](#)
-  [Attaching Files for Schedule Items](#)
-  [Bypass/Satisfy](#)
-  [Templates](#)
-  [Requesting Confidentiality](#)



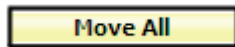
Create a Filing

SERFF allows insurers to submit new products, in addition to revisions to their rates and forms, to State Insurance Departments. The Filing Wizard guides the user through the preparation and submission of their electronic filing, making the filing process simple.

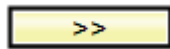


Click on the  link under the Filings tab to begin using the Filing Wizard.

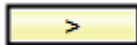
Definition of Filing Wizard Buttons:



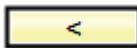
Moves all companies to the right column. (Step 7 of the Filing Wizard.)



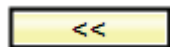
Moves all authors or states to the right column. (Step 1 and 2 of the Filing Wizard.)



Moves selected authors, states, or companies to the right column. (Step 1, 2, or 7 of the Filing Wizard.)



Removes selected authors, states, or companies from the right column. (Step 1, 2, or 7 of the Filing Wizard.)



Remove all authors or states from the right column. (Step 1 and 2 of the Filing Wizard.)

Remove All

Removes all companies from the right column.
(Step 7 of the Filing Wizard.)

Add or Remove States

This button allows you to return to Step 2 from Steps 3, 4, or 5 of the Filing Wizard. It allows the user to change the state(s) that he/she wants to file to.

Previous

Go back a step in the Filing Wizard.

Next

Advance to the next step in the Filing Wizard.

Save and Close

This button will save the filing under the 'My Draft Filings' link and close the view. The user may then access the filing from the 'My Draft Filings' link under the Filings tab.

Save and Continue

This button is available at Step 6 of the Filing Wizard. This button will allow the author to save the filing. Once this button is clicked changes to the prior Filing Wizard values cannot be changed.

Save

Saves data entered thus far.

Cancel

Cancels the Filing Wizard process.

Reset

Step 8 of the Filing Wizard.

Step 8 of the Filing Wizard

Select All Companies

De-Select All Companies

Step 8 of the Filing Wizard.

Create a Single/Multi State Filing

Step 1- Create a Filing

The first step in the Filing Wizard is to accurately complete the following fields.

- **Business Type:** In accordance with the NAIC Speed to Market tools, there are two Business Types: Property & Casualty, and Life, Accident/Health, Annuity, Credit. The Business Type can be predefined in the 'User Preferences' area of SERFF. Once set in 'User Preferences', this field will default to the defined Business Type without the user selecting it on each filing. The Author has the ability to change Business Types as some Authors cross business areas and types.
- **Product Name:** The Author enters the name of the product that they are submitting. This is a required field on the filing.
- **Project Name:** The Author may enter a project name for this filing. This is not a required field.
- **Project Number:** The Author may enter a project number. This is not a required field.
- **Other Authors:** The Creator or Author of the filing may assign Other Authors to a filing(s). Once given permission as an Other Author, full access to the filing is granted.



The Creator or Author can remove themselves as an author if needed. This would prevent the Creator from getting unwanted messages about filings to which they are no longer responsible. However, the Creator or Author must select an additional author before they will be able to progress to Step 2 of the Filing Wizard.

Step 1 - Create a Filing

* Asterisk image denotes required field.

Business Type: *

Product Name: *

Project Name:



Project Number:

Authors: *

Step 1 – Create a Filing

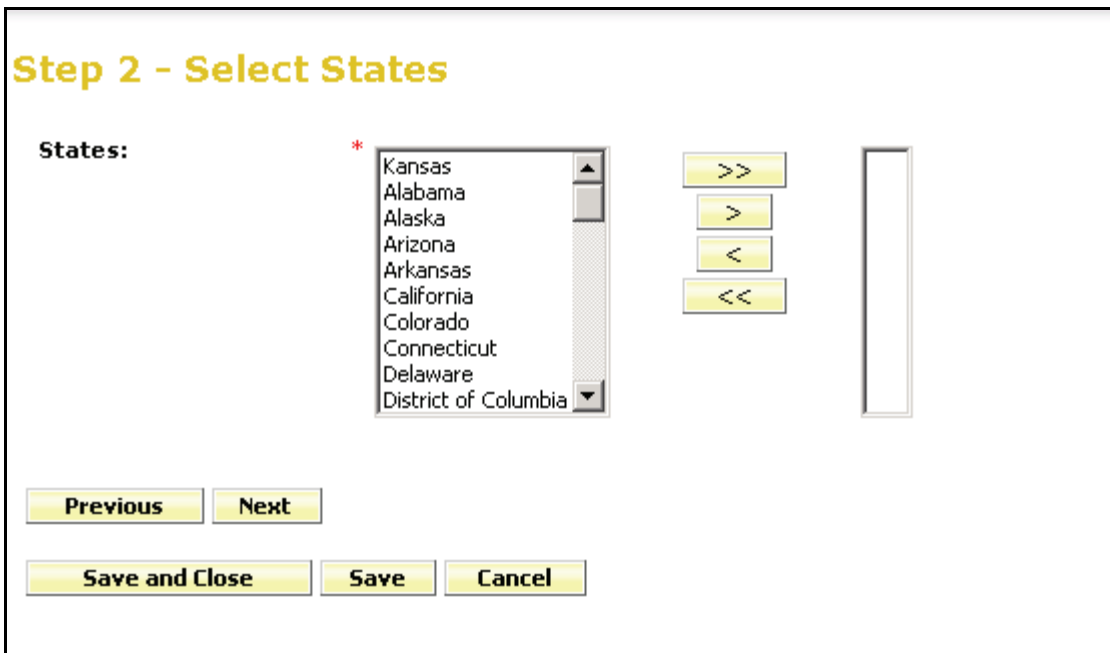


1. Click on the 'Business Type' drop down box and select appropriate 'Business Type' for filing. If the setting has been pre-determined in the users' 'User Preferences', this field will be automatically populated, but can be changed if needed.
2. Enter Product Name for Filing.
3. Enter Project Name for Filing.
4. Enter Project Number for Filing.
5. Assign Other Authors if needed. Other Authors can also be added later in the process. Highlight the name of the Other Author and click on the button.
6. Click on the button to advance to Step 2.

 If the Author clicks on the  button all information completed at Step 1 will be lost.

Step 2-Select States

The **Select States** step allows the Author to choose a single state or multiple states for which the contact is authorized to file. Hold down the **Ctrl** or **Shift** key to select multiple states from the list.



Step 2 - Select States

States: *





- Kansas
- Alabama
- Alaska
- Arizona
- Arkansas
- California
- Colorado
- Connecticut
- Delaware
- District of Columbia



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>
<
<<

Previous Next

Save and Close Save Cancel

 **Step 2 – Select States**

1. Select the state(s) for the filing.
2. Click the  button to continue to advance to Step 3.
3. Click the  button to change data entered on Step 1.
4. Click the  button to save changes and continue to work on your filing later. This places the filing “In Process Filing Constructors”.
5. Click the  button to cancel the filing entirely.


 The “**In Process Filing Constructors**,” found by clicking the  link, is where all filings are stored if the Author has not completed all of the Filing Wizard Steps. When the Author is ready to resume the draft filing, simply click on the filing and the filing will open to the last updated step in the Filing Wizard.

My Draft Filings



In Process Filing Constructors

<input type="checkbox"/>	Product Name	Business Type	Date Created	Created By	Master Tracking Index
<input type="checkbox"/>	Homeowners Product 2007	Property & Casualty	Sep 18, 2006	Thea Cook	


  

Filings Filings 1-6 of 6 | First | Previous | Next | Last

<input type="checkbox"/>	State	Product Name	Company Tracking #	Created Date	Created By	SERFF Status
<input type="checkbox"/>	Iowa	TC Manual - Sunday		Sep 17, 2006	Thea Cook	Draft
<input type="checkbox"/>	Kansas	TC Manual - Sunday		Sep 17, 2006	Thea Cook	Draft
<input type="checkbox"/>	Kansas	TC Manual - Sunday		Sep 17, 2006	Thea Cook	Draft
<input type="checkbox"/>	Minnesota	TC Manual - Sunday		Sep 17, 2006	Thea Cook	Draft
	<input type="checkbox"/>	Iowa	Homeowner's Filing	Sep 18, 2006	Thea Cook	Draft
	<input type="checkbox"/>	Kansas	Homeowner's Filing	Sep 18, 2006	Thea Cook	Draft


Step 3- Select Types of Insurance

Step 3 of the Filing Wizard exhibits improvements made by states to promote uniformity as well as automation that results in speedy filing creation for industry users. SERFF has incorporated the NAIC Uniform Product Coding Matrices, a key Speed to Market and uniformity tool, into the Wizard Type of Insurance Selector.

-  The Wizard Type of Insurance Selector will only display on multi-state filings. The Author can select from the “Wizard Type of Insurance Selector” or select from the TOI drop down next to each state.



Wizard Type of Insurance Selector: The Author selects the Type of Insurance from the Wizard Type of Insurance Selector drop down. For those states that have implemented the Product Coding Matrix and accept the Type of Insurance (TOI) specified, the information will auto populate for each state selected.

-  For the states that haven’t implemented the Product Coding Matrix, the Author will have to click on the drop down arrow next to the TOI for each state.



Click the Add State or Remove states button to change the states included in the filing.

Multi-State Filing

Step 3 - Select Types of Insurance

Wizard Type of Insurance Selector: 04.0 Homeowners

Selected States	Type Of Insurance
Missouri	04.0 Homeowners
Nebraska	Please select a value
Kansas	04.0 Homeowners

Single State Filing – The Wizard Type of Insurance Selector does not display in a single state filing.

Step 3 - Select Types of Insurance

Selected States	Type Of Insurance
Nebraska	Please select a value

Step 3 – Select Types of Insurance

1. Click on the drop down arrow next to the **“Wizard Type of Insurance Selector”** or to the right of the selected state.
2. Select the appropriate TOI.
3. If there is not an exact match for the Type of Insurance, when using the Wizard Type of Insurance Selector, click the drop down next to each applicable state and select the appropriate TOI.

- ☞ In the example below, notice that Nebraska does not accept the TOI specified. The Author would then be required to select a TOI from the offerings presented in the TOI drop down list specific to Nebraska.

Step 3 - Select Types of Insurance

Wizard Type of Insurance Selector: 04.0 Homeowners

Selected States	Type Of Insurance
Kansas	04.0 Homeowners
Missouri	04.0 Homeowners
Nebraska	Please select a value

Buttons: Previous, Next, Add or Remove States, Save and Close, Save, Cancel

Dropdown for Nebraska: Please select a value, Property & Casualty

- ☞ A state can be added or removed at this point by clicking the



4. Click on the **Next** button to advance to Step 4.

Step 4 – Select Sub-Type of Insurance

Select the Sub-Type of Insurance. The Sub-TOI drop down arrow will list those Sub-Types that are available based off of the TOI selected in the previous step.



Wizard Sub-Type of Insurance Selector: The Author selects the Sub-Type of Insurance from the Filing Wizard Sub-Type of Insurance Selector drop down. For those states that have implemented the Product Coding Matrix and accept the Sub-Type of Insurance (Sub-TOI) specified, the information will auto populate for each state selected.

- 👉 For the states that haven't implemented the Product Coding Matrix, the Author will have to click on the drop down arrow next to the Sub-TOI field to select the Sub-TOI for that state.

Multi-State Filing

Step 4 - Select Sub-Type of Insurance

Wizard Sub-Type of Insurance Selector: 04.0005 Other Homeowners

Sub-Type Of Insurance	
Kansas TOI: 04.0 Homeowners	04.0005 Other Homeowners
Missouri TOI: 04.0 Homeowners	04.0005 Other Homeowners
Nebraska TOI: Property & Casualty	Please select a value

Single State Filing – The Wizard Sub-Type of Insurance Selector does not display in a single state filing.


Step 4 - Select Sub-Type of Insurance

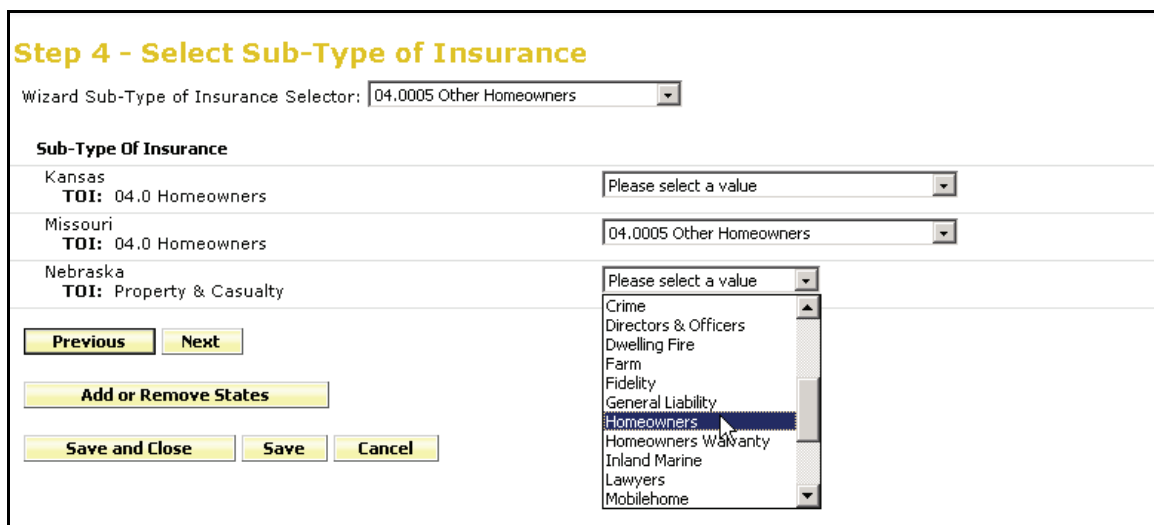
Sub-Type Of Insurance	
Nebraska TOI: Property & Casualty	Please select a value

👉 Step 4 – Select Sub-Type of Insurance

1. Select the Sub-TOI by using the Wizard Sub-Type of Insurance Selector or by individual state.

2. If there is not an exact match for the Sub-Type of Insurance, when using the Wizard Sub-Type of Insurance Selector, click the drop down next to each applicable state and select the appropriate Sub-TOI.

 In the example below, notice that Nebraska does not accept the Sub-TOI specified. The Author would then be required to select a Sub-TOI from the offerings presented in the Sub-TOI drop list specific to Nebraska.



Step 4 - Select Sub-Type of Insurance

Wizard Sub-Type of Insurance Selector: 04.0005 Other Homeowners

State	TOI	Sub-Type of Insurance
Kansas	04.0 Homeowners	Please select a value
Missouri	04.0 Homeowners	04.0005 Other Homeowners
Nebraska	Property & Casualty	Please select a value

Buttons: Previous, Next, Add or Remove States, Save and Close, Save, Cancel

Nebraska Sub-TOI List:
Crime
Directors & Officers
Dwelling Fire
Farm
Fidelity
General Liability
Homeowners
Homeowners Warranty
Inland Marine
Lawyers
Mobilehome

3. Click on the  button to advance to Step 5.

Step 5 – Select Filing Types

Filing Type Selector: The Filing Type Selector uses a standard naming convention for the most commonly used filing types in SERFF. When Filing Types are selected using the Filing Type Selector, Filing Types will auto-populate for those states that have implemented the standard naming convention. The Filing Types listed next to each state contain all of the Filing Types that have been setup by the state and are based on the TOI and Sub-TOI selected.

Multi-State Filing

Step 5 - Select Filing Types

Filing Type Selector: Advertising Form Form/Rate Form/Rate/Rule Form/Rule Rate Rate/Rule Rule

Selected States	Filing Types
Kansas TOI: 04.0 Homeowners Sub-TOI: 04.0005 Other Homeowners	<input checked="" type="checkbox"/> Form <input checked="" type="checkbox"/> Rate <input type="checkbox"/> Rule <input type="checkbox"/> Rule & Form
Missouri TOI: 04.0 Homeowners Sub-TOI: 04.0005 Other Homeowners	<input checked="" type="checkbox"/> Form <input checked="" type="checkbox"/> Rate <input type="checkbox"/> Rate and/or Rule <input type="checkbox"/> Rule
Nebraska TOI: Property & Casualty Sub-TOI: Homeowners	<input type="checkbox"/> Endorsements <input checked="" type="checkbox"/> Form <input checked="" type="checkbox"/> Rate <input type="checkbox"/> Rule

Single State Filing – The Wizard Type of Insurance Selector does not display in a single state filing.


Step 5 - Select Filing Types

Selected States	Filing Types
Nebraska TOI: Property & Casualty Sub-TOI: Homeowners	<input type="checkbox"/> Endorsements <input checked="" type="checkbox"/> Form <input type="checkbox"/> Rate <input type="checkbox"/> Rule



Step 5 – Select Filing Types

- Using the Filing Type Selector, place a checkmark next to the Filing Type(s) applicable to the filing. Wherever there is an exact match, the Filing Type for the state will auto-populate. If there are no Filing Type matches, select the appropriate Filing Type for each state.
- Click on the button to advance to Step 6.



 Selecting more than one Filing Type will create **unique** filings for each type selected. In the example above we have selected “Form” and “Rate”. In Step 6 there will be six filings displayed for the three states.

Step 6 – Confirm Selections

Step 6 displays a summary of the filing for review and confirmation of all the data entered in previous steps. Click on the  button to make changes to the filing, prior to saving. Once the  button is clicked, changes to the prior Filing Wizard values cannot be changed.

 **Step 6 – Confirm Selections**

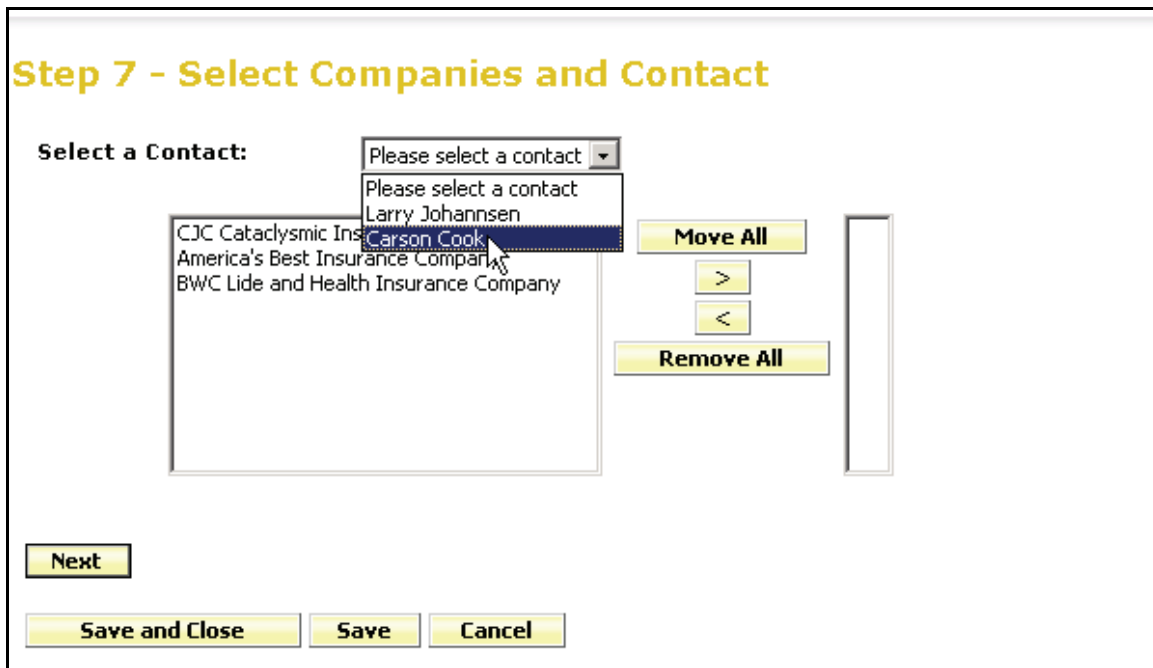
Step 6 - Confirm Selections

State	TS1	Sub-TS1	Filing Types
Kansas	04.0 Homeowners	04.0005 Other Homeowners	Form
Kansas	04.0 Homeowners	04.0005 Other Homeowners	Rate
Missouri	04.0 Homeowners	04.0005 Other Homeowners	Form
Missouri	04.0 Homeowners	04.0005 Other Homeowners	Rate
Nebraska	Property & Casualty	Homeowners	Rate
Nebraska	Property & Casualty	Homeowners	Form

1. Click on the  button to advance to Step 7.

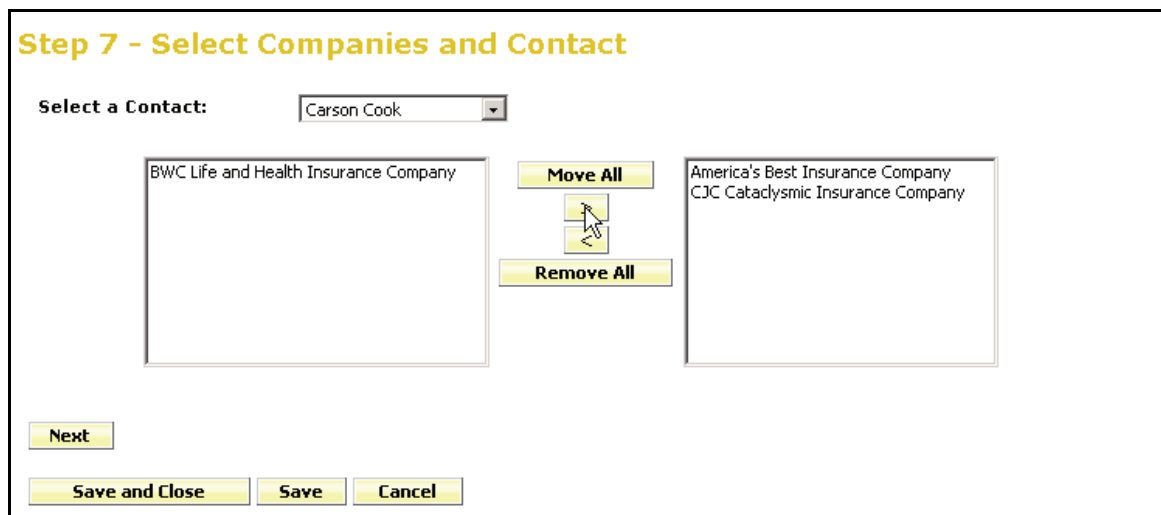
Step 7 – Select Companies and Contact




The Author selects the contact and company or companies for the filing. All contacts and companies need to be created in both the Companies and Contacts views (Settings) prior to completing the Filing Wizard. The Industry Configuration Manager is responsible for adding contacts and companies. Refer to Lesson 2 for instructions.



 **Step 7 – Select Companies**

1. Select the contact from the drop down list.




2. Select the company or companies and click on the  or  button. Multiple companies can be added at one time holding down the Ctrl or Alt buttons on your keyboard.
3. Click  to advance to Step 8.

Step 8 – Selection Companies

When multiple states are selected in the filing, the Author will select the companies for each state. Clicking on the **Select All Companies** button places a check(s) next to each company. Clicking on the **De-Select All Companies** button will remove the check(s).



 Based on a state setting, states can pre-determine if multiple companies are allowed on a single filing. If the state has established this functionality and multiple companies are allowed, company fields will auto populate if the company's profile reflects that it is licensed in that state. If multiple companies are not allowed by the state, SERFF will break out the filing **automatically** for the industry.

Step 8 - Select Companies For States

Reset **Select All Companies** **De-Select All Companies**

* - Multiple companies accepted on a filing

Kansas * <input checked="" type="checkbox"/> America's Best Insurance Company <input type="checkbox"/> CJC Cataclysmic Insurance Company	Missouri * <input checked="" type="checkbox"/> America's Best Insurance Company <input checked="" type="checkbox"/> CJC Cataclysmic Insurance Company
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Nebraska *
 America's Best Insurance Company
 CJC Cataclysmic Insurance Company

Previous **Save and Continue**

Save and Close **Save** **Cancel**

Step 8 – Select Companies for States

1. Click on the  button to advance to Step 9.

Step 9 – Default Filing Data

In Step 9 of the Filing Wizard, the Author has the opportunity to enter the required Filing Description. This is intended to replace a state's Cover Letter requirement, but a Cover Letter may still be required – please check each state's individual requirements. In addition, the Author may enter data for certain fields on the filing. These fields will vary by Business Type and can be modified later. This is the point in the creation of a filing where users begin to see differences between PC and LAH.

- **Filing Description:** This area can be used in lieu of a Cover Letter or Filing Memorandum and is free-form text. This is a required field.
- **Company Tracking Number:** This field allows the user to enter a company tracking number. This can be very useful for companies that are creating multi-state filings that share a Company Tracking Number. This is not a required field.
- **Submission Type (LAH only):** Select New or Resubmission. If Resubmission, provide the state tracking number for the prior Submission if it was provided by the state. If no state tracking number is available, and the prior filing was made in SERFF, provide the prior filing's SERFF Tracking Number. If neither is available, leave this blank.
- **Implementation Date Requested (LAH only):** The date the industry would like to have the product available to sell.
- **Lead Form Number (LAH only):** Lead Form Number of the policy, rider, endorsement, etc.
- **Overall Rate Impact (LAH only):** This is the statewide average percentage change to the Accepted rates for the coverage's included for each company.
- **Market Type (LAH only):** An identification of the targeted group or individuals. If Group is selected (*see below*), fields for Group Market Size and Group Market Type are presented.

- **Effective Date Requested (New or Renewal – P&C only):** This is the effective date the company is requesting their product be available to sell. It is not necessarily the date the filing officially becomes effective. The State Insurance Department will determine the definitive effective date. This is also where the company can indicate the different effective dates for new or renewal business. (P&C only).
- **Add Rate Data? (P&C only):** Filers can indicate whether they will provide information relevant to rates with this submission. This setting can be overridden on individual filings.
- **Status of Filing in Domicile:** This field is used to indicate the status of a product filing in a company's domiciliary state. This is not a required field.
- **Date Approved in Domicile (LAH only):** Date contract or other filing or form filing was approved in state of domicile.
- **Domicile Status Comments:** This is a free-form text field in which companies can supplement Domicile Status information. For example, if a form is pending in a company's domiciliary state.
- **Reference Organization (if applicable – P&C only):** The name of the advisory organization—i.e. ISO, NCCI, AAIS, etc. or an Insurance Company name if a “me too filing” is permitted. Some states allow companies to reference another company's filing. A “me too” filing is when one company adopts another company's filing. Usually, they are not part of the same group. *You should check with each state to determine their rules on these filings.* If permitted, use this area to indicate either an advisory organization name or “me too” company name.

Reference Organization Number & Title (if applicable – P&C only): This is the unique number that the reference organization gives to the filing. It is generally not the same number as the circular number.

Advisory Org Circular (P&C only): This is a unique number that references the circular number.

 **Step 9 – Default Filing Data**

1. Complete the Filing data page.

PC Filing

Step 9 - Default Filing Data

Filing Description:

Company Tracking Number:

Submission Type:

Implementation Date Requested: On Approval

Add Rate Data?: Yes No

Lead Form Number:

Overall Rate Impact: %

Market Type:

Status of Filing in Domicile:

Date Approved in Domicile:

Domicile Status Comments:

LAH Filing

Step 9 - Default Filing Data

Filing Description:

Submission Type:

Implementation Date Requested: On Approval

Lead Form Number:

Overall Rate Impact: %

Market Type:


Group Market Size:

Group Market Type:

- Employer
- Association
- Blanket
- Discretionary
- Trust
- Other

Status of Filing in Domicile:

Date Approved in Domicile:

 The Filing Description field is the only field required on Step 9.

2. Click on the button to advance to Step 10.

Step 10 – Final Filing Summary

The final step in the Filing Wizard, Step 10 represents a summary of the filing(s) for review and confirmation by the Author. By clicking the button, the Author is able to navigate back to Step 7 of the Filing Wizard if changes are necessary.

Step 10 - Final Filing Summary

State	TOI	Sub-TOI	Filing Types	Companies
Kansas	04.0 Homeowners	04.0005 Other Homeowners	Form	
Kansas	04.0 Homeowners	04.0005 Other Homeowners	Rate	
Missouri	04.0 Homeowners	04.0005 Other Homeowners	Form	
Missouri	04.0 Homeowners	04.0005 Other Homeowners	Rate	
Nebraska	Property & Casualty	Homeowners	Rate	
Nebraska	Property & Casualty	Homeowners	Form	

 **Step 10 – Final Filing Summary**

1. Click the **Finish** button to complete the Filing Wizard process. The completed filing(s) is available from the **My Draft Filings** link. (see below)

At this point you have selected your state(s), TOI, Sub-TOI, Filing Types and added the companies and contact(s). Your filing container has been created. The next step is to add the state required documentation to each filing and submit to the state(s).

State	TOI	Sub-TOI	Filing Types	Companies
Kansas	04.0 Homeowners	04.0005 Other Homeowners	Form	American Bankers Geico
Kansas	04.0 Homeowners	04.0005 Other Homeowners	Rate	American Bankers Geico
Missouri	04.0 Homeowners	04.0005 Other Homeowners	Form	American Bankers Geico
Missouri	04.0 Homeowners	04.0005 Other Homeowners	Rate	American Bankers Geico
Nebraska	Property & Casualty	Homeowners	Rate	American Bankers Geico
Nebraska	Property & Casualty	Homeowners	Form	American Bankers Geico

P&C Filing at a Glance


Filing at a Glance contains key information about the filing and is always displayed at the top of the page, regardless of where the Author is working.

The Filing at a Glance contains the following fields:

- **Product Name:** The name of the product being filed to the state.
- **SERFF Tracking (Tr) Num:** This number is defined by SERFF.
- **SERFF Status:** This value is assigned by the SERFF application and automatically updates as activity occurs on a filing. This field has three main purposes: (1) Give state and industry a common measure as to where the filing is in the process, (2) give the SERFF application a mechanism to control activities that can take place on a filing, and (3) allow for the reporting of metrics information.
 - **Draft:** Filing has been assigned a tracking number but has not been completed and submitted to the state.
 - **Submitted:** Author has submitted the filing to the state and the filing has passed all applicable validations. State can now access the filing.
 - **Assigned:** State has assigned the filing to one or more reviewers, but no additional action has been taken.
 - **Pending Industry Response:** There are one or more open Objection Letters on the filing that need a response from industry.
 - **Pending State Action:** One or more Objection Letters have been responded to by industry. Filing is still open.
 - **Closed:** The state has created a Disposition Report indicating the final action of the filing. The asterisk indicates that the state Disposition Status (i.e., Approved, Acknowledged, and Disapproved) will be appended to the SERFF status.



Directly behind the SERFF Status there is a dash and then the Disposition Status will be listed. This status will only be shown on a closed filing. See example below:

Add Authors	Update	Create Reminder	Move to Workfolder	PDF Pipeline	Return to Search
<p> This filing has been marked public access.</p> <p style="text-align: right;">View General Instructions View Filing Log</p>					
Product Name: * CIC 2007 Std Med Supp Rate TOI: Accident and Health Sub-TOI: Individual Medicare Supplement Filing Type: Rate		SERFF Tr Num: XXXX-000517984 State Tr Num: 196936 Co Tr Num: Date Submitted: 03/26/2007		SERFF Status: Closed Approved State Status: Approved Co Status: Disposition Date: 03/26/2007	

- **TOI:** Type of Insurance.
- **SUB - TOI:** Sub-Type of insurance.
- **State Tracking (Tr) Num:** The state will enter their tracking number, if applicable.
- **State Status:** The state will select a State Status, if applicable.
- **Tracking Number (Co Tr Num):** The company will enter their tracking number for this filing.
- **Company Status (CO Status):** The Company will select a Company Status, if applicable.
- **Filing Type:** Defined in the Filing Wizard during the preparation on the filing.
- **Date Submitted:** The date the filing is submitted to the state.
- **Disposition Date:** The date the Disposition Report was submitted to company and final action taken.
- **Effective Date Requested (New or Renewal):** This is the effective date the company is requesting their product be available to sell. It is not necessarily the date the filing officially becomes effective. The State Insurance Department will determine the definitive effective date. This is also where the company can indicate the different effective dates for new or renewal business.
- **Authors:** Author(s) of the filing.

LAH Filing at a Glance

Filing at a Glance contains key information about the filing and is always displayed at the top of the page, regardless of where the Author is working.

The Filing at a Glance contains the following fields:

- **Product Name:** The name of the product being filed to state.
- **SERFF Tracking (Tr) Num:** This is the number defined by SERFF

- **SERFF Status:** This value is assigned by the SERFF application and automatically updates as activities happen on a filing. This field has three main purposes: (1) Give state and industry a common measure as to where the filing is in the process, (2) give the SERFF application a mechanism to control activities that can take place on a filing, and (3) allow for the reporting of metrics information.
 - **Draft:** Filing has been assigned a tracking number but has not been completed and submitted to the state.
 - **Submitted:** Author has submitted the filing to the state and the filing has passed all applicable validations. State can now access the filing.
 - **Assigned:** State has assigned the filing to one or more reviewers, but no additional action has been taken.
 - **Pending Industry Response:** There are one or more open Objection Letters on the filing that need a response from industry.
 - **Pending State Action:** One or more Objection Letters have been responded to by industry. Filing is still open.
 - **Closed:** The state has created a Disposition Report indicating the final action of the filing. The asterisk indicates that the state Disposition Status (i.e., Approved, Acknowledged, and Disapproved) will be appended to the SERFF status.)
- **TOI:** Type of Insurance.
- **Sub - TOI:** Sub-Type of insurance.
- **State Tracking (Tr) Num:** The state will enter their tracking number, if applicable.
- **State Status:** The state will enter a State Status, if applicable.
- **Tracking Number (Co Tr Num):** The company will enter their tracking number for this filing.
- **Company Status (CO Status):** The Company enters their status of the filing.
- **Filing Type:** Defined in the Filing Wizard during the preparation on the filing.
- **Date Submitted:** The date the filing is submitted to the state.
- **Disposition Date:** The date the Disposition Report was submitted to company and final action taken.
- **Implementation Date Requested:** The date the company expects to have the product ready for market.

- **Authors:** Author of the filing.
- **View General Instructions link:** Click the [View General Instructions](#) link to be brought to the specific state instances General Instructions document.

Save Apply Cancel PDF Pipeline

New Hampshire

[View General Instructions](#)

Product Name: <input type="text" value="Group Dental - 2007 Nat"/> TOI: H10G Group Health - Dental Sub-TOI: H10G.000 Health Dental Filing Type: Form Implementation Date Requested: <input checked="" type="radio"/> <input type="text" value="11-01-2006"/> <input type="radio"/> On Approval	SERFF Tr Num: BCLH-000502041 State Tr Num: Co Tr Num: <input type="text" value="02-6545-2007"/> Date Submitted: Not Submitted Authors: Thea Cook	SERFF Status: Draft State Status: Co Status: <input type="text" value="-Please Select-"/> Disposition Date:
---	---	--

Draft Filings



After completing the Filing Wizard process, the Filing Wizard automatically generates the number of draft filings to be prepared for submission to the selected states.

Prior to submission, the Author must complete the filing requirements. Placing the cursor over a filing in the Draft view, highlights that filing and the filing can be opened by clicking anywhere on that row.

Filings	Billing	Settings	Filing Rules	Templates		
My Workfolder	My Open Filings	My Draft Filings	Messages	Search	Create Filing	Create Compact Filing

My Draft Filings [Most Recently Viewed Filings](#)

Move to Workfolder Submit Selected Filings Import Templates Bypass/Satisfy Delete Draft


Filings						Filings 1-2 of 2 First Previous Next Last
	State	Product Name	Company Tracking #	Created Date	Created By	SERFF Status
<input type="checkbox"/>	Arizona	Pencil		Sep 13, 2007	Lacey Seemann	Draft
<input checked="" type="checkbox"/>	Iowa	Highlighter		Sep 27, 2007	Lacey Seemann	Draft

Move to Workfolder Submit Selected Filings Import Templates Bypass/Satisfy Delete Draft


SERFF End User Training Manual



There is a grey dollar sign next to the Draft Filing for Iowa in the above screen shot. This icon indicates that Iowa is eligible for EFT. Once the EFT section of the Filing Fees tab has been completed and the filing submitted, the dollar sign will turn to green, as shown below:

	<input type="checkbox"/>	Iowa	Apr 10, 2006	H12 Health - Excess/Stop Loss/H12.004 Self-Funded Health Plan	Form- Rate	Closed- Approved	SERT- 6MXMDU220/00- 00/00-00/00
---	--------------------------	------	-----------------	---	---------------	---------------------	---------------------------------------

 **Opening a Filing from Draft Filings**

1. To open the filing, click anywhere on the filing.
2. To edit the filing, click on the  button.

Add Authors	Edit	Set Confidentiality	Submit Filing	Create Reminder	Move to Workfolder	PDF Pipeline
						View General Instructions View Filing Log
Product Name: * Homeowners Product Launch TOI: 04.0 Homeowners Sub-TOI: 04.0000 Homeowners Sub-TOI Combinations Filing Type: Form Effective Date Requested (New):			SERFF Tr Num: XXXX-000535728 State Tr Num: Co Tr Num: Date Submitted: Not Submitted Effective Date Requested (Renewal):		SERFF Status: Draft State Status: Co Status: Disposition Date: Authors: Frances Stuart	

View Filing Log

Users have the ability to view activity history on a filing with the View Filing Log feature. The activities displayed are limited to Filing Events and do not include events that occur outside the filing flow. The View Filing Log feature is particularly helpful if more than one person has worked on a filing or if there was a problem with the filing.

 **How to Access the View Filing Log**

1. When in a filing,  will be shown under the state name.

Assign Reviewers	Update	Set Public Access	Create Objection	Move to Workfolder	PDF Pipeline
 This filing has been marked public access.					
 View Filing Log					
Filing Company NAIC TOI: 01.0 Property Sub-TOI: 01.0001 Commercial Property (Fire and Allied Lines) Filing Type: Form Assigned To: Kelly McCumber (primary) Date Submitted: 07/17/2007 State Description:			SERFF Tr Num: NAIC -125086612 SERFF Status: Assigned State Tr Num: State Status: Co Tr Num: Disposition Date:		

2. Click on .
3. The View Filing Log will appear showing activity on the filing.

Filing Event Log		
<input type="button" value="Close"/>		
SERFF Tracking Number:	NAIC -125086124	State: Alaska
Filing Company:	NAIC	State Tracking Number:
Company Tracking Number:		
TOI:	19.0 Personal Auto	Sub-TOI: 19.0001 Private Passenger Auto (PPA)
Product Name:	Product 1	
Project Name/Number:		
Date of Event	Detail	User
7/18/07 8:34:58 AM	Disposition(125076391) for Filing NAIC -125086124 was SUBMITTED. Public Access Status has been Set by Default.	Kelly McCumber
7/13/07 3:39:41 PM	Filing NAIC -125086124 REOPENED.	Kelly McCumber
7/13/07 3:34:34 PM	Disposition(125076390) for Filing NAIC -125086124 was SUBMITTED. Public Access Status has been Set by Default.	Kelly McCumber
7/13/07 3:05:10 PM	Response Letter(125025649) for Filing NAIC -125086124 was SUBMITTED. Public Access Status has been Set by Default.	Kelly McCumber
7/13/07 3:02:49 PM	Objection Letter(125030757) for Filing NAIC -125086124 from Alaska was SUBMITTED. Public Access Status has been Set by Default.	Kelly McCumber
7/13/07 3:00:47 PM	Reviewer assigned for Filing NAIC -125086124 to McCumber, Kelly(primary).	Kelly McCumber
7/13/07 3:00:47 PM	Primary Reviewer changed for Filing NAIC -125086124 to McCumber, Kelly.	Kelly McCumber
7/13/07 3:00:12 PM	Filing NAIC -125086124 SUBMITTED. Filing contains confidential information. Public Access Status has been Set by Default.	Kelly McCumber

4. When finished, click . The user will be returned to the filing.

General Information

The General Information tab contains the filing description and is Business Type specific. It is designed to capture both the general information needed for a filing and the specific information requested in the NAIC Uniform Transmittal Document. ***This information is not editable once the filing has been submitted.***

<input type="button" value="Add Authors"/> <input type="button" value="Update"/> <input type="button" value="Amend Filing"/> <input type="button" value="Move to Workfolder"/> <input type="button" value="PDF Pipeline"/>		
Iowa View General Instructions		
Product Name: * Equestrian Product #1 TOI: 09.0 Inland Marine Sub-TOI: 09.0001 Animal Mortality Filing Type: Form Effective Date Requested (New): 02-28-2007	SERFF Tr Num: ST01-000000101 State Tr Num: Co Tr Num: EQ-AMP03-2007 Date Submitted: 09-24-2006 Effective Date Requested (Renewal):	SERFF Status: Submitted to State State Status: Co Status: (01) Submitted Disposition Date: Authors: Thea Cook

These fields may also be entered during the Filing Wizard.

- **Project Name:** The Author may enter a project name for this filing.
- **Project Number:** The Author may enter a project number.
- **Status of Filing in Domicile:** Place to indicate the status of company's authorization to file in state. This is not a required field.
- **Filing Status Changed:** The Date the status of the Filing changed.
- **State Status Changed:** The Date the State status changed.
- **Domicile Status Comments:** Additional comments may be added in the field.

- **Corresponding Filing Tracking #:** For those states that do not accept a rate and a form in the same filing, the Author can use this field to reference the Form / Rate SERFF and/or Company Tracking Number.
- **Reference Organization (if applicable):** The name of the advisory organization—i.e. ISO, NCCI, AAIS, etc. or an Insurance Company name if “me too filing” is permitted. Some states allow companies to reference another company’s filing. A “me too” filing is when one company adopts another company’s filing. Usually they are not part of the same group. You should check with each state to determine their rules on these filings. If permitted, use this area to indicate either an advisory organization name or “me too” company name.
- **Reference Organization Number & Title (if applicable):** This is the unique number that the reference organization gives to the filing. It is generally not the same number as the circular number.
- **Advisory Org Circular:** This is a unique number that reference the circular number.
- **Filing Status Changed (if applicable):** The Date the status of the Filing changed.
- **State Status Changed (if applicable):** The Date the State status changed
- **Request Filing Mode (if applicable):** The reason the filing is being submitted to the State.
- **Submission Type (if applicable):** If resubmission, provide the state tracking number for the prior Submission if it was provided by the state. If no state tracking number is available, and the prior filing was made in SERFF, provide the prior filing’s SERFF Tracking Number. If neither is available, leave this blank.
- **Overall Rate Impact (if applicable):** This is the statewide average percentage change to the Accepted rates for the coverage’s included for each company.
- **Market Type (if applicable):** An identification of the targeted group or individuals.
- **Filing Description (if applicable):** This area can be used in lieu of a Cover Letter or Filing Memorandum and is free-form text.

P&C Filing – General Information

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
Project Name:	Mobilehome January 2007			Project Number:	01-01-2007	
Status of Filing in Domicile:	Authorized					
Domicile Status Comments:						
Filing Status Changed:	09-20-2006			State Status Changed:		
Company Status Changed:						
Reference Organization:				Reference Number:		
Reference Title:				Advisory Org. Circular:		
Assigned To:						
Corresponding Filing Tracking Number:						

LAH Filing – General Information

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
Project Name:	GD-Jan2007			Project Number:	01-01-2007	
Status of Filing in Domicile:	Authorized			Date Approved in Domicile:	09-01-2006	
Domicile Status Comments:						
Filing Status Changed:	09-21-2006			State Status Changed:		
Company Status Changed:						
Requested Filing Mode:	-Please Select-			Explanation for Combination/Other:		
Submission Type:	Resubmission			Previous Filing Number:		
Overall Rate Impact:						
Market Type:	Group					
Group Market Size:	Small and Large			Group Market Type:	<input checked="" type="checkbox"/> Employer <input type="checkbox"/> Association <input type="checkbox"/> Blanket <input type="checkbox"/> Discretionary <input checked="" type="checkbox"/> Trust <input type="checkbox"/> Other	
Assigned To:						
Corresponding Filing Tracking Number:						
Filing Description:						

Form Schedule

The Author adds all Form Schedule data under the Form Schedule tab.

- **Form Name** - Enter name of Form being submitted.
- **Form Number** - Enter Form Number of Form being submitted.
- **Edition Date (P&C only)**- Enter the month and year the form was developed.
- **Form Type**- There are many types of forms (i.e. policy, contract, advertisement, etc.). Click the Form Type selection box and choose appropriate type of form for the filing.
- **Action**- Click the Action selection box and select appropriate action for the filing
 - New (P&C)
 - Replacement (P&C)
 - Withdrawn (P&C)
 - Initial (LAH)
 - Other (LAH)
 - Revised (LAH)
- **Action Specific Data:**
 - **Replaced Filing Number** - Enter the form number that is being replaced by a previously submitted form.
 - **Previous Filing Number**- Enter the previous filing number if a replacement form is being submitted.
- **Readability Score**- Indicates reader comprehension. Enter if required by the state.



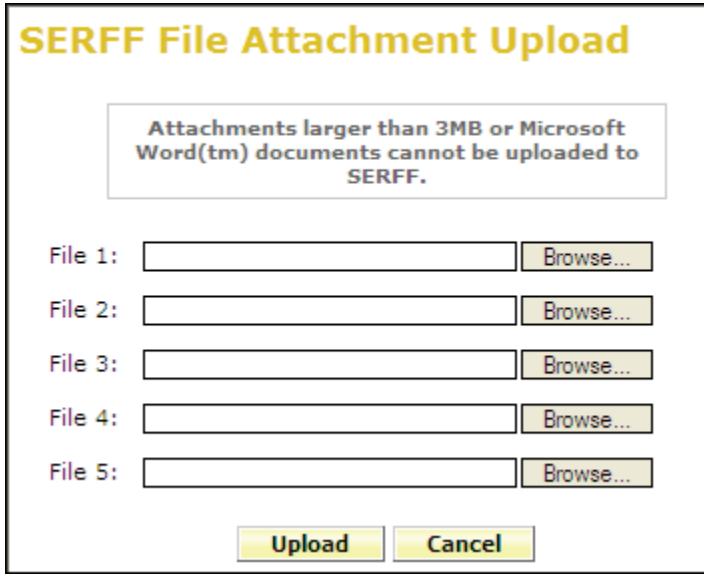
Attaching Files for Schedule Items

The Author may attach and upload up to 5 files per line item at one time.


Select	Exhibit Name: *	Rule# or Page #:	Rate Action: *	Previous State Filing Number:	Attach Document:	Submitted:
<input type="checkbox"/>			-Please Select-		Attach Files	

1. Click on the  button on the line item.

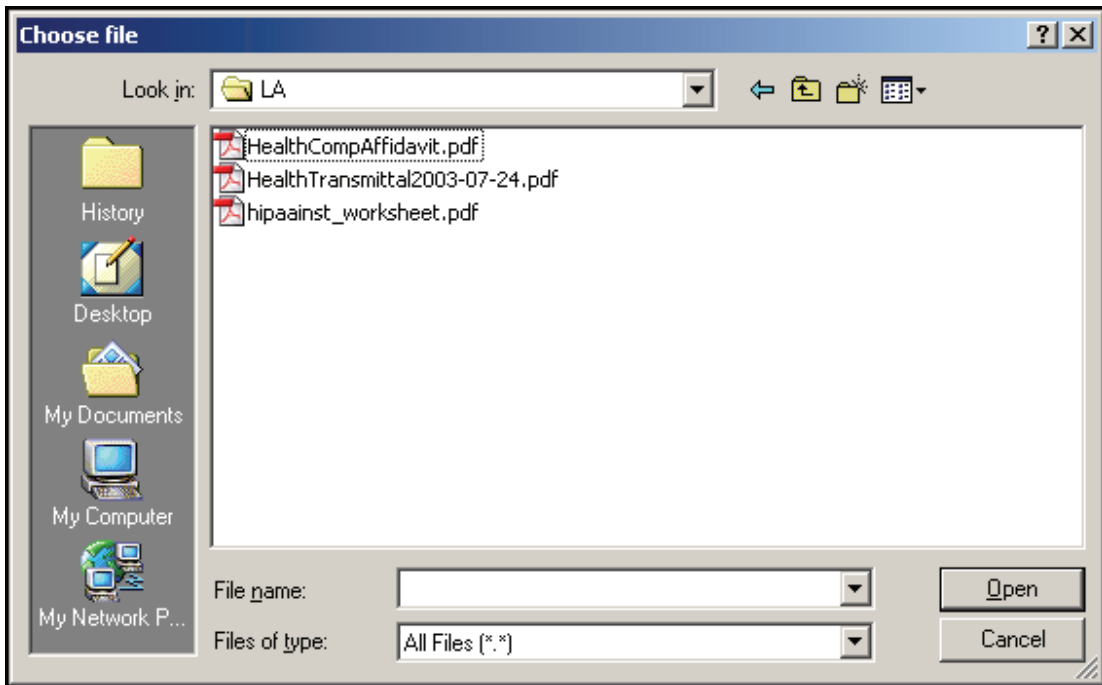
2. Click on the **Browse...** button.



The image shows a web form titled "SERFF File Attachment Upload". At the top, a message box states: "Attachments larger than 3MB or Microsoft Word(tm) documents cannot be uploaded to SERFF." Below this, there are five rows, each labeled "File 1:" through "File 5:". Each row contains a text input field and a "Browse..." button. At the bottom of the form, there are two buttons: "Upload" and "Cancel".

-  Word documents and files over 3mb will not be allowed to be uploaded into the system.

3. Select the appropriate file and click on **Open**.



4. Click on **Upload** button when all files are uploaded.

SERFF File Attachment Upload

Attachments larger than 3MB or Microsoft Word(tm) documents cannot be uploaded to SERFF.

File 1:

File 2:

File 3:

File 4:

File 5:

 **Form Schedule**


Form Count: 1									
Select	Form Name *	Form Number	Edition Date	Form Type *	Action *	Action Specific Data	Readability Score	Attachments	Submitted
<input type="checkbox"/>	Form A	07654	01-10	ADV	New			<input type="button" value="Attach Files"/>	

Form Type Legend:

<p>ADV = Advertising</p> <p>BND = Bond</p> <p>CER = Certificate</p> <p>DSC = Disclosure/Notice</p> <p>END = Endorsement/Amendment/Conditions</p> <p>PCF = Policy/Coverage Form</p>	<p>ABE = Application/Binder/Enrollment</p> <p>CNR = Canc/NonRen Notice</p> <p>DEC = Declarations/Schedule</p> <p>ERS = Election/Rejection/Supplemental Applications</p> <p>OTH = Other</p>
--	---

1. Click the button to initiate a row where Form data will be entered.
2. Complete the required fields.
3. The Author attaches all forms related items on the Form Schedule tab.
4. Continue to click on the button in order to add additional rows and attachments.

 **Form Schedule Using Templates**

 The **Import Template** button will be visible if the Author has created Schedule Templates. *See how to create Schedule Templates later in this lesson.*

1. Click the **Import Template** button to import a Schedule Template.

General Information		Form Schedule		Rate/Rule Schedule		Supporting Documentation		Companies and Contact		Filing Fees		Filing Correspondence	
Form Count: 0													
Select	Form Name *	Form Number	Edition Date	Form Type *	Action *	Action Specific Data	Readability Score	Attachments	Submitted				
<input type="checkbox"/>													
Delete Selected		Add		Import Template									

2. Select the appropriate Template to import. Click the **Import** button.

Select Template(s) to Import

Import
Close

	Template Name	Template Owner
<input checked="" type="checkbox"/>	Form - P&C	Stacie Donner

3. The Form Schedule item has now been added to the filing.

General Information		Form Schedule		Rate/Rule Schedule		Supporting Documentation		Companies and Contact		Filing Fees		Filing Correspondence	
Form Count: 1													
Select	Form Name	Form Number	Edition Date	Form Type *	Action *	Action Specific Data	Readability Score	Attachments					
<input type="checkbox"/>	Form 123	123	7/27/2007	OTH	New		0	<div style="display: flex; align-items: center;"> Attach Files <div style="margin-left: 10px;"> Form.pdf Remove </div> </div>					
Delete Selected		Add		Import Template									


Rate/Rule Schedule – P&C



The Author completes any Rate/Rule Schedule items under the Rate/Rule Schedule tab. The information in this tab can be updated post-submission. All Rate/Rule related attachments will be attached here.

- **Filing Method** - This is the review method for which the filing is being submitted. See state specific requirements.
- **Rate Change Type** – The Author can choose from either:
 - ◆ Increase
 - ◆ Decrease
 - ◆ Neutral
- **Overall Percentage of Last Rate Revision** -This is the statewide average of the last percentage change implemented in the state.
- **Effective Date of Last Rate Revision**-This is the implementation date of the last overall percentage rate impact.
- **Filing Method of Last Filing**- This is the review method for which the last filing was submitted. See state specific requirements.
- **Company Rate Information**
 - ◆ Overall Percentage Indicated Change (when applicable) – This field is only to be completed when an actuarial indication is included in the filing submission.
 - ◆ Overall % Rate Impact - This is the statewide average percentage change to the accepted rates for the coverage's included for each company.
 - ◆ Written premium change for this program - This is the statewide change in written premium based on the proposed overall percentage rate impact for each company.
 - ◆ Number of policyholders affected for this program - This is the number of policyholders affected by the overall percentage rate impact for each company.
 - ◆ Written premium for this program - This is the statewide written premium for each company.

SERFF End User Training Manual

- ◆ Maximum % Change & Minimum % Change – This information should be completed if required by the state to which the filing is being submitted.
- Overall Percentage Rate Indicated for this Filing – Overall % Rate Indicated.
- Overall Percentage Rate Impact for this Filing- Overall % Rate Impact.
- Effect of Rate Filing – Written Premium Change for this Program- Written premium for this program.
- Effect of Rate Filing – Number of Policyholders Affected – Number Policyholders impacted.

 If there are multiple companies on a filing, the Overall Rate Information (Premium and Policyholders) will automatically calculate for the user.

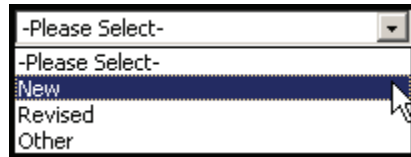
General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence	
Add Rate Data? <input checked="" type="radio"/> Yes <input type="radio"/> No							
Filing Method: <input type="text"/>							
Rate Change Type: <input type="text"/> -Please Select-							
Overall Percentage of Last Rate Revision: <input type="text"/> %							
Effective Date of Last Rate Revision: <input type="text"/>							
Filing Method of Last Filing: <input type="text"/>							
Company Rate Information							
Company Name:	Overall % Indicated Change:	Overall % Rate Impact:	Written Premium Change for this Program:	# of Policy Holders Affected for this Program :	Written Premium for this Program:	Maximum % Change (where required):	Minimum % Change (where required):
AAA Life Insurance Company	<input type="text"/> %	<input type="text"/> %	\$ <input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/> %	<input type="text"/> %
America's Best Company	<input type="text"/> %	<input type="text"/> %	\$ <input type="text"/>	<input type="text"/>	\$ <input type="text"/>	<input type="text"/> %	<input type="text"/> %
Overall Rate Information for Multiple Company Filings							
Overall Percentage Rate Indicated For This Filing: <input type="text"/> %							
Overall Percentage Rate Impact For This Filing: <input type="text"/> %							
Effect of Rate Filing-Written Premium Change For This Program: \$ <input type="text"/>							
Effect of Rate Filing - Number of Policyholders Affected: <input type="text"/>							
Select <input type="checkbox"/>	Exhibit Name: *	Rule# or Page #:	Rate Action: *	Previous State Filing Number:	Attach Document:	Submitted:	
<input type="button" value="Delete Selected"/> <input type="button" value="Add"/> <input type="button" value="Import Template"/>							
Icon Legend:  - Draft Schedule Item  - Open Objection							

Rate/Rule Schedule – LAH

The Author completes any Rate/Rule Schedule items under the Rate/Rule Schedule tab. The information in this tab can be updated post-submission. All Rate/Rule related attachments will be attached here.

The Rate/Rule schedule contains the following fields:

- **Document Name-** This is a list of Rate and Rule and various exhibit data being.
- **Affected Form Number-** This is the list of changes to the Rate/Rule manual.
- **Rate Action –** The type of rate action being submitted.
 - New
 - Revised
 - Other




Rate Action Information – Select Revised or Other from the Rate Action. The Rate Action Information is displayed.

Rate/Rule Schedule

1. Select radio button if Rate data applies or does **NOT** apply to filing. If 'does NOT apply to filing' is selected, rate related fields will not display. The Rate/Rule Schedule defaults to 'does NOT apply'.
2. If Rate data applies to filing, complete the appropriate fields.
3. Click on the **Add** Button to add Rate and /or Rule data and file attachments.

Select	Exhibit Name: *	Rule# or Page #:	Rate Action: *	Previous State Filing Number:	Attach Document:	Submitted:
<input type="checkbox"/>			-Please Select-		<input type="button" value="Attach Files"/>	
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	-Please Select-			

 The P&C Rate/Rule schedule contains the following fields:

- **Exhibit Name-** This is a list of Rate and Rules and various exhibit data being filed.

- **Rate/Rule or Page Number**- This is the list of changes to the Rate/Rule manual.
- **Rate Action** – The type of rate action being submitted.
 - ◆ New
 - ◆ Replacement
 - ◆ Withdrawn
- **Previous State Filing Number** – If rate data is being replaced or withdrawn, the Previous State Filing Number field is displayed. This field will not display if a 'Rate Action' of new is selected.

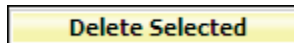


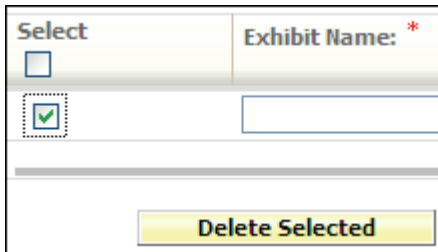
The LAH Rate/Rule schedule contains the following fields:

- **Document Name**- This is the name of the data being filed.
- **Affected Form Numbers**- This is the list of changes to the Rate/Rule manual.
- **Rate Action** – The type of rate action being submitted.
 - ◆ New
 - ◆ Other
 - ◆ Revised
- **Rate Action Information** – If rate data is being replaced or withdrawn, the Previous State Filing Number field is displayed. This field will not display if a 'Rate Action' of new is selected.


 **Remove a Rate/Rule Schedule or Attachment**


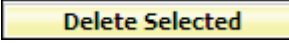
1. Click on the check box next to the line item and then click the

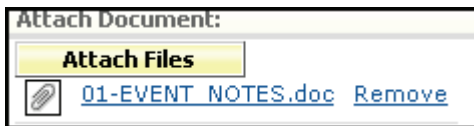
 button to remove information from the Rate/Rule Schedule. All information entered will be deleted.



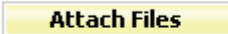
Select	Exhibit Name: *
<input type="checkbox"/>	
<input checked="" type="checkbox"/>	




 Note: Clicking on the Remove link next to the added attachment deletes the attached file (*see below*). This does not delete the new rate information displayed on the rate/rule schedule. Clicking on the  button next to the exhibit name deletes the added rate information and any attached files (*see above*).





Attach Document:



 [01-EVENT NOTES.doc](#) [Remove](#)

 **Rate Schedule Using Templates**

 The  button will be visible if the Author has created Schedule Templates. See how to create a Schedule Templates later in this lesson.

1. Click the  button to import a Schedule Template.




General Information Form Schedule **Rate/Rule Schedule** Supporting Documentation Companies and Contact Filing Fees Filing Correspondence

Add Rate Data? Yes No

Property & Casualty - Rate/Rule Schedule

Select	Exhibit Name:	Rule# or Page #:	Rate Action: *	Previous State Filing Number:	Attach Document:
<input type="checkbox"/>					

2. Select the appropriate template to import. Click the  button.

Select Template(s) to Import

Import
Close

Template Name	Template Owner
<input checked="" type="checkbox"/> Rate/Rule - P&C	Stacie Donner

3. The Rate/Rule Schedule item has now been added to the filing.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
<p>Add Rate Data? <input type="radio"/> Yes <input checked="" type="radio"/> No</p>						
Property & Casualty - Rate/Rule Schedule						
Select	Exhibit Name:	Rule# or Page #:	Rate Action: *	Previous State Filing Number:	Attach Document:	
<input type="checkbox"/>	Rate/Rule	123	New		Attach Files  Rate.pdf Remove	
Delete Selected Add Import Template						

Supporting Documentation

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
---------------------	---------------	--------------------	--------------------------	-----------------------	-------------	-----------------------

The Supporting Documentation tab provides functionality for attaching information to a filing that might be required when submitting a SERFF filing. Clicking the tab displays a list of state-defined requirements.

Each requirement has an option to Bypass or Satisfy. If the Author chooses to Bypass the requirement, an explanation is required. If the Author chooses to Satisfy the requirement, the Author must first either attach a file or check **No Attachment Required**. Once one of the above has been completed, the Author may enter an optional comment pertaining to the requirement.

General Information Form Schedule Rate/Rule Schedule Supporting Documentation Companies and Contact Filing Fees Filing Correspondence

Expand All Collapse All Bypass Multiple View Additional Info

Name: Actuarial Memorandum

Name: Explanatory Memorandum

Add Supporting Documentation

Legend: - No Action Taken - Satisfied - Bypassed - User Added
 - Draft Schedule Item - Open Objection

The Author can expand, collapse, or bypass multiple requirements. When collapsed, only the **Requirement Name** and its **Status** (No Action Taken, Satisfied, or Bypassed) are visible. When a requirement is expanded, the Author can also see the state's description of the requirement and any attachments the state has added for the requirement. Links in the requirement description will be active, meaning they can be clicked and a new window will open with the web address referenced.

General Information Form Schedule Rate/Rule Schedule Supporting Documentation Companies and Contact Filing Fees Filing Correspondence

Expand All Collapse All Bypass Multiple View Additional Info

Name: Actuarial Memorandum

Description

For rate filings, in addition to standard actuarial support, please provide a 5 year rate history; the overall proposed impact of this particular filing and a histogram of the changes.

Bypass

Satisfy

Clicking the Satisfy button reveals the following options:

- **Comment text box-** Comments may be added after attaching a file.
- **No Attachment Required check box-** Use this check box to indicate that no attachment was required for this item. This will allow the requirement to pass completeness validation when submitting the filing to state regulators.
- **Attach Files button-** Use this button to attach supporting documentation to this requirement.
- **Reset button-** Clears all information from the requirement and resets the status flag to “No Action Taken” (this is applicable to both satisfy and bypass).

Expand All Collapse All Bypass Multiple View Additional Info

⚠️ ⊕ Name: Actuarial Memorandum

Description
For rate filings, in addition to standard actuarial support, please provide a 5 year rate history; the overall proposed impact of this particular filing and a histogram of the changes.

Comment

No Attachment Required

Attach Files

Reset

Supporting Documentation

Bypass

1. To Bypass Multiple Requirements, click the **Bypass Multiple** button and click on the check box next to each Requirement.

General Information Form Schedule Rate/Rule Schedule Supporting Documentation Companies and Contact Filing Fees Filing Correspondence

Expand All Collapse All Bypass Multiple View Additional Info

⚠️ ⊕ Name: Actuarial Memorandum

⚠️ ⊕ Name: Explanatory Memorandum

Add Supporting Documentation



Legend: ⚠️ - No Action Taken ✓ - Satisfied ⛔ - Bypassed 👤 - User Added
📄 - Draft Schedule Item 🚫 - Open Objection

Expand All Collapse All Bypass Multiple




Multiple Supporting Document Bypass


Bypass Reason
Please see Filing Fees Tab and Form Schedule

Bypass Cancel

2. Enter explanation in the Bypass Reason text box and click the  button.
3. To Bypass an Individual Requirement, click the  button to skip the item listed.
4. Enter explanation in the Bypass Reason text box.

Satisfy



5. Click the  button to attach a file and add comments.
6. Click the  button to specify files for associating with the filing.
7. You may attach up to 5 files at a time. Use the Browse button to navigate to the file you wish to attach. Then click the  button to link the file or files to the requirement.


 **Name: Actuarial Memorandum**

Description
 For rate filings, in addition to standard actuarial support, please provide a 5 year rate history; the overall proposed impact of this particular filing and a histogram of the changes.

Comment

No Attachment Required

 Word documents and files over 3mb will not be allowed to be uploaded into the system.

SERFF File Attachment Upload

Attachments larger than 3MB or Microsoft Word(tm) documents cannot be uploaded to SERFF.

File 1: C:\Data\SERFF Training\Acroba

File 2:

File 3:

File 4:

File 5:

Comments may be added before or after files have been attached. The attached files are listed below the comment box, adjacent to the file Remove option. Attached files may be removed from the requirement by clicking on the Remove link.

Name: Actuarial Memorandum

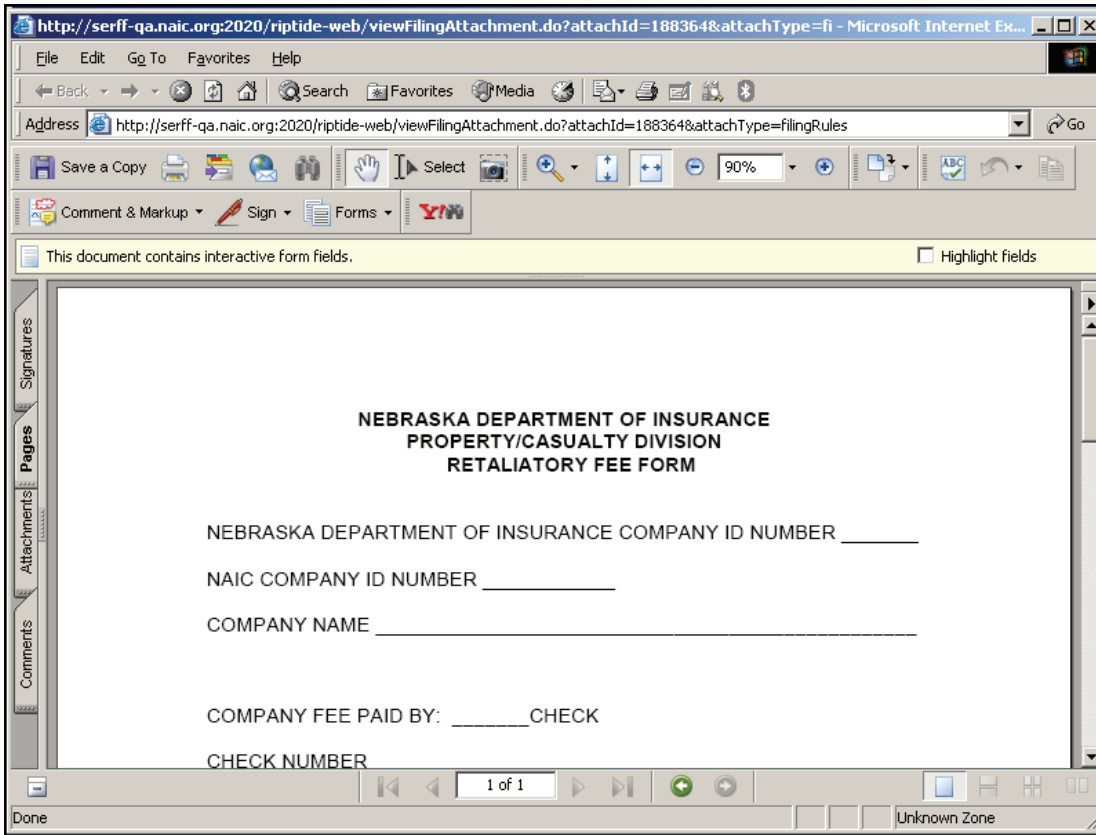
Description
For rate filings, in addition to standard actuarial support, please provide a 5 year rate history; the overall proposed impact of this particular filing and a histogram of the changes.

Comment
Type your comments into this text box.
The text box has a grey background when editing is not available.
This text box becomes active after a file has been attached.

Actuarial Memorandum.pdf [Remove](#)

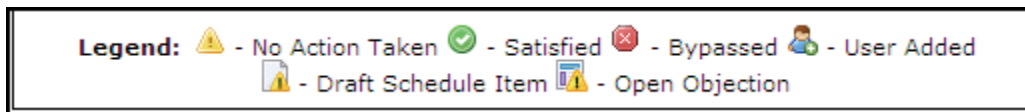
The document links will be active, meaning they can be clicked and a new window will open with the web address referenced (*see below*).

[Actuarial Memorandum.pdf](#) [Remove](#)



The Status Flag Legend is located at the bottom of the page. Each symbol is described for easy reference. When a requirement is satisfied, the flag becomes a green dot with a white check mark inside.

		Review Status:
	@ Name: Actuarial Justification	None Selected 06-21-2006
	@ Name: Exhibit of Premiums and Losses	None Selected 06-21-2006




Users may review Supporting Documentation by clicking on the plus sign (*expand button*). Clicking the expand link reveals the information contained in the comment box and the attached files are listed below the comments.

SERFF End User Training Manual

Name: Actuarial Justification		Review Status:
Description		None Selected 06-21-2006
Submit the Actuarial Justification.		
Comment		
Type your comments into this text box.		
The text box has a grey background when editing is not available. This text box becomes active after a file has been attached.		
 Actuarial Justification.doc		

The Author can add one or more items of Supporting Documentation in addition to the list provided, which is generated from the state's Submission Requirements for the selected TOI/Sub-TOI/Filing Type combination. For each item of Supporting Documentation added, the Author must provide a **Name** and **Comments** or one or more attachments. The Author may also supply both comments and attachments.

 Any of the information on this tab can be modified until the time the filing is submitted with the exception of removal of any requirement items created from the state Submission Requirements list. Once the filing has been submitted, new or revised items can be added, but the original submission cannot be changed or removed. The State can define a requirement as Non-Bypassable. When the Author views the requirement the only available button will be Satisfy.

View Additional Information

The view additional information button under the Supporting Documentation tab will display information provided by the state to assist the filer in completing the supporting documentation requirements.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
Expand All	Collapse All	Bypass Multiple	View Additional Info			


<p>Additional Information for XXXX-000535778 Close Please submit the Property and Casualty Certificate of Compliance Form when submitting filings in compliance with Regulation 123 http://www.aldoi.gov/PDF/123r22001.pdf</p>

 **Bypass/Satisfy Multiple Supporting Documents from the Draft View**



To increase efficiency in preparing a SERFF filing, a user may bypass and/or satisfy multiple Supporting Document Schedule Items from the Draft view.


My Draft Filings						
<input type="button" value="Move to Workfolder"/>		<input type="button" value="Submit Selected Filings"/>		<input type="button" value="Import Templates"/>		<input type="button" value="Bypass/Satisfy"/>
<input type="button" value="Delete Draft"/>						
Filings						
						Filings 1-3 of 3 First Previous Next Last
<input type="checkbox"/>	State	Product Name	Company Tracking #	Created Date	Created By	SERFF Status
<input type="checkbox"/>	Arizona	Universal Life Insurance		Jul 25, 2007	Stacie Donner	Draft
<input type="checkbox"/>	Arizona	Property Ins.		Jul 27, 2007	Stacie Donner	Draft
<input type="checkbox"/>	Arizona	Univ. Life Ins.		Jul 27, 2007	Stacie Donner	Draft

 The **Bypass/Satisfy** will be available to users in the Draft view.

1. Select the filings in which multiple Supporting Document Schedule Items are going to be bypassed or satisfied.

<input type="button" value="Move to Workfolder"/>		<input type="button" value="Submit Selected Filings"/>		<input type="button" value="Import Templates"/>		<input type="button" value="Bypass/Satisfy"/>
<input type="button" value="Delete Draft"/>						
Filings						
						Filings 1-3 of 3 First Previous Next Last
<input type="checkbox"/>	State	Product Name	Company Tracking #	Created Date	Created By	SERFF Status
<input checked="" type="checkbox"/>	Arizona	Universal Life Insurance		Jul 25, 2007	Stacie Donner	Draft
<input checked="" type="checkbox"/>	Arizona	Univ. Life Ins.		Jul 27, 2007	Stacie Donner	Draft
<input type="checkbox"/>	Arizona	Property Ins.		Jul 27, 2007	Stacie Donner	Draft

2. Select **Bypass/Satisfy**.
3. Use the empty fields to filter the filings that you wish to bypass or satisfy.

 **Note:** The empty fields in the filter are case sensitive when narrowing the requirement list.

SERFF End User Training Manual

<input type="button" value="Bypass"/> <input type="button" value="Satisfy"/> <input type="button" value="Reset"/> <input type="button" value="Apply Filter"/> <input type="button" value="Clear Filter"/>						
Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name	
				All	LH Actuarial Memorandum	
AEGA-125085145	ArizonaLH	Form	Transamerica Life Insurance Company 00		Review Requirement Checklist Requirement Last Modified: Jan 18, 2005	
AEGA-125085145	ArizonaLH	Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004	
AEGA-125085161	ArizonaLH	Form	Transamerica Life Insurance Company 00		Review Requirement Checklist Requirement Last Modified: Jan 18, 2005	
AEGA-125085161	ArizonaLH	Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004	

4. Select .

<input type="button" value="Bypass"/> <input type="button" value="Satisfy"/> <input type="button" value="Reset"/> <input type="button" value="Apply Filter"/> <input type="button" value="Clear Filter"/>						
Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name	
				All	LH Actuarial Memorandum	
AEGA-125085145	ArizonaLH	Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004	
AEGA-125085161	ArizonaLH	Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004	

5. Once the filter has been applied, the user may:

a. Select or .

The user will need to enter a Bypass reason or Satisfy the requirement as they would when working in a single draft filing. Either option can be cancelled.

Bypass Window:

Cancel Action

Bypass Reason
 Document not needed.

Bypass

<input type="checkbox"/>	Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name
<input checked="" type="checkbox"/>	AEGA-125085145	Arizona	LH Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004
<input checked="" type="checkbox"/>	AEGA-125085161	Arizona	LH Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004

Satisfy Window:

Cancel Action

Comment

No Attachment Required

Attach Files **Satisfy**

<input type="checkbox"/>	Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name
<input checked="" type="checkbox"/>	AEGA-125085145	Arizona	LH Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004
<input checked="" type="checkbox"/>	AEGA-125085161	Arizona	LH Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004

b. Select **Reset**. This will reset the status of the requirement.

Cancel Action

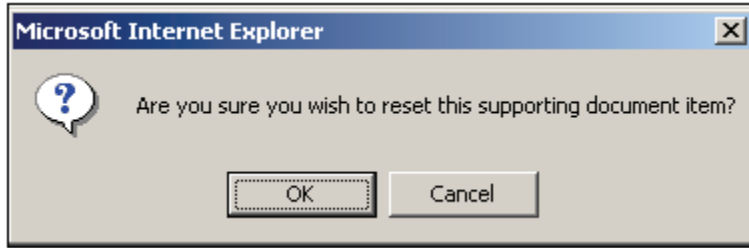
Reset

<input type="checkbox"/>	Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name
<input type="checkbox"/>	AEGA-125085145	Arizona	LH Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004
<input type="checkbox"/>	AEGA-125085161	Arizona	LH Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004

1. Select **Reset**.

SERFF End User Training Manual


2. Select  to confirm the action.



3. The statuses have now been updated.



Supporting Document items have been updated.					
<input type="button" value="Bypass"/> <input type="button" value="Satisfy"/> <input type="button" value="Reset"/> <input type="button" value="Apply Filter"/> <input type="button" value="Clear Filter"/>					
Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name
				All	LH Actuarial Memorandum
AEGA-125085145	ArizonaLH	Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004
AEGA-125085161	ArizonaLH	Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004



c. Select .

If  is selected, the window will show all requirements found in the filings.


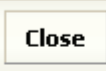
Supporting Document items have been updated.					
<input type="button" value="Bypass"/> <input type="button" value="Satisfy"/> <input type="button" value="Reset"/> <input type="button" value="Apply Filter"/> <input type="button" value="Clear Filter"/>					
Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name
				All	
AEGA-125085145	ArizonaLH	Form	Transamerica Life Insurance Company 00		Review Requirement Checklist Requirement Last Modified: Jan 18, 2005
AEGA-125085145	ArizonaLH	Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004
AEGA-125085161	ArizonaLH	Form	Transamerica Life Insurance Company 00		Review Requirement Checklist Requirement Last Modified: Jan 18, 2005
AEGA-125085161	ArizonaLH	Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004

Supporting Documentation - Using Templates


 The  button will be visible if the Author has created Supporting Documentation Templates. **See *how to create Supporting Documentation Templates later in this lesson.***

1. Click the  button to import a Supporting Documentation Template.
2. Select the appropriate template to import. Click the  button.


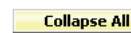
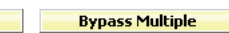

Select Template(s) to Import








Template Name	Template Owner
<input type="checkbox"/> Cover Letter	Stacie Donner
<input checked="" type="checkbox"/> Supporting Docs. - P&C	Stacie Donner





3. Click the  button to initiate a row where Supporting Documentation data will be entered.
4. The Supporting Documentation Template has now been added to the filing.

General Information
Form Schedule
Rate/Rule Schedule
Supporting Documentation
Companies and Contact
Filing Fees
Filing Correspondence


<input type="checkbox"/>  @ Name: Article 4.1 Review Requirements Checklist
<input type="checkbox"/>  @ Name: <input style="width: 100px;" type="text" value="Supporting Doc."/>

Legend:  - No Action Taken  - Satisfied  - Bypassed  - User Added

State Specific Fields

The **State Specific Fields** tab holds additional fields that are required by the state to which you are filing. These are required fields and must be completed prior to submitting the filing to the state. The state may define up to ten State Specific Fields.

 If a state does not have State Specific Fields defined; this tab will not appear on the filing.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence
Electronic Field 1 : <input type="text"/>							
Electronic Field 2 : <input type="text"/>							
Electronic Field 3 : <input type="text"/>							
Electronic Field 4 : <input type="text"/>							
Electronic Field 5 : <input type="text"/>							
Electronic Field 6 : <input type="text"/>							

Companies and Contacts

This is the section of the filing where the Author views the company and contact information. The State Insurance Department will also view company and contact information here. This information was specified on Step 7 of the Filing Wizard, but can be modified prior to submission.

A company can be added to the filing by selecting the company name in the drop-down and then clicking Add. Companies can also be removed, but there must be at least one company and one contact on the filing. Multiple companies may be added to a filing, but only one contact per filing is permitted.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
---------------------	---------------	--------------------	--------------------------	-----------------------	-------------	-----------------------

Filing Contact Information:




Larry Johanssen, ljohanssen@cjcc.com
 2301 McGee Street (816)783-8747 [Phone]
 Suite 800 [FAX]
 Kansas City, MO 64108

Filing Company Information: (This filing was made by a third party - CJC Cataclysmic Insurance Company.)

CJC Cataclysmic Insurance Company 2301 McGee Street Suite 800 Kansas City, MO 64108 (816)783-8747 ext. [Phone]	CoCode: 5291 Group Code: Group Name: FEIN Number: 05-5641332112 State of Domicile: New York Company Type: State ID Number: 123
--	---

America's Best Insurance Company 2301 McGee Street Suite 800 Kansas City, MO 64108 (816)783-8747 ext. [Phone]	CoCode: 8667 Group Code: 83 Group Name: CJCC FEIN Number: 08-98745413 State of Domicile: Alaska Company Type: Property & Casualty State ID Number: 456
---	---

 **Companies and Contacts**

1. Click on the  button to change the contact for the filing.
2. Click on the  button to add additional companies to the filing.
3. Click on the  button to remove companies from the filing.

Filing Fees

This is the section where rate and form filing fees, including EFT, will be recorded.

- **Fee Required:** Defaults to No for all filings. If left at no, the rest of the fields will be hidden. Click the Yes radio button to display fee related fields.
- **Fee Amount:** Enter the state filing fee. Allows only valid US currency.
- **Retaliatory:** Click the Yes/No radio button if state filing fee is retaliatory.
- **Fee Explanation:** Enter the explanation of where your state filing fee was derived if required by state.

General Information	Rate/Rule Schedule	Form Schedule	Companies and Contact	Filing Fees	Supporting Documentation	State Specific	Filing Correspondence
---------------------	--------------------	---------------	-----------------------	-------------	--------------------------	----------------	-----------------------


<p>Overall</p> <p>Fee Required? <input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>Fee Amount: \$ <input type="text"/></p> <p>Retaliatory? <input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p>Fee Calculation Explanation: <input type="text"/></p>	<p>Checks</p> <p>There is no check information entered on this filing.</p> <p style="text-align: center;">Add Check</p> <hr/> <p>EFT</p> <p>This filing is NOT eligible for EFT.</p>
---	---

 **Filing Fees Required**

1. Click on Yes Radio button.
2. Complete the appropriate fields.


 **Adding a Check to Filing Fees**

1. Click the **Add Check** button.
2. Complete the appropriate fields.

Checks			
Check Number	Check Amount	Check Date	
<input type="text"/>	\$ <input type="text"/>	<input type="text"/> 	Remove
Add Check			

 **Adding EFT to Filing Fees**

1. Enter the EFT amount owed for the filing (either on a per company or per filing basis – depending on the state setting).

 If the filing is eligible for EFT, there will be a note in the EFT portion of the Filing Fees tab while in View mode.

☞ If the filing is eligible for EFT, the filer must enter an amount. If no fees are to be submitted, the filer must check the 'Bypass' box in order to submit the filing. If the state charges per company, there will be a field next to each company in which the filer is submitting EFT.

☞ Companies without a Payer UNID **cannot be** included on an EFT submission.

Company	Amount	Bypassed
AAA Life Insurance Company	\$ 100.00	<input type="checkbox"/>
America's Best Company	\$ 100.00	<input type="checkbox"/>

☞ If the state charges per filing, the filer must select one of the companies from the dropdown list to which the Filing Fees should be attributed.

☞ New or additional fees may be sent on a previously submitted filing if it is eligible for EFT. While in view mode, click on the Filing Fees tab and click 'Submit Additional EFT Fees.' A window will appear in which you can enter the fee amount and submit.

SERFF End User Training Manual

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
Overall				Fee Required? No		
				Checks There is no check information entered on this filing.		
				EFT BYPASSED		
				Submit Additional EFT Fees		

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence																				
Overall				Fee Required? No																						
				Checks There is no check information entered on this filing.																						
				EFT																						
				<table border="1"><thead><tr><th>Company</th><th>Amount</th><th>Date Processed</th><th>Transaction #</th></tr></thead><tbody><tr><td colspan="4">Original EFT was bypassed</td></tr><tr><td colspan="4">Original EFT was bypassed</td></tr><tr><td>AAA Life Insurance Company</td><td>\$350.00</td><td>12/07/2009 03:33 PM</td><td>535780PAYER01PAYEE0120091207153311</td></tr><tr><td colspan="2">EFT Total</td><td>\$350.00</td><td></td></tr></tbody></table>			Company	Amount	Date Processed	Transaction #	Original EFT was bypassed				Original EFT was bypassed				AAA Life Insurance Company	\$350.00	12/07/2009 03:33 PM	535780PAYER01PAYEE0120091207153311	EFT Total		\$350.00	
Company	Amount	Date Processed	Transaction #																							
Original EFT was bypassed																										
Original EFT was bypassed																										
AAA Life Insurance Company	\$350.00	12/07/2009 03:33 PM	535780PAYER01PAYEE0120091207153311																							
EFT Total		\$350.00																								
				Submit Additional EFT Fees																						

Filing Correspondence

The Filing Correspondence tab is where communication will be stored between the industry and the state. The Filing Correspondence tab will contain Notes to Filer, Notes to Reviewer, Filer Notes, Amendments, Objections Letters, Responses, and Dispositions. The links will not be available until the filing is submitted.

General Information	Rate/Rule Schedule	Form Schedule	Companies and Contact	Filing Fees	Supporting Documentation	State Specific	Filing Correspondence
No filing notes available.							

Submit Filing

This will submit the filing to the state selected.

1. Click on the [Submit](#) button to send the filing to the state.
2. If the Author doesn't complete all the required requirements, a Submission Failed message appears with a list of all the missing requirements. The error message will contain a link to the filing so the Author can complete the missing requirements.

Submission Failed!

Filing #DELT-000300116 was not submitted for the following reasons:

1. ERROR: 1004 A filing mode is required on each filing.
2. ERROR: 4001 Supporting Documentation item Actuarial memorandum is required.
3. ERROR: 4001 Supporting Documentation item Applications (LH) is required.
4. ERROR: 4001 Supporting Documentation item Forms Filed for Informational Purposes / Other Supporting Documentation is required.
5. ERROR: 4001 Supporting Documentation item Life and Health Cover Letter is required.
6. ERROR: 4001 Supporting Documentation item NAIC Uniform Transmittal Doc is required.
7. ERROR: 4001 Supporting Documentation item Policy / Certificates is required.
8. ERROR: 4001 Supporting Documentation item Riders / Endorsements / Insert pages is required.

3. If all requirements have been satisfied, the filing will be submitted to the state.
The Author will receive the following confirmation if the filing was successful.

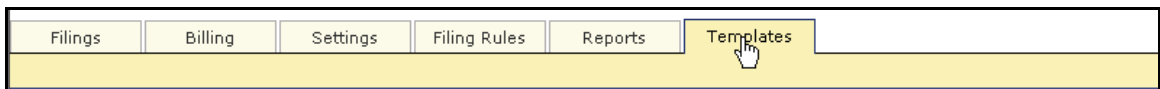
Filings	Billing	Settings	Filing Rules	Reports	Templates			
My Workfolder	My Open Filings	My Draft Filings	Messages	Search/Export	Create Filing	Create Paper Filing	EFT Report	
My Draft Filings		Your filing was submitted to Missouri						

Templates

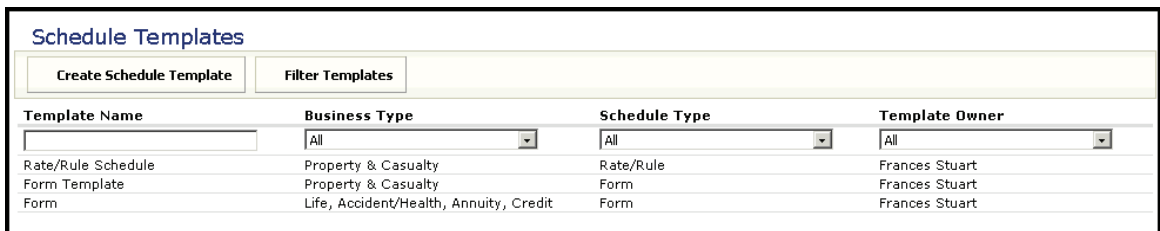
The use of Templates allows Authors to create reusable Schedules. A Template can be attached to any new or draft filing. Once attached to a filing, a Schedule created from a Template is identical to any other Schedule. It can be edited prior to submission and will appear in the same manner as other Schedules at both the state and industry.

Creating A Template for Rate/Rules and Forms

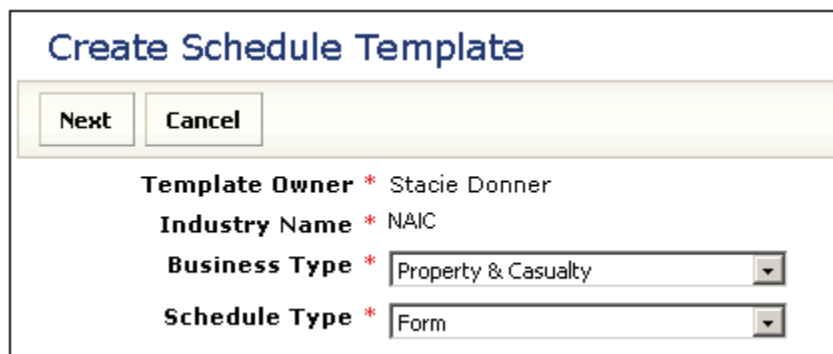
1. Click on the Templates tab.



2. Click on the  button.



- The following page will appear:



The 'Create Schedule Template' form includes 'Next' and 'Cancel' buttons at the top. Below, it displays the following fields:

- Template Owner** * Stacie Donner
- Industry Name** * NAIC
- Business Type** * Property & Casualty
- Schedule Type** * Form

3. Select the Business Type.

4. Select the Schedule Type.

5. Click the  button.

- The following page will appear:

Select	Form Name	Form Number	Edition Date	Form Type	Action	Action Specific Data	Readability Score	Attachments
<input type="checkbox"/>								

Form Type Legend:

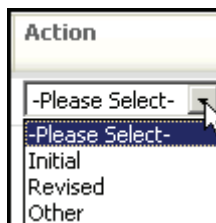
ABE = Application/Binder/Enrollment	ADV = Advertising
BND = Bond	CER = Certificate
CNR = Canc/NonRen Notice	DEC = Declarations/Schedule
DSC = Disclosure/Notice	END = Endorsement/Amendment/Conditions
ERS = Election/Rejection/Supplemental Applications	OTH = Other
PCF = Policy/Coverage Form	

6. Enter the Schedule Template Name.
7. Click the **Add** button to complete the information for the Schedule Item.

For Forms:

- a. **Form Number** - Enter Form Number of Form being submitted.
- b. **Form Type**- There are many types of forms (i.e. policy, contract, advertisement, etc.) Click the Form Type selection box and choose appropriate type of form for this filing.
- c. **Form Name** - Enter name of Form being submitted.
- d. **Action**- Click the Action selection box and select appropriate action for this filing

- ◆ Initial
- ◆ Revised
- ◆ Other



e. Action Specific Data:

- ◆ **Replaced Filing** **Number** - Enter the form number that is being replaced by a previously submitted form.
- ◆ **Previous Filing number**- Enter the previous filing number if a replacement form is being submitted.
- ◆ **Readability Score**- Enter the Readability if required by state.

Preview Template

Previous Save Cancel

Template Owner: * Stacie Donner
 Industry Name: * BALBOA01
 Business Type: * Property & Casualty
 Schedule Type: * Form
 Schedule Template Name:

Select	Form Name	Form Number	Edition Date	Form Type	Action	Action Specific Data	Readability Score	Attachments
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	-Please Select-	Previous Filing # <input type="text"/> Replaced Form # <input type="text"/>	<input type="text"/>	Attach Files

Form Type Legend:

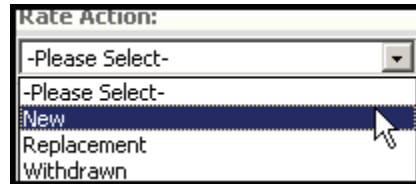
ABE = Application/Binder/Enrollment BND = Bond CNR = Canc/NonRen Notice DSC = Disclosure/Notice ERS = Election/Rejection/Supplemental Applications PCF = Policy/Coverage Form	ADV = Advertising CER = Certificate DEC = Declarations/Schedule END = Endorsement/Amendment/Conditions OTH = Other
--	---

Add Delete Selected

For Rate/Rules:

- a. **Exhibit Name** – This is a list of Rate and Rules and various exhibit data being filed.
- b. **Rate/Rule or Page number** – This is the list of changes to the Rate/Rule manual.
- c. **Rate Action** – The type of rate action being submitted.

- ◆ New
- ◆ Replacement
- ◆ Withdrawn



- d. **Previous State Filing number** – If rate data is being replaced or withdrawn, the Previous State Filing Number field is displayed. This field will not display if a 'Rate Action' of new is selected.

Preview Template

Previous Save Cancel

Template Owner: * Stacie Donner
 Industry Name: * NAIC
 Business Type: * Property & Casualty
 Schedule Type: * Rate/Rule
 Schedule Template Name:

Select	Exhibit Name:	Rule# or Page #:	Rate Action:	Previous State Filing Number:	Attach Document:
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	-Please Select-		<input type="button" value="Attach Files"/>

Add Delete Selected

12. The Author attaches all forms. *Please see “Attaching Files for Schedule Items” for instructions – page 31.*

13. The Author may then click on one of the following three options:

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

- 👉 Templates can be edited or deleted by the user who created them or by a Filing Manager. Templates can be viewed, created, or added to a filing by any user on the instance.

Schedule Templates

Edit **Copy** **Delete** **Close**

Template Owner: * Stacie Donner
Industry Name: * NAIC
Business Type: * Property & Casualty
Schedule Type: * Rate/Rule
Schedule Template Name: * Rate Template

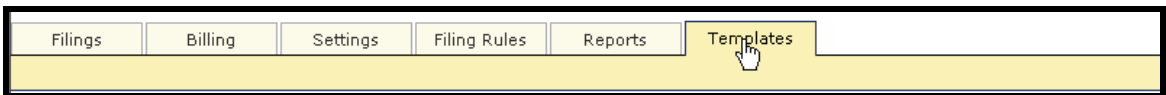
Exhibit Name:	Rule# or Page #:	Rate Action:	Previous State Filing Number:	Attach Document:
test	123	New		2006 LAHUTD.pdf

14. Once the Template has been saved, the Author may do any of the following:

- Click the **Edit** button to update the Schedule Template.
- Click the **Copy** button to create another Schedule Template based off the selected template.
- Click the **Delete** button to delete the Schedule Template.
- Click the **Close** button to close the Schedule Template.

👉 **Creating a Template for Supporting Documentation**

1. Click on the Templates tab.



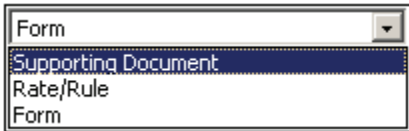
2. Click on the **Create Schedule Template** button.

Schedule Templates			
Create Schedule Template		Filter Templates	
Template Name	Business Type	Schedule Type	Template Owner
	All	All	All
Rate/Rule Schedule	Property & Casualty	Rate/Rule	Frances Stuart
Form Template	Property & Casualty	Form	Frances Stuart
Form	Life, Accident/Health, Annuity, Credit	Form	Frances Stuart

3. Select the Business Type.



4. 4. Select the Schedule Type.



5. Click the  button.

Create Schedule Template

Next
Cancel

Template Owner * Stacie Donner

Industry Name * NAIC Ins.

Business Type * Property & Casualty

Schedule Type * Supporting Document

The following page will appear:

Preview Template

Previous **Save** **Apply** **Cancel**

Template Owner: * Stacie Donner
Industry Name: * NAIC
Business Type: * Life, Accident/Health, Annuity, Credit
Schedule Type: * Supporting Document
Schedule Template Name: *

Add **Delete Selected**


6. Enter the Schedule Template Name.
7. Click the **Add** button to complete the information for the Schedule Item.

The following page will appear:

Preview Template

Previous **Save** **Apply** **Cancel**

Template Owner: * Stacie Donner
Industry Name: * NAIC
Business Type: * Life, Accident/Health, Annuity, Credit
Schedule Type: * Supporting Document
Schedule Template Name: * Cover Letter

 Name:

Comment

No Attachment Required

Attach Files

Remove

Add **Delete Selected**

8. For each item of Supporting Documentation added, the Author must provide a **Name** and either **Comments** or one or more attachments. The Author may also supply both **Comments** and attachments. The Author will be able to choose the following options:

- **Comment text box** – Enter comments related to the status of the requirement.
- **No Attachment Required check box** - Use this check box to indicate that no attachment was required for this item. This will allow the Supporting Documentation to pass completeness validation when submitting the filing to the state.
- **Attach Files button** - Use this button to add attachments to the Supporting Documentation. Please see page 163 for instructions on uploading documents.
- **Remove button** - Use this button to remove the Supporting Document item.

Preview Template

Previous
Save
Apply
Cancel

Template Owner: * Stacie Donner

Industry Name: * NAIC

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

Schedule Type: * Supporting Document

Schedule Template Name: *

Name:

Comment

[Supporting Doc.pdf](#) [Remove](#)



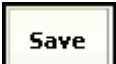
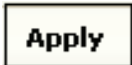
Attach Files

Remove





Add

Delete Selected





9. The Author may then chose one of the three following options:

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



10. Once the Template has been saved, the Author may do any of the following:

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


Preview Template

Template Owner: * Stacie Donner
Industry Name: * BALBOA01
Business Type: * Property & Casualty
Schedule Type: * Supporting Document
Schedule Template Name: * Cover Letter

  **Name:**

Comment
Please find the cover letter attached.

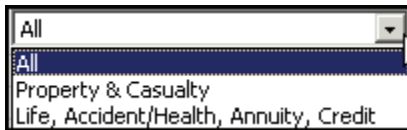
 [Cover Letter.pdf](#)

 **How to Search for a Schedule Template**

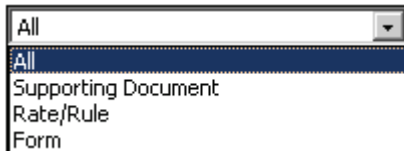
Schedule Templates

Template Name	Business Type	Schedule Type	Template Owner
<input type="text"/>	All	All	All
LAH Form	Life, Accident/Health, Annuity, Credit	Form	Frances Stuart
Rate/Rule Schedule	Property & Casualty	Rate/Rule	Frances Stuart
Form Template	Property & Casualty	Form	Frances Stuart
Form	Life, Accident/Health, Annuity, Credit	Form	Frances Stuart

1. Type in the first few characters of a Template Name in the Description field.
(Ex. lah)
2. Choose a Business Type.
 - a. All
 - b. Property & Casualty
 - c. Life, Accident/Health, Annuity, Credit



3. Choose the Schedule Type.
 - a. All
 - b. Rate/Rule
 - c. Form
 - d. Supporting Document




4. Select the Template Owner.
5. Click on the  button.

Schedule Templates

Template Name	Business Type	Schedule Type	Template Owner
la	All	All	All
LAH Form	Life, Accident/Health, Annuity, Credit	Form	Frances Stuart

 **Add a Schedule Template to a Filing**

1. Create a new filing or open a draft filing.

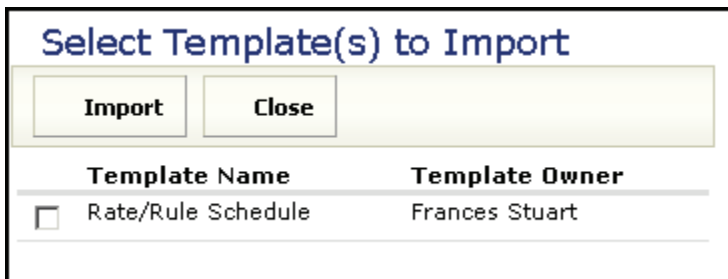
2. Click the  button.

3. Click the “Rate/Rule Schedule,” “Form Schedule,” or “Supporting Documentation” tab.



General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
Add Rate Data? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No						
Select	Exhibit Name: *	Rule# or Page #:	Rate Action: *	Previous State Filing Number:	Attach Document:	Submitted:
<input type="checkbox"/>						
Delete Selected Add Import Template						

4. Click the  button.



Select Template(s) to Import	
Import	Close
Template Name	Template Owner
<input type="checkbox"/> Rate/Rule Schedule	Frances Stuart

5. Select the Template(s). You may select more than one template at a time.

6. Click the  button to close the window.

7. Click the  button.

The Schedule is now populated with the information from the Template.

Select	Exhibit Name: *	Rule# or Page #:	Rate Action: *	Previous State Filing Number:	Attach Document:	Submitted:
<input type="checkbox"/>	Rates	123	New		<input type="button" value="Attach Files"/> <input type="checkbox"/> Retaliatory Fee Summary Page for SERFF Acrobat Form1.pdf Remove	
<input type="button" value="Delete Selected"/> <input type="button" value="Add"/> <input type="button" value="Import Template"/>						
Icon Legend: - Draft Schedule Item - Open Objection						


8. Click the  button to save the filing.

<input type="button" value="Save"/>	<input type="button" value="Apply"/>	<input type="button" value="Cancel"/>	<input type="button" value="PDF Pipeline"/>
Iowa			
Product Name: Homeowner's Filing	SERFF Tr Num: CCIC-000501037	SERFF Status: Submitted to State	
TOI: 04.0 Homeowners	State Tr Num:	State Status:	
Sub-TOI: 04.0002 Mobile Homeowners	Co Tr Num: 0918-2006	Co Status: (01) Submitted	
Filing Type: Form	Date Submitted: 09-16-2006	Disposition Date:	
Effective Date Requested (New):	Effective Date Requested (Renewal):	Authors: Thea Cook	
<input checked="" type="radio"/> On Approval	<input type="radio"/> On Approval		
<input type="button" value="General Information"/>	<input type="button" value="Rate/Rule Schedule"/>	<input type="button" value="Form Schedule"/>	<input type="button" value="Companies and Contact"/>
<input type="button" value="Filing Fees"/>	<input type="button" value="Supporting Documentation"/>	<input type="button" value="State Specific"/>	<input type="button" value="Filing Correspondence"/>
<input type="button" value="Paper Information"/>			
Date Mailed To State:		State Reviewer's Name:	
Phone Number:		Fax Number:	
States:	Iowa		

 **Importing Templates from the Draft view**

To increase efficiency when preparing a SERFF filing, a user may import templates to one or multiple filings from the Draft view.

My Draft Filings						
<input type="button" value="Move to Workfolder"/>	<input type="button" value="Submit Selected Filings"/>	<input type="button" value="Import Templates"/>	<input type="button" value="Bypass/Satisfy"/>	<input type="button" value="Delete Draft"/>		
Filings			Filings 1-2 of 2 First Previous Next Last			
<input type="checkbox"/>	State	Product Name	Company Tracking #	Created Date	Created By	SERFF Status
<input type="checkbox"/>	Arizona	Universal Life Insurance		Jul 25, 2007	Stacie Donner	Draft
<input type="checkbox"/>	Missouri	Univ. Life. Ins.		Jul 25, 2007	Stacie Donner	Draft

 The **Import Templates** button will be available to users in the Draft view if Schedule Templates have been created. See how to create Schedule Templates in the previous section.

1. Select the filings in which a Template will be added.

My Draft Filings

Filings Filings 1-2 of 2 | First | Previous | Next | Last

<input type="checkbox"/>	State	Product Name	Company Tracking #	Created Date	Created By	SERFF Status
<input checked="" type="checkbox"/>	Arizona	Universal Life Insurance		Jul 25, 2007	Stacie Donner	Draft
<input checked="" type="checkbox"/>	Missouri	Univ. Life. Ins.		Jul 25, 2007	Stacie Donner	Draft

2. Select **Import Templates**.
3. Select the Template that should be added to the filing.

Select Templates for Multiple Filings

<input type="checkbox"/>	Schedule Template Name	Business Type	Schedule Type	Template Owner
<input type="checkbox"/>		Life, Accident/Health, Annuity, Credit	All	All
<input checked="" type="checkbox"/>	Cover Letter	Life, Accident/Health, Annuity, Credit	Supporting Document	Stacie Donner

4. Select **Import**.
5. The template has now been added to the two filings.

My Draft Filings

1 templates were applied to the 2 selected filings.

Filings Filings 1-2 of 2 | First | Previous | Next | Last

<input type="checkbox"/>	State	Product Name	Company Tracking #	Created Date	Created By	SERFF Status
<input type="checkbox"/>	Arizona	Universal Life Insurance		Jul 25, 2007	Stacie Donner	Draft
<input type="checkbox"/>	Missouri	Univ. Life. Ins.		Jul 25, 2007	Stacie Donner	Draft

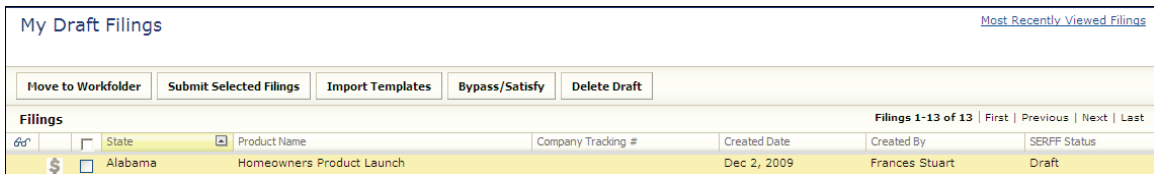
Confidentiality



The Confidentiality option allows a user the ability to make a request that certain parts of a filing be kept confidential and not be made available via Public Access. The pieces of the filing will be labeled with an icon to indicate a request for confidentiality. The state

reserves the option to override the request. If the request is overridden, the user will receive notice that the Public Access has changed on the filing. The confidentiality request icon will change from red to grey.

 **Requesting Confidentiality**

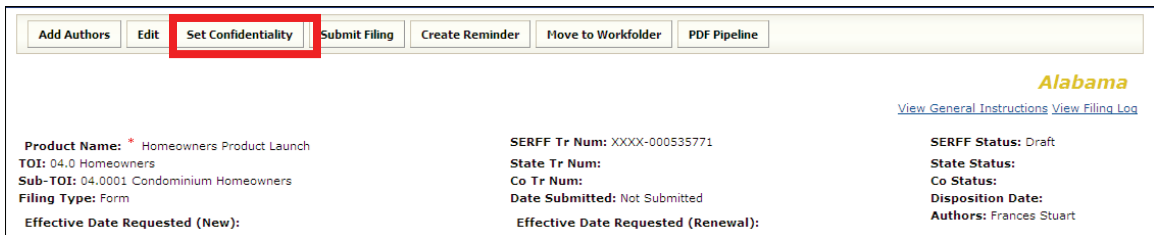
1. Open the draft filing.



My Draft Filings						Most Recently Viewed Filings
Move to Workfolder Submit Selected Filings Import Templates Bypass/Satisfy Delete Draft						
Filings						Filings 1-13 of 13 First Previous Next Last
	State	Product Name	Company Tracking #	Created Date	Created By	SERFF Status
	Alabama	Homeowners Product Launch		Dec 2, 2009	Frances Stuart	Draft

2. Select

Set Confidentiality



Add Authors Edit Set Confidentiality Submit Filing Create Reminder Move to Workfolder PDF Pipeline		
		Alabama
		View General Instructions View Filing Log
Product Name: * Homeowners Product Launch	SERFF Tr Num: XXXX-000535771	SERFF Status: Draft
TOI: 04.0 Homeowners	State Tr Num:	State Status:
Sub-TOI: 04.0001 Condominium Homeowners	Co Tr Num:	Co Status:
Filing Type: Form	Date Submitted: Not Submitted	Disposition Date:
Effective Date Requested (New):	Effective Date Requested (Renewal):	Authors: Frances Stuart

3. Select the parts of the filing to be kept confidential.

Update Confidentiality for XXXX-000535771

Alabama accepts Confidentiality requests.

Mark entire filing as confidential.
 parts of

Form Schedule Items

<input type="checkbox"/>	Form A, 1324, [No date], Advertising	1324
--------------------------	--------------------------------------	------

Filing Rate Information

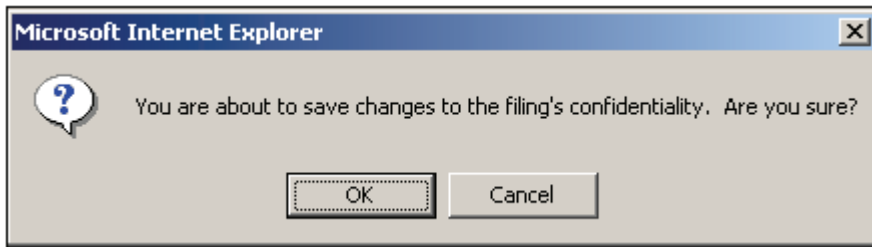
Rate Schedule Items

<input type="checkbox"/>	Rates, 123	123
--------------------------	------------	-----

Supporting Documents

<input type="checkbox"/>	Actuarial Memorandum	Satisfied
<input type="checkbox"/>	Explanatory Memorandum	Bypassed

4. Click . A confirmation message will appear verifying this action.



Click .




5. The Confidentiality icon () will display next to the items for which the user requested confidentiality.

Exhibit Name: *	Rule# or Page #:	Rate Action: *	Previous State Filing Number:	Attach Document:	Submitted:
 Rates	123	New		 Retaliatory Fee Summary Pagefor SERFF Acrobat Form1.pdf	